

# **SOUTHERN<sup>®</sup> UNIVERSITY SYSTEM**

BATON ROUGE • NEW ORLEANS • SHREVEPORT

## **BOARD OF SUPERVISORS MEETING**

**SOUTHERN UNIVERSITY  
BOARD OF SUPERVISORS MEETING**

**COMMITTEE OF THE WHOLE**

**Hyatt Regency Hotel  
601 Loyola Ave. | New Orleans, LA 70113  
Friday, November 24, 2023  
9:00 a.m.**

**SOUTHERN UNIVERSITY BOARD OF SUPERVISORS MEETING  
COMMITTEE OF THE WHOLE  
Hyatt Regency Hotel  
601 Loyola Ave. | New Orleans, LA 70113  
Friday, November 24, 2023  
9:00 a.m.**

**AGENDA**

1. Call to Order
2. Invocation: Pastor Anthony Taplin/ Coming to the Light Ministries
3. Pledge of Allegiance
4. Roll Call
5. Election of Board Officers for 2024
  - A. Chairman
  - B. Vice Chairman
6. Adoption of the Agenda
7. Public Comments
8. Greetings from Dr. Rick Gallot, President of Grambling State University
9. Greetings from Dr. Charles McClelland, SWAC Commissioner
10. Above and Beyond (All Campuses)
11. Special Presentations
  - A. SUNO
    1. Check Presentations
      - a. Orleans Parish Sheriff's Office
      - b. BASH, SUNO Alumni Association and Foundation
      - c. Center for Financial Advancement
      - d. Entergy Prosperity Project
      - e. Department of Children and Family Services
  - B. SUSLA
    1. Check Presentation
      - a. SUSLA Alumni Association

b. CenterPoint

2. Presentation on SUSLA Engineering & Technology program by Dr. Kenie Moses (Department Head-Engineering & Technology/Assistant Professor of Engineering & Technology/Project Coordinator for STEM Grant Initiatives)

C. SUAREC

1. Check Presentations

- a. Mosaic Fertilizer

- b. Joe W. & Dorothy Dorsett Brown Foundation

D. SUBR

1. Pilot Academic Collaboration between Southern University and Grambling State University

2. Update on Proposed New Academic Programs

3. Update on Medical School

E. SUS

1. Ms. Evelyn Adams Endowed Scholarship

F. Intelligence Centers for Academic Excellence

12. Action Item(s)

- A. Approval of Minutes of the October 20, 2023, SUS Board of Supervisors Meeting

- B. Request Approval of Posthumous Honorary Degree for Tia Meshawn Gorrell (SUAREC/SUBR)

- C. Request Approval of Personnel Action on Positions Equal to or Greater than \$60,000.00 (SUS)

Name	Position/Department	Description	Waived/Search	Salary		Funding Source
				Current	Suggested	
1. Sandra Stepter	<b>Facilities Planner</b> <i>Office of Facilities Planning</i>	New Appointment New Position	<i>Search</i>	-	\$75,000.00	State

- D. Request Approval of Personnel Action on Positions Equal to or Greater than \$60,000.00 (SUBR)

Name	Position/Department	Description	Waived/Search	Salary		Funding Source
				Current	Suggested	
1. Consuella Briggs	<b>Project Coor/Asst Dir/CCp Manager</b> <i>Educational Talent Search</i>	Additional Duties/ Salary Adjustment	<i>N/A</i>	\$66,843.00	\$70,843.00	Federal

2. Lasonia Brown	<b>Guidance Counselor</b> <i>Southern University Laboratory School</i>	New Appointment/ New Position	<i>Waived</i>	-	\$70,000.00	State
3. Stephenne Calhoun	<b>Mental Health Therapist</b> <i>Univ Counseling Center</i>	Staff Retention Salary Adjustments	<i>N/A</i>	\$ 64,000.00	\$ 72,000.00	State
4. Patrick Carriere	<b>Sciences and Engineering</b>	Salary Adjustment from Dean to Professor	<i>N/A</i>	\$192,000.00	\$153,600.00	State
5. Ariana Hollins	<b>Mental Health Therapist</b> <i>Univ Counseling Center</i>	Staff Retention Salary Adjustments	<i>N/A</i>	\$ 61, 500.00	\$ 72,000.00	State
6. Porshe Hitchens	<b>Mental Health Therapist</b> <i>Univ Counseling Center</i>	Staff Retention Salary Adjustments	<i>N/A</i>	\$ 64,000.00	\$ 72,000.00	State
7. Charnal Jackson	<b>Mental Health Therapist</b> <i>Univ Counseling Center</i>	Department Change ONLY	<i>N/A</i>	-	\$ 78, 000.00	State
8. Valary Irvin	<b>Director</b> <i>Univ Counseling Center</i>	Staff Retention Salary Adjustments	<i>N/A</i>	\$ 99, 798.00	\$115,000.00	State
9. Shanta McCall	<b>Guidance Counselor</b> <i>Southern University Laboratory School</i>	New Appointment	<i>Search</i>	-	\$70,000.00	State
10. Amanda O' Connor	<b>Graduate School Admissions Coor</b> <i>Graduate School</i>	New Appointment	<i>Waived</i>	-	\$73,000.00	State/Federal
11. Sean Stanford	<b>Mental Health Therapist</b> <i>Univ Counseling Center</i>	Staff Retention Salary Adjustments	<i>N/A</i>	\$ 64,000.00	\$ 72,000.00	State
12. Crystal Taylor	<b>Coordinator, Degree Audit/ Scheduling</b> <i>Registrars' Office</i>	New Appointment/ New Position	<i>Search</i>	-	\$70,000.00	Federal
13. Andrea Travis	<b>Mental Health Therapist</b> <i>Univ Counseling Center</i>	Staff Retention Adjustments	<i>N/A</i>	\$ 64,000.00	\$ 72,000.00	State
14. Cariola Watson	<b>Project Coor/Asst Dir/CCp Manager</b> <i>Educational Talent Search</i>	Additional Duties/ Salary Adjustment	<i>N/A</i>	\$66,843.00	\$70,843.00	State

E. Request Approval of Personnel Action on Positions Equal to or Greater than \$60,000.00 (SUNO)

Name	Position/Department	Description	Waived/Search	Salary		Funding Source
				Current	Suggested	
1. Layton Lynch	<b>Property and Safety Manager</b> <i>Office of Facilities Management</i>	New Appointment/ New Position	<i>Search</i>	-	\$65,000.00	State/Federal

F. Request Approval of Personnel Action on Positions Equal to or Greater than \$60,000.00 (SUAREC)

Name	Position/Department	Description	Waived/Search	Salary		Funding Source
				Current	Suggested	
1. Teodora Esoinosa-Solares	<b>Research Professor/ Food Science and Bioprocessing Research and Development</b>	New Appointment/ Existing Position	<i>Waived 2yr Appointment</i>	-	\$110,000.00	Federal
2. Angell Jordan	<b>Family and Consumer Sciences Regional Coor. SU Cooperative Extension</b>	New Appointment/ Existing Position	<i>Focused</i>	-	\$ 60,800.00	State/Federal
3. Charity Schaffer	<b>Agent, Youth Development SU Cooperative Extension</b>	Additional Duties/ Salary Adjustment	<i>N/A</i>	\$ 51,351.00	\$ 62, 000.00	Federal

G. Request for Approval of Temporary suspension of Board Rule Part III Chapter 1 Section 1 3.1 and Authorize the Director of Athletics to Conduct a Focused Search for a New Head Football Coach (SUBR)

H. Request Approval of Leave of Absence for Professor Aloyce Kaliba (SUBR)  
**Professor Aloyce Kaliba, Department of Finance and Economic is requesting that the Southern University Board of Supervisors consider his petition to for an 8- month leave of absence with pay to obtain professional and cultural improvement. Dr. Kaliba was selected as a Fulbright U.S. Scholar for 2023-2024 in Tanzania. The Fullbright Fellowship will provide beneficial opportunities for the Scholar and their home institution in the platforms of long-term collaborative capacity building research, continued international exchange and greater cross-cultural communication.**

I. Request Approval of Contracts, Amendments, Agreements, Grants, etc.... Equal to or Greater than \$300,000.00.

Title	Description	Amount	Campus
1. Interagency Technology Cooperative Endeavor Agreement <b>(Second Amendment)</b>	<b>Amended to reflect additional funding and extend to June 30, 2025</b>	<b>\$1, 614, 900.00</b>	<b>SUSLA/ LA. Dept. of Eco. Dev.</b>
2. Nurse Capitation Program <b>(Contract)</b>	<b>Amended to reflect additional funds</b>	<b>\$336, 000.00</b>	<b>SUBR/ Board of Regents</b>
3. Department of Justice Stop the Violence Against Women <b>(Grant)</b>	<b>Grant awarded to establish programs that will combat domestic violence, sexual assault and stalking on campus</b>	<b>\$400,000.00</b>	<b>SUBR/ Dept of Justice</b>
4. Climate-Smart Commodities Federal Grant <b>(Subrecipient Agreement)</b>	<b>Grant awarded to support the production and marketing of climate smart commodities by implementing best agricultural practices on working lands</b>	<b>\$611,537.60</b>	<b>SUBR/ Supreme Rice, LLC</b>
5. Carbon-Inverted Manufacturing of Inverted Cements <b>(Grant)</b>	<b>Grant Awarded to develop a practical technology to facilitate the carbon-inverted manufacturing of inverted cements.</b>	<b>\$346, 168.00</b>	<b>SUBR/ Univ. Mass Amherst</b>

6. Louisiana Biomedical Research Network <b>(Subaward Agreement)</b>	<b>Agreement is to perform research and/or/ services to support PTE's Obligations to the Federal Awarding Agency</b>	<b>\$467,053.00</b>	<b>SUBR/LSU</b>
7. FY23 Southern University and A&M College, LA Crisis Intervention Team <b>(Grant)</b>	<b>Grant Awarded to Implement 24/7 Crisis Intervention Teams- Community Policing Solicitation for after hour situations</b>	<b>\$351, 568.00</b>	<b>SUBR/ Dept of Justice</b>
8. Personal, Professional, Consulting or Social Services <b>(Subaward Contract)</b>	<b>Contracted to provide training and professional development opportunities to child welfare staff and stakeholders</b>	<b>\$1, 992,162.00</b>	<b>SUBR - SUNO/ NSU</b>
9. Performance First Media Campaign <b>(Subaward Contract)</b>	<b>The purpose of the contract is to develop a statewide Media Alcohol Awareness Campaign</b>	<b>\$ 1, 615,000.00</b>	<b>SUBR/LA Dept of Health</b>
10. Elizabeth City State University <b>(Subaward Contract)</b>	<b>Phase II of the Consortium for Nuclear Security, Advanced Manufacturing Enhanced by Machine Learning</b>	<b>\$1, 750,000.00</b>	<b>SUBR/ ECSU</b>

12. Resolutions

13. Informational Item(s)

- A. Facilities Planning Updates
- B. Interim Financial Report
- C. President's Report
- D. Chancellor's Reports

14. Other Business

15. Adjournment

**SOUTHERN UNIVERSITY BOARD OF SUPERVISORS  
ACADEMIC AFFAIRS COMMITTEE**

**Friday, October 20, 2023 / 9:00am**  
Board of Supervisors' Meeting Room  
J. S. Clark Administration Bldg. 2nd Floor  
Baton Rouge, LA.

**MINUTES**

The meeting of the Southern University Board of Supervisors was called to order by Board Chair Myron K. Lawson.

The invocation was given by Minister William Bates who is Executive Pastor at Living Faith Christian Center. The Pledge of Allegiance was led by Sydney Williams, a senior who is a honor student at Southern University Lab School.

**AGENDA ITEM 3: SWEARING IN OF THE NEW BOARD MEMBER**

New board member Atty Tony Clayton was sworn in by his daughter Jenae Clayton.

**AGENDA ITEM 4: RECOGNITION OF SPECIAL GUEST AND PRESENTATION –  
Chairman Myron K. Lawson**

A. Above and Beyond Award

Ms Althea Basil recognized Ms. Lakeisha Williams.

B. Chairman Myron Lawson presented Dr. Leroy Davis a plaque recognizing him as a former board member.

**AGENDA ITEM 5: ROLL CALL**

**Roll Call by President-Chancellor Dennis J. Shields**

**Present:** Dr. Leon Tarver - Chairman, Mr. Sam Gilliam –Vice-Chair, Atty Tony Clayton, Mrs. Maple Gaines, Mrs. Ann Smith, Dr. Arlanda Williams and Mr. Myron K. Lawson - Ex Officio

**Absent:** NONE

**AGENDA ITEM 6: ADOPTION OF THE AGENDA**

There was a motion by Mr. Sam Gilliam and second by Dr. Arlanda Williams to adopt the agenda.

Motion passed.

**AGENDA ITEM 7: PUBLIC COMMENTS**

None

**AGENDA ITEM 8: ACTION ITEM(s)**

- A. Request Approval of Nurse Capitation Program Contract between the Board of Regents and the Southern University System (SUS)

The motion was made by Mrs. Ann Smith and seconded by Dr. Arlanda Williams to approve Action Items 8A.

Motion Approved.

Atty Domoine Rutledge requested an update on the development of instruction management.

Atty Tony Clayton requested that we add “Intelligence Centers for United Government” to the next board agenda.

**AGENDA ITEM 9: INFORMATIONAL ITEM(s)**

- A. SURESEARCH Capabilities Update

Chancellor John Pierre and Dr. Michael Stubblefield gave an update. There were comments by Atty Domoine Rutledge and President Shields.

**AGENDA ITEM 10: OTHER BUSINESS**

None

**AGENDA ITEM 11: ADJOURNMENT**

A motion was made by Dr. Arlanda Williams to adjourn the meeting.



## **FACILITIES AND PROPERTY COMMITTEE**

**(Following Academic Affairs Committee)**

**Friday, October 20, 2023 / 9:00am**

Board of Supervisors' Meeting Room

J. S. Clark Administration Bldg. 2nd Floor

Baton Rouge, LA.

### **AGENDA**

Board Chair Myron Lawson announced the convening of the Facilities and Property Committee. Chairman Atty Edwin Shorty called the committee meeting to order.

Roll Call by President-Chancellor Shields

**Present:** Atty. Edwin Shorty – Chairman, Atty Domoine Rutledge – Vice Chair, Dr. Leon Tarver II, Mr. Paul Mathews, Mrs. Ann Smith, Dr. Rani Whitfield, and Mr. Myron K. Lawson, - Ex Officio

**Absent:** None

#### **AGENDA ITEM 3: ADOPTION OF THE AGENDA**

Upon the motion by Dr. Rani Whitfield and seconded by Mr. Paul Mathews and Mrs. Ann Smith to adopt the agenda.

Motion passed.

#### **AGENDA ITEM 4: PUBLIC COMMENTS**

Dr. Mostafa Elaasar – SUNO Faculty Senate President

#### **AGENDA ITEM 5: ACTION ITEM(s)**

Mr. Kenneth Dawson gave a presentation and update on all campuses per last month's recommendations. He provided a handout with all the information.

The motion was made by Dr. Rani Whitfield and seconded by Mr. Paul Mathews to approve Action Items 5A.

Motion Approved.

A. Request Approval of Preliminary FY 2024-25 Capital Outlay (eCORTS) Submission Recommendation (SUS)

#### **AGENDA ITEM 6: INFORMATIONAL ITEM(s)**

A. Facilities Update (SUS)

Mr. Dawson spoke on the projects and informed the members that the items are in the packet.

Several Members commended Mr. Dawson for his work. He answered several questions from the board.

**AGENDA ITEM 7: OTHER BUSINESS**

**Atty Edwin Shorty recommended that Kenneth Dawson sit down with SUNO.** Mr. Dawson agreed and mentioned he has addressed some issues at SUNO, but he will sit down with the SUNO Representative.

**AGENDA ITEM 8: ADJOURNMENT**

A motion was made by Dr. Rani Whitfield to adjourn the meeting.

**FINANCE COMMITTEE**  
**(Following Facilities and Property Committee)**  
**Friday, October 20, 2023 / 9:00am**  
Board of Supervisors' Meeting Room  
J S Clark Administration Bldg. 2<sup>nd</sup> Floor  
Baton Rouge, LA 70813  
9:00 AM

**MINUTES**

Board Chair Myron K. Lawson announced the convening of the Finance Committee. Chairman Dr. Arlanda Williams called the committee meeting to order.

Roll Call by President-Chancellor Shields

**Present:** Dr. Arlanda Williams- Chairman, Mrs. Ann Smith -Vice-Chair, Mr. Sam Gilliam, Mrs. Christy Reeves Atty. Domoine Rutledge, Dr. Leon Tarver II, and Atty. Mr. Myron K. Lawson - Ex Officio

**Absent:** None

**AGENDA ITEM 3: ADOPTION OF THE AGENDA**

Upon the motion by Ms. Christy Reeves and seconded by Mrs. Ann Smith the agenda was recommended for adoption.

Motion passed.

**AGENDA ITEM 4: PUBLIC COMMENTS**

NONE

**AGENDA ITEM 5: ACTION ITEM(s):**

Request approval for FY 2024-2025 Budget Requests and Addenda

1. Southern University Board and System Administration (SUS)
2. Southern University and A&M College (SUBR)
3. Southern University Law Center (SULC)
4. Southern University New Orleans Campus (SUNO)
5. Southern University Shreveport Campus (SUSLA)
6. Southern University Agricultural Research and Extension Center (SUAREC)

There was lengthy discussion around the finances. The board members are requesting timely submissions for the financials. **The board members are requesting that the finance team dig deeper into the numbers.**

There was a motion by Attorney Domoine Rutledge and seconded by Mr. Myron K. Lawson

Motion approved.

**AGENDA ITEM 6: INFORMATIONAL ITEM(s):**

A. Financial Report

**AGENDA ITEM 6: OTHER BUSINESS**

None

**AGENDA ITEM 7: ADJOURNMENT**

A motion was made by Mr. Sam Gilliam to adjourn the meeting.

## **GOVERNANCE COMMITTEE**

**(Following Finance Committee)**

**Friday, October 20, 2023 / 9:00am**

Board of Supervisors' Meeting Room

J. S. Clark Administration Bldg. 2nd Floor

Baton Rouge, LA.

### **AGENDA**

Board Chair Myron K. Lawson announced the convening of the Governance Committee. Vice Chairman Dr. Rani Whitfield called the committee meeting to order.

Roll Call by President-Chancellor Shields

**Present:** Dr. Rani Whitfield – Vice Chairman, Mrs. Christy Reeves, Atty Edwin Shorty, Dr. Leon Tarver, II, Mr. Jyron Young and Atty. Mr. Myron K. Lawson - Ex Officio

**Absent:** Rev. Dr. Samuel Tolbert – Chairman

#### **AGENDA ITEM 3: ADOPTION OF THE AGENDA**

Upon the motion by Dr. Leon Tarver and seconded by Mrs. Christy Reeves the agenda was recommended for adoption.

Motion passed.

#### **AGENDA ITEM 4: PUBLIC COMMENTS**

Dr Mostafa Elaasar - SUNO Faculty Senate President

#### **AGENDA ITEM 5: ACTION ITEM(s):**

The motion was made by Atty Edwin Shorty and second by Mr. Jyron Young that Action Item 5A be approved.

Motion Approved

A. Disability Services Policy- Policy Number 13-004 (SUS)

*This policy will bring the Southern University System into greater uniformity with the best practices for providing disability services to students Systemwide.*

The motion was made by Atty Edwin Shorty and second by Mr. Jyron Young that Action Item 5B be approved.

Motion Approved

B. Family and Medical Leave Act Policy - Policy Number 7-009 (SUS)

*This policy update outlines the obligations and responsibilities of the System and employees with the Family and Medical Leave Act.*

**AGENDA ITEM 6: OTHER BUSINESS:**

None

Chairman Lawson is requesting an update on the wellness space (Room to Go) for the faculty and staff.

**AGENDA ITEM 7: ADJOURNMENT**

A motion was made by Atty Edwin Shorty to adjourn the meeting.

## **PERSONNEL AFFAIRS COMMITTEE**

**(Following Governance Committee)**

**Friday, October 20, 2023 / 9:00am**

Board of Supervisors' Meeting Room

J. S. Clark Administration Bldg. 2nd Floor

Baton Rouge, LA.

### **MINUTES**

Board Chair Myron Lawson announced the convening of the Personnel Affairs Committee. Chair Mr. Sam Gilliam called the committee meeting to order.

Roll Call by President Shields

**Present:** Mr. Sam Gilliam - Chairman, Mrs. Christy Reeves–Vice-Chair, Atty Tony Clayton, Ms. Zazell Dudley, Dr. Leon Tarver, II., Dr. Arlanda Williams and Mr. Myron Lawson - Ex Officio

**Absent:** None

### **AGENDA ITEM 3: ADOPTION OF THE AGENDA**

Upon the motion by Dr. Arlanda Williams and seconded by Mrs. Christy Reeves the agenda was recommended for adoption with the following amendments: Table Action Item 5B (5), addition and (Item 5D (1) and update current salary for Action Item 5D (2) current salary to \$50k.

### **AGENDA ITEM 4: PUBLIC COMMENTS**

1. Dr. Mostafa Ellasar – SUNO Faculty Senate President
2. Dr. Anthony Igiede – SUBR Faculty Senate
3. Dr. Oswald D’Auvergne – SUBR Faculty Senate President

### **AGENDA ITEM 5: ACTION ITEM(S)**

There was a lengthy discussion around Personnel Items.

Atty Rutledge had concerns that he addressed in reference to Action Items 5F (1-8). He discussed the overload policy and his concern that some of the items exceeded the overload policy.

Mr. Jyron Young expressed his concern around the SUSLA items and requested Chancellor Gantt to start the search over because of no student representative on the committee. There was lengthy discussion from the board members in relation to this. Chancellor Gantt responded to all questions.

The board asked that Chancellor Gantt include students in the process.

Going forward, the Board/President will draft a policy for the process.

The motion was made that Action Item 5A (1-9) be approved.  
All members voted yes for the exception of Atty Clayton, he voted no.

Motion Approved

A. Request Approval of Personnel Action on Positions Equal to or Greater than \$60,000(SUNO)

Name	Position/Campus	Description	Waived/Search	Salary		Funding Source
				Current	Suggested	
1. Jada Boudoin	<b>Associate Director of Admissions, Recruitment and Transfer Services</b>	New Position based on the reorganization of Admissions and Recruitment	<b>N/A</b>	-	\$65,000.00	State
2. Laci Broussard	<b>Instructional Designer</b> Department of eLearning	New Appointment	<b>Search</b>	-	\$65,000.00	Federal
3. Sheridan Cooper	<b>Director of Compliance (ADA and Title IX)</b>	Title Change/ Additional Duties	<b>N/A</b>	-	\$75,000.00	State
4. Albert Ernest	<b>Police Captain A</b> SUNO Police Dept	New Appointment	<b>N/A</b>	-	\$66,823.04	State
5. Alonda Gibson	<b>Chief Accountant</b> Accounting and Finance Dept.	New Appointment	<b>Internal Promotion</b>	-	\$68,500.00	State
6. Marvin Harris	<b>Assistant Director of Facilities Management</b> Dept of Facilities Management	New Position	<b>Search</b>	-	\$65,000.00	State
7. Carl Johnson	<b>Dean of Arts and Sciences</b> Academic Affairs	New Appointment	<b>Search</b>	-	\$125,000.00	State
8. Juliette Johnson	<b>Assistant to the Chancellor</b>	Title Change/ Additional Duties	<b>Internal Promotion</b>	-	\$61,275.00	State
9. Vonda Taplin	<b>Director of Carrer Services/ QEP</b> Institutional Advancement/ Title III	New Appointment	<b>Search</b>	-	\$65,000.00	Federal

The motion was made that Action Item 5B (1-4) be approved and table item 5B (5).

All members voted yes for the exception of Atty Clayton, he voted no.

Motion Approved

B. Request Approval of Personnel Action on Positions Equal to or Greater than \$60,000 (SUSLA)

Name	Position/Campus	Description	Waived/Search	Salary		Funding Source
				Current	Suggested	
1. Monique Armond	<b>Dir of Milam Street Kitchen Incubator/Comm. Kitchen</b> Academic Affairs/ Workforce Development	New Appointment	<b>Search</b>	-	\$65,000.00	State



2. Jeffery Ivey	<b>Police Captain A</b> <i>University Police</i>	New Appointment	<b>Internal Promotion</b>	\$60,310.02	\$65,500.00	State
3. Shanita Pettaway	<b>Executive Director of Compliance</b>	New Appointment	<b>Waived</b>	-	\$85,000.00	State
4. Edrel Stoneham	<b>VC for Student Affairs / Enrollment Management</b>	New Appointment	<b>Search</b>	-	\$130,000.00	State
5. Jacoby Tubbs	<b>Executive Associate to the Chancellor</b>	New Appointment	<b>Internal Promotion</b>	\$59,488.00	\$71,500.00	State

The motion was made that Action Item 5C (1-3) be approved.

All members voted yes for the exception of Atty Clayton, he voted no.

Motion Approved

C. Request Approval of Personnel Action on Positions Equal to or Greater than \$60,000 (SUAREC)

Name	Position/Campus	Description	Waived/Search	Salary		Funding Source
				Current	Suggested	
1. Kiyana Kelly	<b>Director of Center for Excellence</b>	New Position	<b>Waived</b>	-	\$65,000.00	State
2. Donovan Segura	<b>Associate Vice Chancellor for Compliance</b> <i>(Title Change)</i>	Salary Adjustment / Title Change	<b>N/A</b>	\$122,304.00	\$139,000.00	State
3. Calvin Walker	<b>Executive Vice Chancellor</b>	Salary Adjustment / Additional Duties	<b>N/A</b>	\$201,734.00	\$209,000.00	State

The motion was made that Action Item 5D (2-7) be approved and table item 5D (1).

All members voted yes for the exception of Atty Clayton, he voted no.

Motion Approved

D. Request Approval of Personnel Action on Positions Equal to or Greater than \$60,000 (SUBR)

Name	Position/Campus	Description	Waived/Search	Salary		Funding Source
				Current	Suggested	
1. Chiaching Chang	<b>Coordinator of Academic Support Services</b>	Salary Adjustment	<b>N/A</b>	\$75,000.00	\$85,000.00	State

2.. Jada Netters	<b>Disability Services Coordinator</b>	New Position Number/Salary Adjustment	<b>Waived</b>	<del>\$80,000.00</del> <b>\$50,000.00</b>	\$68,903.00	State
3. Debra Lawson	<b>ADA Coordinator</b>	Salary Adjustment	<b>N/A</b>	\$62,903.00	\$66,000.00	State
5. Mary Jane Spruel	<b>Assistant Director of Purchasing</b>	Salary Adjustment	<b>N/A</b>	\$64, 219.00	\$76,219.00	State
6. Julius Turner	<b>Project Director/ TRIO</b>	New Position	<b>Search</b>	-	\$73,000.00	Federal
7. Charmaine Williams	<b>Director of the Exec PHD Public Policy Program</b>	New Appointment	<b>Waived</b>	-	\$115,000.00	State

The motion was made that Action Item 5E (1-2) be approved.

All members voted yes for the exception of Atty Clayton, he voted no.

Motion Approved

E. Request Approval of Personnel Action on Positions Equal to or Greater than \$60,000 (SUS)

Name	Position/Campus	Description	Waived/Search	Salary		Funding Source
				Current	Suggested	
1. Cory Morgan	<b>AGC Procurement, Contracts, Leases and Public Records Office of General Counsel</b>	New Assignment/ Vacant Position	<b>Search</b>	-	\$95,000.00	State
2. Jeremiah Sams	<b>Sys Dir for Compliance/ AVC for Compliance SUS-Compliance/ SUBR- Equity, Inclusion/ Title IX</b>	Title Change ONLY	<b>N/A</b>	--	--	--

The motion was made that Action Item 5F (1-8) be approved.

Members voted yes – Mr. Sam Gilliam, Mrs. Christy Reeves, Dr. Leon Tarver, and Mr. Myron Lawson

Members voted no – Atty Tony Clayton, Ms. Zazell Dudley, and Dr. Arlanda Williams  
Motion Approved

F. Nine Month Salary Adjustment for SULC Faculty/Staff Members to Perform Contract Administrative Oversight and Management Duties Beyond their Normal Duties.

Name	Position/Campus	LWC	DCFS	Total
1. Marla Dickerson	Project Director Additional Duties (SULC)	\$ 11,000.00	\$ 25,300.00	\$36,300.00

2.	Terri Mayes	Project Manager Additional Duties (SULC)	\$9,666.66	\$ 25,300.00	\$34,966.66
3.	Alycia Grace O'Bear	Administrative Additional Duties (SULC)	\$8,416.66	\$25,300.00	\$33,716.66
4.	Marcia Burden	Public Relations Additional Duties (SULC)	----	\$25,300.00	\$25,300.00
5.	Candice Webb	Administrative Additional Duties (SULC)	---	\$11,000.00	\$11,000.00
6.	John Collins	Administrative Additional Duties (SULC)	---	\$32,300.00	\$32,300.00
7.	Keiki Jacobs	Administrative Additional Duties (SULC)	\$8,750.00	\$10,025.45	\$18,775.45
8.	Alvin Washington	Administrative Additional Duties (SULC)	---	\$25,000.00	\$25,000.00

G. Request Approval for Credit for Prior Service at Other Institutions for Carlo Pedrioli, Full Professor (SULC)

The motion was made by Ms. Zazell Dudley and seconded by Dr. Rani Whitfield.

Atty Tony Clayton abstained from the vote.

Motion Approved

H. Request Approval of Sabbatical Leave for Dr. Patrick Carriere for Spring 2024 Season (SUBR)

The motion was made by Ms. Zazell Dudley and seconded by Dr. Arlanda Williams.

Motion Approved

I. Request Approval of Faculty Merit Increases (SUNO)

The motion was made by Atty Tony Clayton and seconded by Dr. Leon Tarver.

Motion Approved

**AGENDA ITEM 6: OTHER BUSINESS**

None

**AGENDA ITEM 7: ADJOURNMENT**

A motion was made by Dr. Arlanda Williams to adjourn the meeting

## **SOUTHERN UNIVERSITY BOARD OF SUPERVISORS**

**(Following Personnel Affairs Committee)**

**Friday, October 20, 2023**

Board of Supervisors' Meeting Room  
J. S. Clark Administration Bldg. 2nd Floor  
Baton Rouge, LA.

### **AGENDA**

The meeting of the Southern University Board of Supervisors was called to order by Chairman Myron K. Lawson.

Roll Call by President Shields

#### **PRESENT**

Atty Tony Clayton, Ms. Zazell Dudley, Mr. Raymond Fondel, Jr., Ms. Maple Gaines, Mr. Myron Lawson, Mr. Paul Matthews, Ms. Christy Reeves, Atty Domoine Rutledge, Atty Edwin Shorty, Mrs. Ann Smith, Dr. Leon Tarver, II, Rev. Dr. Rani Whitfield, Dr. Arlanda Williams and Mr. Jy'Ron Young

#### **ABSENT**

Dr. Samuel Tolbert

#### **AGENDA ITEM 3: ADOPTION OF THE AGENDA**

Upon the motion by Atty Domoine Rutledge and seconded by Dr. Rani Whitfield the agenda was recommended for adoption.

Motion passed.

#### **AGENDA ITEM 4: PUBLIC COMMENTS**

Nonee

#### **AGENDA ITEM 5: RESOLUTIONS**

Dr. Allen Vital, Chief of Staff read resolutions for the following:

- Louise Johnny Brown
- Dorothey Mae Palmer Boyd
- Virgil Miachael Mills
- Brian Keith Cooper
- Brandy Danielle Shropshire-Williams
- Edna Mae Quiret Lewis
- George Marvin Neely, Sr.
- Additional Name – Coach Sean Wallace – Prayer for him during this time

There was a motion by Atty Tony Clayton to approve the read resolutions and additional name for prayer and Dr. Rani Whitfield second the motion.

Motion approved.

**AGENDA ITEM 6:** Action Item(s)<sup>1</sup>

There was a motion by Dr. Leon Tarver and second by Attorney Tony Clayton to approve action items 6A – 6G be approved globally. (Atty Edwin Shorty won't be included in the vote for Action Item 6F)

Motion passed.

- A. Approval of Minutes of the September 15, 2023, SUS Board of Supervisors Meeting
- B. Approval of Committee Recommendations
- C. Request Approval of Contract Between S. U. Laboratory School and Fuel Education, LLC (SUBR)
- D. Request Approval to Rename the Office of Equity, Inclusion and Title IX to the Office for Compliance (SUS)(SUBR)(SUNO)(SUAREC)
- E. Request Approval of Subaward between the Department of Energy and Southern University Baton Rouge (SUBR)
- F. Request Approval of Contracts between Southern University Law Center and DCFS and LWC (SULC)
- G. Consideration of Proposed Amendment to By-Laws

There was a motion by Attorney Domoine Rutledge and second by Attorney Tony Clayton to approve action items 6H.

Motion passed.

Based on comment form Attorney Rutledge in reference to the Policy (Bylaws) around the Chancellor/President vacant position. There was extensive discussion around item 6H. The board will have the final approval and make-up of the search committee.

- H. Request Approval to conduct a focus search for SUBR Chancellor
- I. Chancellor's Evaluations

There was a motion by Dr. Rani Whitfield and second by Chairman Lawson to go into executive session. All board members were present except for Rev. Dr. Samuel Tolbert.

There was a motion by Mr. Raymond Fondel and second by Mr. Paul Matthews to come out of executive session. All board members were present except for Rev. Dr. Samuel Tolbert.

There was a unanimous decision to suspend all the Chancellor's Evaluations to the December meeting.

Motion passed and approved.

**AGENDA ITEM 7: INFORMATIONAL ITEM(s):**

- A. Presidential Report
  - a. Update on Medical School
  
- B. Chancellor's Reports

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<sup>1</sup> Pursuant to Louisiana Revised Statute 42:17, executive session may be required.

**AGENDA ITEM 8: OTHER BUSINESS**

None

**AGENDA ITEM 9: ADJOURNMENT**

Motion made by Mr. Paul Matthews to adjourn the meeting.



COLLEGE OF  
**Agricultural, Human and  
Environmental Sciences**

Southern University and A & M College System  
**SOUTHERN UNIVERSITY – BATON ROUGE CAMPUS**  
Fisher Hall  
P. O. Box 10010  
Baton Rouge, LA 70813  
(225) 771-0252  
www.subr.edu  
www.suagcenter.com

November 8, 2023

Dr. Luria Young  
Interim Vice Chancellor for Academic Affairs  
Southern University and A&M College  
Baton Rouge, LA 70813

Dear Dr. Young,

Ms. Tia Meshawn Gorrell was a student within the College of Agricultural, Human and Environmental Sciences who tragically lost her life in an accident on August 1, 2023. She passed away before completing her studies to obtain an undergraduate degree in Child Development at Southern University and A & M College. It is her mother's wish for the university to consider issuing her daughter a posthumous degree. We are still struggling to recover from this unfortunate loss of life. This young lady developed a stellar reputation among her peers, instructors, and faculty/staff. As Associate Dean of the college, I want to ensure she is fully celebrated and remembered. Please consider awarding Tia Meshawn Gorrell an *In Memoriam* (Posthumous) Honorary degree. I believe doing so will go a long way toward full acknowledgment and healing for her loved ones and this university.

Sincerely,

Vice Chancellor for Academics and Student Support-Associate Dean  
College of Agricultural, Human and Environmental Sciences  
Southern University Agricultural Research & Extension Center

---

Dr. Orlando F. McMeans  
Chancellor-Dean  
Southern University Agricultural, Research and Extension Center  
College of Agricultural, Human and Environmental Sciences

Dr. Luria Young  
Interim Vice Chancellor for Academic Affairs  
Southern University and A&M College  
Baton Rouge, Louisiana

**#GrowJags**



COLLEGE OF  
**Agricultural, Human and  
Environmental Sciences**

*Southern University and A & M College System*  
**SOUTHERN UNIVERSITY – BATON ROUGE CAMPUS**  
Fisher Hall  
P. O. Box 10010  
Baton Rouge, LA 70813  
(225) 771-0252  
[www.subr.edu](http://www.subr.edu)  
[www.suagcenter.com](http://www.suagcenter.com)

Chancellor John Pierre  
Executive Vice President for Southern University System  
Southern University System  
Baton Rouge, Louisiana

President Dennis Shields  
Southern University System  
Baton Rouge, Louisiana

**#GrowJags**

The Southern University Agricultural Research and Extension Center is a statewide campus of the Southern University System and provides equal opportunities in programs and employment. Southern University and A & M College, Louisiana parish governing bodies, Louisiana State University, and United States Department of Agriculture cooperating.



JOB CLASS				
JOB CODE				
CAL ID				

**SOUTHERN UNIVERSITY SYSTEM**

**Personnel Action Form**

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

CAMPUS: SUS X SUBR \_\_\_\_\_ SULAC \_\_\_\_\_ SUAREC \_\_\_\_\_ SUNO \_\_\_\_\_ SUSLA \_\_\_\_\_

EMPLOYMENT CATEGORY: 9-MONTH \_\_\_\_\_ 12-MONTH X OTHER \_\_\_\_\_ (Specify) \_\_\_\_\_

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

Previous Employee \_\_\_\_\_ Reason Left \_\_\_\_\_  
Date Left \_\_\_\_\_ Salary Paid \_\_\_\_\_

**Profile of Person Recommended**

Length of Employment July 1, 2023 To June 30, 2024

Effective Date January 1, 2024

Name Sandra S. Stepter SS# \_\_\_\_\_ Sex F Race\* B

(Last 4 digits only)

Position Title: Facilities Planner Department: Facilities Planning

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

New Position Expiration Date: \_\_\_\_\_

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

Years Experience 17 Southern University Experience 0

Degree(s):	Type/Discipline (BA-Education):	Institution/Location	Year:
	<u>Bachelor of Architecture</u>	<u>Southern University and A&amp;M College</u>	<u>2005</u>
	<u>Master of Science Construction</u>	<u>Louisiana State University</u>	<u>2019</u>

Current Employer LSU Ag Center

**Personnel Action**

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

Recommended Salary \$75,000.00 Salary Budgeted \$75,000.00

Source of Funds State Budget

Identify Budget: 111005-11303 Location \_\_\_\_\_  
Form Code: \_\_\_\_\_ Page \_\_\_\_\_ Item # \_\_\_\_\_

Change of: \_\_\_\_\_ From \_\_\_\_\_ To \_\_\_\_\_

Position \_\_\_\_\_  
Status \_\_\_\_\_  
Salary Adjustment \_\_\_\_\_

Financial Aid signature (if, applicable):

List total funds currently paid this employee by Southern University:

\*See Reverse Side

Comments: (Use back of form)

Source of Funds	Amount
111005-11303-61002-16000	\$75,000.00

\*See Reverse Side

Graduate School signature (if, applicable):

Supervisor \_\_\_\_\_ Date 11/7/2023 Dean/Unit Head \_\_\_\_\_ Date 11/7/2023

Vice Chancellor \_\_\_\_\_ Date 11/07/2023 Chancellor \_\_\_\_\_ Date \_\_\_\_\_  
Director/Personnel \_\_\_\_\_ Date \_\_\_\_\_ Vice President/Finance \_\_\_\_\_ Date \_\_\_\_\_  
Business Affairs/Comptroller \_\_\_\_\_ Date \_\_\_\_\_

President \_\_\_\_\_ Date \_\_\_\_\_ Chairman/S.U. Board of Supervisors \_\_\_\_\_ Date \_\_\_\_\_

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

**ETHNIC ORIGIN (Please check one):**

\_\_\_\_\_ Hispanic or Latino \_\_\_\_\_ Non-Hispanic or Non-Latino

**RACE (Please check all that apply):**

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

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

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

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

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

**COMMENTS:**

**EMPLOYEE REGULAR WORK SCHEDULE:** 8:00 AM - 5:00 PM  
**EMPLOYEE DIRECT SUPERVISOR:** Kenneth Dawson  
**SUPERVISOR/DEPARTMENT CONTACT NUMBER** 225-771-2786  
**NUMBER OF EMPLOYEES SUPERVISED, (if any)** \_\_\_\_\_

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

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

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

**CLASS OF EMPLOYMENT (VISA STATUS):**

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

**FUNDS AVAILABLE**  
OFFICE OF THE VICE PRESIDENT  
FOR FINANCE & BUSINESS AFFAIRS  
SOUTHERN UNIVERSITY SYSTEM  
SIGMA 11/7/23

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

- PAF APPROVAL PROCESS CHECKLIST** (Must have the information outlined below):
- \_\_\_\_\_ Approved Position Vacancy Authorization Form (applicable for new and replacement positions)
  - \_\_\_\_\_ Position Vacancy Announcement (position advertised before processing PAF, if applicable)
  - \_\_\_\_\_ Application for Employment Form Admin/Fac/Uncl Positions (Civil Service Application for classified employees)
  - \_\_\_\_\_ Authority to Release (signed by employee) (submitted to Human Resources with Criminal/Background Check form)
  - \_\_\_\_\_ Supervisory Criminal/Background Check Form (completed by employee/ verified and signed by supervisor)
  - \_\_\_\_\_ Exemptions Survey Form (signed by employee and budget head)
  - \_\_\_\_\_ Proposed Employee Appointment
  - \_\_\_\_\_ Proposed Employee Clearance
  - \_\_\_\_\_ Restricted/ Job Appointment/CS Rule 6.5g Letter of Justification (for classified, if applicable)

# SANDRA S. STEPTER

## Project Manager

### CONTACT

713.777.7737  
@gmail.com  
Baton Rouge, LA 70803

### EDUCATION

#### LOUISIANA STATE UNIVERSITY GPA: 4.0

Baton Rouge, LA

Master of Science (MSCM)  
Construction Management  
(Dec 2019)

#### SOUTHERN UNIVERSITY AND A&M COLLEGE

Baton Rouge, LA

Bachelor of Architecture (B.Arch.)  
Architecture (Jul 2005)

### SOFT SKILLS

Written & Oral Communication



Critical Thinking



Team leadership



Independent



Teamwork



Perseverance



Punctual & Reliable



### HARD SKILLS

Microsoft Office



Adobe Creative Cloud Suite



Autodesk AutoCAD



Autodesk Revit



### PROFILE

Project Manager with experience working in the private sector as well as the city, state, and federal government sectors. Extensive architectural experience with project types ranging from laboratories to hospitals, transit stations to airports, courthouses to schools, banks to office buildings, restaurants to grocery stores, sheds to warehouses, and more. I am a quick learner who is actively pursuing licensure and eager to expand my experiences. Proficient in AutoCAD and Microsoft Word Office Suite. Familiar with Revit, Sketch-Up, and PhotoShop.

### PROFESSIONAL EXPERIENCE

#### PROJECT MANAGER/ ARCHITECT INTERN

LSU AgCenter / Baton Rouge, LA / Aug 2013 - Present

- Consult with clients to determine design requirements for renovation and remodel projects.
- Serve as the owner's representative on all projects.
- Provide full architectural design services for in-house projects.
- Analyze building codes, space and site requirements, reports, and other technical documents to determine their effect on architectural designs.
- Provide information regarding design, specifications, materials, color, equipment, estimated costs, and construction time.
- Coordinate structural, electrical, and mechanical designs to graphically represent building plans.
- Prepare preliminary cost estimates, contracts, bidding documents, and technical reports for specific projects under an architect's supervision.
- Represent clients in obtaining bids and awarding construction contracts.
- Provide construction administration services for in-house projects.
- Conduct periodic field observations during construction to monitor compliance with design specifications and advise on design intent.
- Serve as project manager for outside design projects.
- Attend OAC meetings.
- Conduct pre-bid meetings and pre-construction conferences.
- Review payment applications for approval and payment.
- Maintain and track project status in the database for in-house and outside design projects.

#### PROJECT ARCHITECT I

Jacobs Engineering / Dallas, TX / Mar 2008 - Jun 2012

- Consult with clients to determine functional or spatial requirements for laboratory and warehouse projects.
- Plan or design buildings such as banks, schools, hospitals, and other architectural properties per environmental, safety, or other regulations.
- Prepare scale drawings.
- Prepare field reports for site visits on federal projects.

## SUCCESSFUL PROJECTS

**Trees & Trails Restroom Building**  
*Baton Rouge, LA*

**Multi-Lab Renovation**  
*Rayne, LA*

**Transportation Security Administration (TSA)**  
*Nationwide*

**Office Addition**  
*Rayne, LA*

**Mentor**  
*Irving, TX*

**DART (ADA)**  
*Dallas, TX*

**US-VISIT**  
*Nationwide*

**Davaco**  
*Nationwide*

**Outdoor Pavilion Egress Addition**  
*Pollock, LA*

**Food Incubator Warehouse Renovation**  
*Baton Rouge, LA*

**Chick-Fil-A**  
*Nationwide*

**Kroger**  
*Houston, TX*

**ProVison School**  
*Houston, TX*

**Children's Hospital**  
*Birmingham, AL*

**Courthouse Renovation**  
*Birmingham, AL*

## ORGANIZATIONS

**National Association of State Facilities Administrators (NASFA)**  
*Education Committee Member*

**Associate American Institute of Architects (Assoc. AIA)**  
*Candidate for Associate Liaison 2024*

## REFERENCES

Provided upon request

- Layout and plan interior arrangements for federal buildings using CAD software.
- Integrate engineering elements into architectural designs.
- Direct workers in preparing drawings.
- Compile measurements, assess existing building conditions, and assemble data to determine architectural designs.
- Supervise, coordinate, and inspect the work of draftspersons on architectural projects.
- Resolve technical problems and coordinate assignments to improve workflow and scheduling.
- Review technician's reports and photographs, interpret findings and provide recommendations for remediation of deficient conditions.
- Monitor testing processes from the conceptual phase through construction administration for laboratory projects.
- Provide recommendations and assist with modifications, designs, and specifications.
- Develop contract documents for building modifications to be issued for construction.
- Perform site assessments and recommend modifications to comply with ADA Accessibility Standards.
- Provide architectural services for 1st phase of the Air Reserve Base lodging facility.
- Coordinate Department of Homeland Security's US Visitor Immigrant Status Indicator Tech Program.
- Work with government agencies in the construction of 10-Print Scanners at 25 ports of entry across northern and southern borders and the Bahamas.
- Provide architectural services to upgrade existing infrastructure, interior, and graphics at US airports.

### ARCHITECTURAL DESIGNER

*BBI Architects / Baton Rouge, LA / Oct 2006 - Feb 2008*

- Operate CAD software to produce working drawings for restaurant remodel projects.
- Analyze building codes, by-laws, space and site requirements, and other technical documents and reports to determine the effect on architectural designs.
- Coordinate structural, electrical, and mechanical designs and determine a method of presentation that graphically represents building plans.
- Draw detailed scale plans for restaurant buildings based on preliminary concepts and sketches.

### ARCHITECTURAL INTERN

*CDA Architects / Houston, TX / Jan 2006 - Sep 2006*

- Operate CAD software to produce designs, working drawings, charts, forms, and records.
- Draw rough and detailed scale plans for buildings, and structures, based on preliminary concepts, sketches, engineering calculations, specification sheets, and other data.
- Layout and plan interior room arrangements for commercial buildings using CAD software.
- Reproduce drawings on copy machines or trace copies of plans and drawings using transparent paper, ink, pencil, and standard drafting instruments.
- Prepare colored boards of interior finishes for presentation to the client.

## **Position Description**

### **Facilities Planner**

#### **Southern University System**

##### **Specific duties and responsibilities of the Facilities Planner:**

- Assist with the review of capital outlay budget requests prepared by the various campuses.
- Prepare architectural/engineering programs for new construction, alterations, additions and major repairs for capital outlay and projects as assigned by the director.
- Review architectural/engineering construction documents for capital outlay projects.
- Attend scheduled construction project meetings and conduct regular on-site inspections.
- Prepare plans and specifications for small capital projects.
- Conduct post construction evaluations and prepare reports for warranty inspections.
- Review Designer's and Contractor's requests for changes in work, applications for payment, shop drawings, as-built drawings and make recommendations to the director.
- Maintains an up-to-date file of all capital outlay projects in progress.
- Attend and participate in conferences and meetings with architects, engineers, campus officials and state officials as assigned by the director.
- Post projects, verify approvals, and pay approved invoices for various departments on campus via the state Office of Facility Planning and Control Major Repairs ADA and Re-roofing website administrator.
- Coordinate lease agreements, renewals, and payments (when applicable) for the System via the state Office of Facility Planning and Control.
- Assist the director in correspondence and meetings with the Southern University Board of Supervisors, Facility Planning and Control, Louisiana Board of Regents, and Louisiana Department of Transportation and Development.
- Insures payment of all approved design / construction invoices and tracks status.
- Present a fiscal year close-out document prior to June 30<sup>th</sup> depicting all funds spent, projects in progress and projects completed for the Southern University System.
- Manage small projects as requested by various departments approved by director.
- Any related duties as assigned by the Director.

SOUTHERN UNIVERSITY - BATON ROUGE, LA 70813

SUS  SUBR  SULAC  SUAREC  SUNO  SUSLA

\*\*\*\*\*  
**POSITION VACANCY AUTHORIZATION**  
 \*\*\*\*\*

REQUEST THAT THE POSITION TITLE Facilities Planner AS DESCRIBED BELOW  
 BE AUTHORIZED AS A VACANCY FOR Facilities Planning  
 (Department or Unit)

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

**VACANCY DESCRIPTION AND JUSTIFICATION**

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

The Facilities Planner will assist with the review of capital outlay budget requests prepared by various campuses. Prepare architectural/engineering programs for new construction, alterations, additions and major repairs for capital outlay and projects as assigned by the director. Review architectural/engineering construction documents for capital outlay projects. Attend scheduled construction project meetings and conduct regular on-site inspections. Prepare plans and specifications for small capital projects. Conduct post construction evaluations and prepare reports for warranty inspections. Review Designer's and Contractor's requests for changes in work, applications for payment, shop drawings, as-built drawings and make recommendations to the director. See Attached Job Description.

Salary/Range: \$70,000-\$75,000

Approved  Disapproved [Signature] 9/5/23  
 Department Head Date

Approved  Disapproved [Signature] 9/5/23  
 Dean/Director/Supervisor of Budget Unit Date

FINANCE/BUDGET OFFICE ONLY	
Funds Available	
<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<u>1M8895</u>	
<u>[Signature]</u>	<u>11/7/2023</u>
Signature	Date
Budget Number	<u>111005-11303-61002-16000</u>

HUMAN RESOURCES OFFICE ONLY			
Existing/Approved Position			
<input checked="" type="checkbox"/> Yes		<input type="checkbox"/> No	
Employee Class:	<u>MU</u>	Job Class:	<u>13770</u>
Verified By: <u>Mikhael William</u>			<u>09/08/23</u>
Date:			

Approved  Disapproved \_\_\_\_\_  
 Vice Chancellor Date

Approved  Disapproved [Signature] \_\_\_\_\_  
 Chancellor/Vice President Date

Approved  Disapproved [Signature] \_\_\_\_\_  
 President 9/7/23  
 Date

An Equal Opportunity Employer

# Vacancy Announcement System (VAS)

## Position Vacancy Announcement Request

Date: September 5, 2023 Department: Facilities Planning

SUS  SUBR  SULC  SUAREC  SUNO  SUSLA

Application Deadline: September 22, 2023 Date position to be filled: November 1, 2023

Position Title: Facilities Planner Civil Service Pay Level: \_\_\_\_\_

Salary (annual): \$70,000 or Salary Range: \$70,000 to \$75,000

Please check all categories that apply to this position:

Status:	Faculty Position	Unclassified Position	Classified Position
<input type="checkbox"/> Part-time % of time	<input type="checkbox"/> Temporary	<input checked="" type="checkbox"/> Administrative	<input type="checkbox"/> Probationary
<input checked="" type="checkbox"/> Full-Time	<input type="checkbox"/> Tenure	<input type="checkbox"/> Temporary	<input type="checkbox"/> Job Appointment
	<input type="checkbox"/> Tenure Track (Probationary)	<input type="checkbox"/> Permanent	<input type="checkbox"/> Provisional Appointment
	<input type="checkbox"/> Grant	<input type="checkbox"/> Grant	FOR HR USE ONLY: CS Job Code: _____
	<input type="checkbox"/> Contract	<input type="checkbox"/> Contract	

Contact Person: Kenneth Dawson Telephone No: 225-771-2786

Contact Email Address: Kenneth.dawson@sus.edu

Contact e-mail address is for:

Human Resources utilization only  posting to VAS website

**Brief job description** [Maximum 12 lines @ 250 characters (including spaces) per line]:

The Facilities Planner will assist with the review of capital outlay budget requests prepared by various campuses. Prepare architectural/engineering programs for new construction, alterations, additions and major repairs for capital outlay and projects as assigned by the director. Review architectural/engineering construction documents for capital outlay projects. Attend scheduled construction project meetings and conduct regular on-site inspections. Prepare plans and specifications for small capital projects. Conduct post construction evaluations and prepare reports for warranty inspections. Review Designer's and Contractor's requests for changes in work, applications for payment, shop drawings, as-built drawings and make recommendations to the director.

**Minimal qualifications** [Maximum 12 lines @ 250 characters (including spaces) per line]:

Required qualifications are a Bachelor Degree in Architecture or Engineering or with at least five (5) years' experience in planning of physical facilities, construction management and the Capital Outlay Process.

**Remarks/How To Apply** (letter of application, curriculum vita, resume, references, etc)/Mailing Address

[Maximum 12 lines @ 250 characters (including spaces) per line]:

Interested and qualified applicants should complete and submit the attached employment application, a letter of interest, resume, and transcript to:  
 System Director of Facilities Planning  
 Southern University System  
 3<sup>rd</sup> Floor, J.S. Clark Administration Building  
 Room  
 Baton Rouge, LA 70813

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

J.S. Clark Administration Building  
Post Office Box 9820  
Baton Rouge, Louisiana 70813  
Office: 225 771-2360

November 8, 2023

Dennis J. Shields, President-Chancellor  
Southern University Systems  
4<sup>th</sup> Floor, J S Clark Administration Building  
Baton Rouge, Louisiana 70813

Dear President-Chancellor Shields:

The items listed below are hereby being submitted for the November 2023 Board of Supervisors Meeting Agenda:

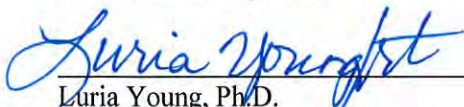
□ Chancellor's Report

*Action Item(s):*

- **Posthumous Degree** ~ Tia Meshawn Gorrell – College of Agricultural, Human & Environmental Sciences
- Carriere, Patrick ~ Sciences & Engineering – **Salary Adjustment**
- Brown, Lasonia ~ SU Laboratory School - **Guidance Counselor**
- McCall, Shanta ~ SU Laboratory School - **Guidance Counselor**
- Briggs, Conusella ~ TRIO Program – Enrollment Management - **Project Coordinator**
- Watson, Cariola ~ TRIO Program – Enrollment Management - **Project Coordinator**
- Taylor, Crystal ~ Registrar's Office - **Coordinator, Degree Audit & Scheduling**
- O'Connor, Amanda ~ Graduate School – **Graduate Admissions Coordinator/International Transcript Evaluator**
- Kaliba, Aloyce ~ College of Business - **Leave of Absence**
- Calhoun, Stephenne ~ Transfer from SULC to University Counseling Center – **Salary Adjustment**
- Hitchens, Porshe ~ Transfer from SULC to University Counseling Center – **Salary Adjustment**
- Hollins, Ariana ~ Transfer from SULC to University Counseling Center – **Salary Adjustment**
- Stanford, Sean ~ Transfer from SULC to University Counseling Center – **Salary Adjustment**
- Travis, Andrea ~ Transfer from SULC to University Counseling Center – **Salary Adjustment**
- Jackson, Charnel ~ Transfer to University Counseling Center – No Salary Change
- Irvin, Valaray ~ Director, University Counseling Center – **Salary Adjustment**
- Davis, Latisha ~ Executive Assistant, University Counseling Center – **Salary Adjustment**

Should you have any questions or need additional information, please let me know.

With kindest regards,

  
Luria Young, Ph.D.  
Interim Vice-Chancellor

  
John K. Pierre, Esq.  
Interim Executive Vice President

/rnt

Enclosure(s)





# SOUTHERN UNIVERSITY AND A&M COLLEGE SYSTEM

J.S. CLARK ADMINISTRATION BUILDING  
4TH FLOOR  
BATON ROUGE, LOUISIANA 70813

REC'D-ACAD AFFRS  
2023 NOV 8 PM3:52

OFFICE OF THE  
PRESIDENT-CHANCELLOR  
(225) 771-4680

November 7, 2023

FAX NUMBER  
(225) 771-5522

Dennis J. Shields  
President/Chancellor  
Southern University System and Baton Rouge Campus  
J. S. Clark Administration Building  
4<sup>th</sup> Floor  
Baton Rouge, LA 70813

RE: Salary adjustments for University Counseling Center Personnel and transfer of Mental Health Therapist from The Southern University Law Center to the University Counseling Center on the Southern University Baton Rouge Campus

Dear President Shields:

The Louisiana Board of Regents allocated approximately \$680,000 to the Southern University Baton Rouge Mass to enhance mental health services. In September, a plan was developed and submitted to the Board of Regents. As part of this plan, salary adjustments are proposed to increase retention of mental health therapists and staffers. The retention adjustments are as follows:

Name	Title	Current Salary	Proposed Salary	Increase
Calhoun, Stephenne	Mental Health Therapist	\$ 64,000.00	\$ 72,000.00	\$ 8,000.00
Hitchens, Porshe	Mental Health Therapist	\$ 64,000.00	\$ 72,000.00	\$ 8,000.00
Hollins, Ariana	Mental Health Therapist	\$ 61,500.00	\$ 72,000.00	\$ 10,500.00
Stanford, Sean	Mental Health Therapist	\$ 64,000.00	\$ 72,000.00	\$ 8,000.00
Travis, Andrea	Mental Health Therapist	\$ 64,000.00	\$ 72,000.00	\$ 8,000.00

In addition, salary adjustments are proposed for the Director of the University Counseling Center and the Executive Assistant of the University Counseling Center as follows:

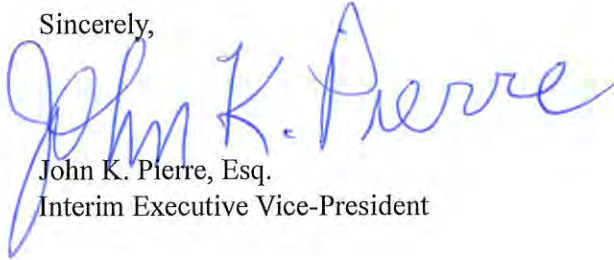
Name	Title	Current Salary	Proposed Salary	Increase
Dr. Valary Irvin	Director	\$ 99,798.40	\$ 115,000	\$ 15,201.60
Davis, Latisha	Executive Assistant	\$ 45,751.00	\$ 49,000	\$ 3,249.00

Furthermore, Mental Health Therapist, Charnal Jackson will transfer from the Southern University Law Center to the University Counseling Center on the Southern University Baton Rouge campus. Her current salary is \$78,000 and will not require an adjustment in salary.

I respectfully request that this proposal be presented to the Southern University Board of Supervisors at its November 25, 2023, meeting for approval. If the board approves this request, we are asking that the effective date be November 1, 2023.

If you have any questions, please feel free to contact me.,

Sincerely,



John K. Pierre, Esq.  
Interim Executive Vice-President

APPROVED: \_\_\_\_\_

Dennis J. Shields  
President/Chancellor

REC'D VP FIN&BUS AFFAI  
'23 NOV 6 AM 10:03



**Educational TALENT SEARCH TRiO Programs**  
225.771.5100 Phone  
225.771.3507 Fax

P.O. Box 9694  
Baton Rouge, Louisiana 70813

◆ The CLASSIC ◆ Project EXCEL

October 27, 2023

Dr. Anthony Jackson  
Interim Vice Chancellor of Enrollment Management  
Southern University and A&M College  
Baton Rouge, LA 70813

Dear Dr. Jackson,

This correspondence is to request approval for a salary increase for Cariola Watson and Consuella Briggs, Project Coordinators, Educational Talent Search Excel and Classic Programs.

Ms. Watson and Ms. Briggs are vital to the day to day operations of Educational Talent Search, each providing over twenty years of dedicated and loyal service to the disadvantaged students in our target school areas.

Both assumed increased duties with additional schools served and assuming more responsibilities due to recent shortage of staff. I am recommending a salary of \$70,843, an increase of \$4,000, with an effective date of September 1, 2023.

I respectfully request that my recommendation for the salary increase be considered and approved.


If you have any questions or need additional information, please do not hesitate to contact me.

Sincerely,  
  
**Patricia C. Doucet**  
Executive Director  
Educational Talent Search  
Southern University and A&M College

SOUTHERN UNIVERSITY  
OFFICE OF THE C

NOV 02 2023

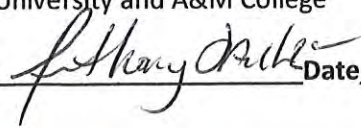
SPONSOR!  
POLIC  
COM



**Dr. Kyla Pitcher**  
Executive Director of Pre-College and Outreach Programs  
Southern University and A&M College

Approved  Date 10/27/2023

**Dr. Anthony Jackson**  
Interim Vice Chancellor of Enrollment Management and Student Success  
Southern University and A&M College

Approved  Date 10/31/2023

EMP CLASS				
HI		RT		LV

**SOUTHERN UNIVERSITY SYSTEM**

**Personnel Action Form**

POSITION NUMBER							
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CAMPUS: SUS \_\_\_ SUBR X SULAC \_\_\_ SUAREC \_\_\_ SUNO \_\_\_ SUSLA \_\_\_

EMPLOYMENT CATEGORY: 9-MONTH \_\_\_ 12-MONTH X OTHER \_\_\_ (Specify) \_\_\_

**TYPE OF APPOINTMENT:**

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Academic (Fac)      | <input checked="" type="checkbox"/> Non-Academic (Uncl)  | <input type="checkbox"/> Civil Service      |
| <input type="checkbox"/> Temporary           | <input type="checkbox"/> Part-time ( ___ % of Full Time) | <input type="checkbox"/> Restricted         |
| <input type="checkbox"/> Tenured             | <input type="checkbox"/> Undergraduate Student           | <input type="checkbox"/> Detail #of mos ___ |
| <input type="checkbox"/> Tenured Track       | <input type="checkbox"/> Graduate Assistant              | <input type="checkbox"/> Job Appointment    |
| <input type="checkbox"/> Other (Specify) ___ | <input type="checkbox"/> Retiree Return To Work          | <input type="checkbox"/> Probationary       |
|  |  | <input type="checkbox"/> Permanent Status   |

Previous Employee \_\_\_\_\_ Reason Left \_\_\_\_\_  
 Date Left \_\_\_\_\_ Salary Paid \_\_\_\_\_

**Profile of Person Recommended**

Length of Employment \_\_\_\_\_ To \_\_\_\_\_  
 Effective Date September 1, 2023

Name Consuella Savoie SS# U01473516 Sex Female Race\* black  
 (Last 4 digits only)

Position Title: Project Coordinator/Assistant Director/CCp Manager Department: Educational Talent Search

Check One  Existing Position  New Position  
 \*Visa Type (See Reverse Side):     
 Visa Expiration Date: \_\_\_\_\_

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

Years Experience \_\_\_\_\_ Southern University Experience \_\_\_\_\_

Degree(s):	Type/Discipline (BA-Education):	Institution/Location (SU-Baton Rouge):	Year:
	<u>B.S. Rehabilitation Counselor</u>	<u>Southern University-Baton Rouge</u>	<u>1996</u>
	<u>M.A. Mental Health Counselor</u>	<u>Southern University-Baton Rouge</u>	<u>1999</u>

Current Employer Southern University and A&M College

**Personnel Action**

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

Annual Salary \$66,843.00 Salary Budgeted \$70,843.00 Hourly Rate, if applicable: \_\_\_\_\_

Pay Cycle:  Biweekly  Monthly  Faculty

Source of Funds: Ed. Talent Search Identify Budget: 220478 Location: \_\_\_\_\_

**Change of:** \_\_\_\_\_  
 From \_\_\_\_\_ To \_\_\_\_\_  
 Position: \_\_\_\_\_  
 Status: \_\_\_\_\_  
 Salary Adjustment: \$66,843.00 70,843.00

**Financial Aid signature (if, applicable):**

List total funds currently paid this employee by Southern University:

Source of Funds (Current)	Amount
<u>220478</u>	<u>\$70,843.00</u>

\*See Reverse Side

Comments: (Use back of form)

\*See Reverse Side

**Graduate School signature (if, applicable):**

Supervisor: Daniel A. Hovest Date: 10/27/2023  
 Dean/Unit Head: Kyle D. Pichey Date: 10/27/2023  
 Vice Chancellor: [Signature] Date: 11/2/23  
 Chancellor: [Signature] Date: 11/2/23  
 Director/Personnel: [Signature] Date: 11/2/23  
 Vice President/Finance: [Signature] Date: 11/2/23  
 Business Affairs/Comptroller: [Signature] Date: 11/2/23

President \_\_\_\_\_ Date \_\_\_\_\_ Chairman/S.U. Board of Supervisors \_\_\_\_\_ Date \_\_\_\_\_



8/31/2024

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

**ETHNIC ORIGIN (Please check one):**

Hispanic or Latino  Non-Hispanic or Non-Latino

**RACE (Please check all that apply):**

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

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

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

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

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

**COMMENTS:**

**Must be completed by hiring supervisor:**

EMPLOYEE REGULAR WORK SCHEDULE: 8:00 am – 5:00 pm Monday-Friday

EMPLOYEE DIRECT SUPERVISOR: Patricia C. Doucet

SUPERVISOR/DEPARTMENT CONTACT NUMBER 225 771-2235

NUMBER OF EMPLOYEES SUPERVISED, (if any) \_\_\_\_\_

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

**GUIDELINES:** All employees, students, graduate assistants being employed through the use of this form are to report to and be cleared by the Human Resources before any employment is offered and before starting to work. All students are to bring with them clearance from the Financial Aid office, Statement of Account (fee receipt), and a class schedule. All prospective employees/students must bring a pictured ID, social security card, birth certificate, certificate of naturalization, resident alien card, H1-B and J-1 visas, passport, and F-1/I-94/I-20. The latter seven (7) documents do not apply to U.S. Citizens.

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

**CLASS OF EMPLOYMENT (VISA STATUS):**

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

SOUTHERN UNIVERSITY SYSTEM  
OFFICE OF THE ASSOCIATE COMPTROLLER  
(I certify that the above purchase(s) is (are)  
allowable under the terms and conditions  
of the appropriation, budget or award agreement)

**EXPIRES**

NOV 02 2023

//Allowability/Compliance Verified By W Marshall  
/Encumbered Funds Available By W Marshall  
Doc: I.D. No.: \_\_\_\_\_

**Do Not Write Below This Area - For Human Resource Use Only**

**PAF APPROVAL PROCESS CHECKLIST** (Must have the information outlined below, the forms are located at Downloadable Forms on the HR website at [www.subr.edu/humanresources](http://www.subr.edu/humanresources)).

- Approved Position Vacancy Authorization Form (applicable for new and replacement positions)
- Position Vacancy Announcement (position advertised before processing PAF, if applicable)
- Application for Employment Form-Admin/Fac/Uncl Positions (Civil Service Application for classified employees)
- Reference Check Form (reference check performed by hiring supervisor)
- Authority to Release (signed by employee) (submitted to HR with Verification of Fingerprints form signed by State Police)
- Criminal/Background Check Process (forms completed by employee/ submitted to State Police )
- Exemptions Survey Form (signed by employee and budget head)
- Proposed Employee Appointment Form (completed by hiring supervisor)
- Proposed Employee Clearance Form (completed by hiring supervisor)
- Letter of Justification for Restricted/ Job Appointment/Detail/CS Rule 6.5g appointments
- Citizenship/Visa Status Verified, I-20/I-94 provided, if applicable

TALENT SEARCH PROGRAM  
Southern University-Baton Rouge

**Consuella Savoie-Briggs**

Baton Rouge, LA 70813

**EDUCATION**

Louisiana Technical College, Baton Rouge, Louisiana  
**Early Childhood Development**  
2005

Southern University A&M College, Baton Rouge, Louisiana  
**Master of Arts in Mental Health Counseling**  
May 1999

Southern University A&M College, Baton Rouge, Louisiana  
**Bachelor of Science (Rehabilitation Services)**  
December 1996

Jennings High School, Jennings, Louisiana  
**Diploma**  
May 1990

**WORK EXPERIENCE**

**Assistant Director/Project Coordinator/Counselor/CCP Manager**

Southern University, Baton Rouge, Louisiana 70813

Educational TALENT SEARCH Project Classic

**2016 – Present**

**Responsibilities:** Provide support to the Administrator/Executive in the development, coordination, and supervision of program activities/services and staff in serving 983 middle/high school students in local and surrounding parishes to achieve the goals of the grant. Support measures include: Assisting in daily operations and assuming leadership in director's absence; Initiating and monitoring battery of assessments; Providing oversight and training with electronic accountability system; Conducting staff training on project programming and student eligibility requirements; Maintaining viable rapport in targeted schools and communities; Conducting and scheduling monthly academic/personal/career counseling workshops for (4) four of twelve (12) target-area schools; Maintaining electronic and file folder file on eligible students enrolled in four (4) assigned schools; Managing a specified initiative; and Tracking participants and services to meet grant objectives (APR) annually. **ADDITIONS** to assigned target schools served by Project Coordinator during staff shortage is (8) eight, totaling (12) twelve schools currently served; where the total number of eligible students (983) are confirmed contacts is vital to the grant's success each year.

## **RESUME'**

**Consuella Savoie-Briggs – (2)**

**TALENT SEARCH PROGRAM**  
Southern University – Baton Rouge

### **Project Coordinator**

Southern University, Baton Rouge, Louisiana 70813

Educational TALENT SEARCH Project Classic

**2010 –2016**

Responsibilities: Assisting the Executive Director in maintaining and establishing viable rapport with superintendents, principals, and key administrators in target schools; Interpreting field findings pertinent to functions of the project; Providing monthly informational and advisement guidance sessions at assigned schools; Training and supervising project staff in travel to school visitations; Providing oversight in the evaluation and review of statistical data collected on (983) targeted students; Assisting in development and coordination of project activities/services and staff; and Attending training seminars and professional meetings.

### **Field Specialist**

Southern University, Baton Rouge, Louisiana 70813

Educational TALENT SEARCH Project Classic

**2008 – 2010**

Responsibilities: Serving as area recruiter for assigned schools to : Assist in identifying, selecting, and advising eligible program participants; Collect and assess students' application data to determine eligibility for participation; Assess and recommend individual action plans (IAP) to address identified needs for targeted middle/high school participants; Assist Coordinator and Director in developing innovative workshop presentations and IAP materials; Disseminate information on educational, career opportunities, and financial assistance available; and Attend seminars and professional development trainings.

### **Outreach Recruiter/Counselor**

Southern University (Baton Rouge, LA)

Educational TALENT SEARCH Project Classic

**2002 – 2008**

Responsibilities: Conducting informational workshops/activities at target schools in eleven surrounding parishes. Maintain participants documented files; compiling program participant data; writing reports assisting in the development and implementation of innovative and comprehensive guidance counseling workshop activities; Attend staff training and development seminars and attend professional, developmental and staff meetings. Advise students with information to achieve their academic goals. Discuss financial aid options for students who have limited socioeconomic resources. Travel to schools to speak with students and faculty regarding educational opportunities beyond high school. Create activities to enlighten students on career options and goals. Assist high school seniors with the financial aid process and scholarship awareness. Organize events to include parents, school administration and students who have attained academic achievement and award their accomplishments. Assess the student's educational needs and concerns. Develop strategies to strengthen students who are overcoming barriers. Provide information/assistance regarding methods to enroll in post secondary education

## **RESUME'**

**Consuella Savoie-Briggs – (3)**

TALENT SEARCH PROGRAM  
Southern University – Baton Rouge

### **Director of Admissions/Academic Affairs**

Bienville University  
Baton Rouge, Louisiana

**2001-2002**

Responsibilities: Assessed and resolved concerns and conflicts of both employees and students; counseled students with career decisions; evaluated and verified course assignments and requirements; issued grades, transcripts, etc; and demonstrated multitasking abilities; developed and implemented training manuals. Software program, catalogs, policies and procedures; pre-qualified students for student loans; conducted meetings; scheduled, trained, hired and calculated payroll for new staff; recruited, enrolled, and interviewed qualified students; provided daily performance reports to President.

### **Job Developer/Acting Site Manager**

Governor's Office of Women's Services  
Baton Rouge, Louisiana

**1999-2001**

Responsibilities: Developed contacts with employers for opening positions, scheduled job interviews, prepared **JTPA** reports and forms, provided job readiness skills, conducted workshops for women and local high school students, participated in job fairs and presentations for recruitment, prepared statistical reports to Regional Manager and Executive Director, supervised and evaluated delivery of services to clients, maintained fiscal budget for program, participated in fundraisers; provided community resources and referrals for clients, and participated in monthly Industry Board Meetings with local businesses.

### **Intake Counselor**

Baton Rouge Detoxification Center  
Baton Rouge, Louisiana

**1996-1998**

Responsibilities: Admitted clients to the detox center, conducted individual and group counseling sessions with clients to alleviate social and emotional problems, established liaison with various social services agencies that may be of assistance in alleviating client problems, planned the most effective use of available resources toward meeting the prescribed treatment goals for clients.

### **Student Work/Accountant Specialist II**

Office of Student Financial Assistance (LOSFA)  
Baton Rouge, Louisiana

**1992-1999**

Responsibilities: Entered updated information on borrowers account, reviewed and coded documents, filed documents using the proper filing system, assisted Office Manager in posting and mailing important documents for different departments in the agency, transported mail from the agency to other agencies,, mailed out financial aid documents to students, assisted borrowers, lenders, and schools with student loan questions, supervised student workers, networked with other departments of the agency, and prepared manifest and important documents for review.



**RESUME'****Consuella Savoie-Briggs – (4)****TALENT SEARCH PROGRAM  
Southern University – Baton Rouge****OTHER PROFESSIONAL EXPERIENCE:**

**GRANTS:** Assisted in the research and data analysis of target populations to be served by both grants. Compiled documented data to show need of grant funding and plan of operation to successfully achieve proposed objectives and guidelines mandated by funding agency (U. S. Department of Education).

**GRANT CYCLE: 5 YEAR**

**2008- Present** U.S. Department of Education, Southern University and A & M College  
Educational Talent Search Program CLASSIC & EXCEL

**PROFESSIONAL MEMBERSHIPS**

- **2002- Present: Louisiana Association of Student Assistance Programs (LASAP)**
- **2002- Present: Southwest Association of Student Assistance Programs (SWASAP)**
- **2002- Present: Council for Opportunity in Education (COE)**

**REFERENCES: Available upon request**



REC'D EVC-ACAD AFFRS  
2023 OCT 24 PM 1:30

**SOUTHERN LAB**  
SOUTHERN UNIVERSITY  
LABORATORY SCHOOL

Date: Monday, October 23, 2023

To: John D. Pierre  
Interim Executive Vice Chancellor  
3rd Floor, J.S. Clark Administration Building  
Baton Rouge, LA 70813

Re: Request to waive PVA for School Counselor

In order to fill a much needed vacancy as quickly as possible, I would like to request permission to waive the vacancy announcement for the position of School Counselor at Southern University Laboratory School. The school counselor will be responsible for the mental, social, and academic needs of the school. The school counselor is also responsible for implementing 504 plans for students with disabilities.

The Laboratory School has gone four months (not including the summer) without a counselor. We have interviewed and reviewed this vacancy with several candidates; however, we have identified two candidates that will fill these positions admirably. This position is critically important to providing the best academic and wholistic experience possible to our students and families; therefore, this request is being made in an effort to prevent a reduction in the quality of services we provide to them. If any additional clarity is needed regarding this request, please contact me at (225) 771-3490 or [Herman\\_Brister2@subr.edu](mailto:Herman_Brister2@subr.edu).

Sincerely,

Herman R. Brister  
Director

SOUTHERN UNIVERSITY  
OFFICE OF THE COMPTROLLER  
NOV 03 2023  
SPONSORED PROGRAMS ACTIVITY  
DEVELOPMENT and  
OPERATIONS

CC: Luria Young, Ph.D, Interim Vice Chancellor for Academic Affairs

  
John Pierre, Ph.D. JD  
Interim Executive Vice Chancellor

Dennis Shields  
President-Chancellor



**SOUTHERN LAB<sup>®</sup>**  
SOUTHERN UNIVERSITY  
LABORATORY SCHOOL

REC'D EVC-ACAD AFFRS  
2023 OCT 24 PM 1:31

Date: Monday, October 23, 2023

To: John Perre, Ph.D.  
Interim Executive Vice Chancellor  
3rd Floor, J.S. Clark Administration Building  
Baton Rouge, LA 70813

Re: Recommendation of Lasonia Brown for Guidance Counselor at SULS

Please accept this correspondence as a formal request to approve the hire of Lasonia Brown as Guidance Counselor at Southern University Laboratory School (SULS). Mrs. Brown brings 20 years of counseling experience to the Laboratory School.

Mrs. Brown is a two time graduate of Southern University, earning her Bachelor of Science in Psychology and her Masters in Counselor Education. Her expected start date will be December 01, 2023. Accompanying this request is her salary of \$70,000 which is commensurate with salaries for her position and duties in surrounding school districts.

I am requesting your endorsement and that of the Southern University Board of Supervisors to hire Lasonia Brown as school counselor at Southern University Laboratory School. Thank you in advance for your consideration of this request and that of the SUS Board of Supervisors.

Respectfully,

Herman R. Brister  
Director

CC: Luria Young, Ph.D, Interim Vice Chancellor for Academic Affairs

  
John Perre, Ph.D. JD  
Interim Executive Vice Chancellor

Dennis Shields  
President-Chancellor

JOB CLASS				
JOB CODE				
CAL ID				

SOUTHERN UNIVERSITY SYSTEM

REC'D EVC-ACAD AFFRS  
2023 OCT 24 PM 1:31

Personnel Action Form

POSITION NUMBER	2	M	9	8	8	2
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CAMPUS: SUS \_\_\_\_\_ SUBR X SULAC \_\_\_\_\_ SUAREC \_\_\_\_\_ SUNO \_\_\_\_\_ SUSLA \_\_\_\_\_

EMPLOYMENT CATEGORY: 9-MONTH \_\_\_\_\_ 12-MONTH X OTHER \_\_\_\_\_ (Specify) \_\_\_\_\_

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

Previous Employee \_\_\_\_\_ New Position \_\_\_\_\_ Reason Left \_\_\_\_\_  
 Date Left \_\_\_\_\_ Salary Paid \_\_\_\_\_

Profile of Person Recommended

Length of Employment August To May  
 Effective Date December 1, 2023

Name Lasonia Brown SS# 439-11-1557 Sex F Race\* B  
(Last 4 digits only)

Position Title: Guidance Counselor Department: Southern University Laboratory School

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

--	--	--

X New Position Expiration Date: \_\_\_\_\_  
(Position vacancy authorization form must be processed and approved to fill existing and new positions. Position must be advertised before processing PAF, if applicable.)

Years Experience 18 years experience Southern University Experience NA  
 Degree(s): Type/Discipline (BA-Education): M.A. Counselor Education Institution/Location (SU-Baton Rouge): Southern University-Baton Rouge Year: 1994  
B.S. Psychology Southern University-Baton Rouge 1990

Current Employer East Baton Rouge Parish School System

Personnel Action

Check One X New Appointment \_\_\_\_\_ Continuation \_\_\_\_\_ Sabbatical \_\_\_\_\_ Leave of Absence \_\_\_\_\_  
 \_\_\_\_\_ Transfer \_\_\_\_\_ Replacement \_\_\_\_\_ Other (Specify) \_\_\_\_\_

Recommended Salary \$70,000 Salary Budgeted \$70,000

Source of Funds Grant Funds

Identify Budget: SULS General Fund Location \_\_\_\_\_  
 Form Code: 224638-22281-24100 Page \_\_\_\_\_ Item # \_\_\_\_\_

Change of: From \_\_\_\_\_ To \_\_\_\_\_

Position \_\_\_\_\_  
 Status \_\_\_\_\_  
 Salary Adjustment \_\_\_\_\_

Financial Aid signature (if, applicable):

List total funds currently paid this employee by Southern University:  
 \*See Reverse Side

Comments: (Use back of form)

Source of Funds	Amount

\*See Reverse Side

Graduate School signature (if, applicable):

[Signature] 10/23/23  
 Supervisor Date  
Lina Young 10/30/23  
 Vice Chancellor Date  
 \_\_\_\_\_ Date  
 Director/Personnel Date  
 \_\_\_\_\_ Date  
 President Date

[Signature] 10/23/23  
 Dean/Unit Head Date  
[Signature] 10/27/23  
 Chancellor Date  
[Signature]  
 Vice President/Finance Date  
 Business Affairs/Comptroller Date  
 \_\_\_\_\_ Date  
 Chairman/S.U. Board of Supervisors Date

6/30/2024

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

**ETHNIC ORIGIN (Please check one):**

Hispanic or Latino  Non-Hispanic or Non-Latino

**RACE (Please check all that apply):**

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

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

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

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

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

**COMMENTS:**

**EMPLOYEE REGULAR WORK SCHEDULE:** Monday – Friday 7:30am to 4:30 pm  
**EMPLOYEE DIRECT SUPERVISOR:** Herman R. Brister  
**SUPERVISOR/DEPARTMENT CONTACT NUMBER** (225) 771-3490  
**NUMBER OF EMPLOYEES SUPERVISED, (if any)** NA

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

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

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

**CLASS OF EMPLOYMENT (VISA STATUS):**

**TYPE**

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

OFFICE OF THE ASSOCIATE COMPTROLLER  
(I certify that the above purchases) is (are)  
allowable under the terms and conditions  
of the appropriation, budget or award agreement)

SOUTHERN UNIVERSITY SYSTEM  
OFFICE OF THE ASSOCIATE COMPTROLLER  
(I certify that the above purchases) is (are)  
allowable under the terms and conditions  
of the appropriation, budget or award agreement)

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

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

- Approved Position Vacancy Authorization Form (applicable for new and replacement positions)
- Position Vacancy Announcement (position advertised before processing PAF, if applicable)
- Application for Employment Form Admin/Fac/Uncl Positions(Civil Service Application for classified employees)
- Authority to Release (signed by employee) (submitted to Human Resources with Criminal/Background Check form)
- Supervisory Criminal/Background Check Form (completed by employee/ verified and signed by supervisor)
- Exemptions Survey Form (signed by employee and budget head)
- Proposed Employee Appointment
- Proposed Employee Clearance
- Restricted/ Job Appointment/CS Rule 6.5g Letter of Justification (for classified, if applicable)

# Lasonia R. Brown, M.A., P-LPC, School Counselor

**Career Objective:** To provide students with support and guidance in promoting their academic success and maximizing their potential in reaching their academic goals.

## EXPERIENCE

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### AUGUST 2014- PRESENT

#### MCKINLEY HIGH SCHOOL, BATON ROUGE, LA.

Provide guidance in areas of career choices, post-secondary endeavors, social and emotional learning, academic requirements and more to students' grades 9<sup>th</sup>- 12<sup>th</sup>.

Coordinate and participate in team meetings with parents, teachers, and students.

Schedule students in classes and audit transcripts for the purpose of meeting graduation requirements according to the Louisiana Department of Education.

Provide individual and group counseling, identifying students' academic, social, and emotional needs.

Organize school events for students to receive important information, stay abreast of changes and collaborate with community stakeholders to make effective post-secondary decisions.

Attended professional development meetings to remain abreast of changes affecting students' academics and overall success.

Referred students to outside sources when warranted.

### AUGUST 2012- MAY 2014

#### PARK FOREST MIDDLE SCHOOL, BATON ROUGE, LA.

Provided individual and group counseling to students' grades 6<sup>th</sup> - 8<sup>th</sup>.

Collaborated and met with teachers for the purpose of creating 504/IAP (Individual Accommodation Plan), for those students identified.

Coordinated statewide (Leap) assessment.

Guided students in best practice decision making, problem solving and academic choices.

Provided support to students with home environment challenges, bullying or any challenges impeding their progress to being successful and their overall wellbeing.

Attended professional development meetings to remain abreast of changes affecting students' academics and overall success.

Referred students to outside sources when warranted.

### AUGUST 2005- MAY 2012

#### BANKS ELEMENTARY, BATON ROUGE, LA.

Provided group and individual counseling to students' grades K- 5<sup>th</sup> grade.

Coordinated statewide (Leap) assessment.

Collaborated with faculty and staff to better serve students.

Conducted meetings with parents about student academic performance and overall wellbeing.

Attended professional development meetings to remain abreast of changes affecting students' academics and overall success.

Collaborated and met with teachers for the purpose of creating 504/IAP (Individual Accommodation Plan), for those students identified.

Stepped in the role of authority in the absence of the school principal.

Referred students to outside sources when warranted.

## **EDUCATION**

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Southern University, Baton Rouge, La.

**Bachelor of Arts in Psychology, 1998**

Southern University, Baton Rouge, La.

**Master of Art in Counselor Education, 2003**

Southeastern University, Hammond, La.

**Non-Degree Extended Studies**

**Extended Studies Program Major, 2021**

## **CERTIFICATIONS**

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Provisional Licensed Professional Counselor, License # PLC 8697

Ancillary Certificate (School Counselor) AN #440394

References Available Upon Request

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COLLEGE OF SCIENCES & ENGINEERING  
OFFICE OF THE DEAN

Post Office Box 9969  
Baton Rouge, LA 70813  
Office: (225) 771-5290  
Fax: (225) 771-5721

REC'D-ACAD AFFRS  
2023 NOV 2 AM 10:11

October 24, 2023

Attorney John Pierre, Interim Executive Vice President  
Southern University and A&M College  
Baton Rouge, LA 70813

Dear Attorney Pierre,

I am writing to formally request an adjustment to my salary as I transition from my current position as dean to a full-time tenured professor. I have spent the last 25 years of my career in dedication to this institution, serving from 1998-2023, and in the role of Department Chair (10 years), Associate Dean (8 years), and Dean (7years). I look forward to serving in my new faculty role after the new year.

Currently, I am on a 12-month salary plan with an annual income of \$192,000. As you shared with me during our discussion, my new salary should be 80% of my current salary and on a nine-month basis, which corresponds to \$153,600. I kindly request that we initiate the process for this adjustment as soon as possible, so that it can be timely approved by the Board of Supervisors at their November meeting. Should you need additional information or if there are additional steps I should take to facilitate the process, please let me know.

Thank you for your consideration of this request. I am grateful for my time as dean and look forward to my continued association with this institution and continued contribution.

Sincerely,

Patrick Carriere, Ph.D. P.E.,  
Professor and Dean

Approved:

\_\_\_\_\_  
Dr. Lusia Young, Interim Vice Chancellor of Academic Affairs

\_\_\_\_\_  
Attorney John Pierre, Interim Executive Vice President

\_\_\_\_\_  
Ms. Desiree Honore Thomas, Associate Vice President and  
Sr. Administrative Operations Officer

\_\_\_\_\_  
President/Chancellor Dennis Shields





REC'D EVC-ACAD AFFRS  
2023 OCT 24 PM 1:30

**SOUTHERN LAB**  
SOUTHERN UNIVERSITY  
LABORATORY SCHOOL

Date: Monday, October 23, 2023

To: John Perre, Ph.D.  
Interim Executive Vice Chancellor  
3rd Floor, J.S. Clark Administration Building  
Baton Rouge, LA 70813

Re: Recommendation of Shanta McCall for Guidance Counselor at SULS

Please accept this correspondence as a formal request to approve the hire of Shanta McCall as Guidance Counselor at Southern University Laboratory School (SULS). Mrs. McCall brings 28 years of counseling experience to the Laboratory School.

Mrs. McCall is a two time graduate of Southern University, earning her Bachelor of Science in Rehabilitation Psychology and her Masters in Education. Her expected start date will be December 01, 2023. Accompanying this request is her salary of \$70,000 which is commensurate with salaries for her position and duties in surrounding school districts.

I am requesting your endorsement and that of the Southern University Board of Supervisors to hire Shanta McCall as school counselor at Southern University Laboratory School. Thank you in advance for your consideration of this request and that of the SUS Board of Supervisors.

Respectfully

Herman R. Brister  
Director

CC: Luria Young, Ph.D, Interim Vice Chancellor for Academic Affairs

John Perre, Ph.D. JD  
Interim Executive Vice Chancellor

Dennis Shields  
President-Chancellor

JOB CLASS				
JOB CODE				
CAL ID				

**SOUTHERN UNIVERSITY SYSTEM**

**Personnel Action Form**

POSITION NUMBER	2	M	9	8	8
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REC'D EVG-ACAD AFFAIRS  
2023 OCT 24 PM 1:51

CAMPUS: SUS \_\_\_\_\_ SUBR X SULAC \_\_\_\_\_ SUAREC \_\_\_\_\_ SUNO \_\_\_\_\_ SUSLA \_\_\_\_\_

EMPLOYMENT CATEGORY: 9-MONTH \_\_\_\_\_ X 12-MONTH \_\_\_\_\_ OTHER \_\_\_\_\_ (Specify) \_\_\_\_\_

<input checked="" type="checkbox"/> Academic	_____ Non-Academic	_____ Civil Service
_____ Temporary	_____ Part-time ( _____ % of Full Time)	_____ Restricted
_____ Tenured	_____ Undergraduate Student	<input checked="" type="checkbox"/> Job Appointment
_____ Tenured Track	_____ Graduate Assistant	_____ Probationary
_____ Other (Specify)	_____ Retiree Return To Work	_____ Permanent Status

Previous Employee Crystal Franklin Reason Left \_\_\_\_\_  
Date Left May 31, 2023 Salary Paid \_\_\_\_\_

**Profile of Person Recommended**

Length of Employment August To May  
Effective Date December 1, 2023

Name Shanta Hawkins McCall SS# 434-29-9417 Sex F Race\* B  
(Last 4 digits only)

Position Title: Guidance Counselor Department: Southern University Laboratory School

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

--	--	--

  
 New Position Expiration Date: \_\_\_\_\_

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

Years Experience 27 years experience Southern University Experience 1 year

Degree(s):	Type/Discipline (BA-Education):	Institution/Location (SU-Baton Rouge):	Year:
	<u>Master of Education</u>	<u>Southern University-Baton Rouge</u>	<u>1994</u>
	<u>B.S. Rehabilitation Psychology</u>	<u>Southern University-Baton Rouge</u>	<u>1990</u>

Current Employer East Baton Rouge Parish School System

**Personnel Action**

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

Recommended Salary \$70,000 Salary Budgeted \$70,000

Source of Funds State

Identify Budget: SULS General Fund Location \_\_\_\_\_  
Form Code: 211001-22281-24100 Page \_\_\_\_\_ Item # \_\_\_\_\_

Change of: \_\_\_\_\_  
Position \_\_\_\_\_ From \_\_\_\_\_ To \_\_\_\_\_  
Status \_\_\_\_\_  
Salary Adjustment \_\_\_\_\_

Financial Aid signature (if, applicable):

List total funds currently paid this employee by Southern University:  
\*See Reverse Side

Comments: (Use back of form)

Source of Funds	Amount

\*See Reverse Side

Graduate School signature (if, applicable):

[Signature] 10/23/23  
Supervisor Date  
Lusia Young 10/30/23  
Vice Chancellor Date  
\_\_\_\_\_  
Director/Personnel Date  
\_\_\_\_\_  
President Date

[Signature] 10/23/23  
Dean/Unit Head Date  
John K. Pierre 10/27/23  
Chancellor Date  
[Signature]  
Vice President/Finance Date  
Business Affairs/Comptroller  
\_\_\_\_\_  
Chairman/S.U. Board of Supervisors Date

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

**ETHNIC ORIGIN (Please check one):**

Hispanic or Latino  Non-Hispanic or Non-Latino

**RACE (Please check all that apply):**

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

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

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

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

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

**COMMENTS:**

**EMPLOYEE REGULAR WORK SCHEDULE:** Monday – Friday 7:30am to 4:30 pm  
**EMPLOYEE DIRECT SUPERVISOR:** Herman R. Brister  
**SUPERVISOR/DEPARTMENT CONTACT NUMBER** (225) 771-3490  
**NUMBER OF EMPLOYEES SUPERVISED, (if any)** NA

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

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

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

**CLASS OF EMPLOYMENT (VISA STATUS):**

<u>TYPE</u>	<u>CODE</u>	<u>EXPIRES</u>
United States Citizen/Certificate of Naturalization	US	
Resident Alien	RA	
H-1 Visa (Distinguished Merit & Ability)	H1	<i>NOW 02, 2023</i>
J-1 Visa (Exchange Visitor Program)	J1	<i>2M 9882</i>
F-1 Visa (Student Emp. FT Student at S.U.)	F1	<i>9/11/23</i>
OPT (F-1 Visa-INS Prior Approval-“Practical Work Experience”)	F0	<i>21101-2027-6/02-24/00</i>

SOUTHERN UNIVERSITY BUDGET OFFICE  
FUND AVAILABLE

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

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

- Approved Position Vacancy Authorization Form (applicable for new and replacement positions)
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- Supervisory Criminal/Background Check Form (completed by employee/ verified and signed by supervisor)
- Exemptions Survey Form (signed by employee and budget head)
- Proposed Employee Appointment
- Proposed Employee Clearance
- Restricted/ Job Appointment/CS Rule 6.5g Letter of Justification (for classified, if applicable)

**Shanta Hawkins McCall, M.Ed., LPC-S**

1500 ...  
...  
...

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**CAREER OBJECTIVE:**

*Seeking a position to utilizing my experience and education effectively.*

**EDUCATION:**

July 1994                      Southern University                      Baton Rouge, LA  
Master of Education

July 1990                      Southern University                      Baton Rouge, LA  
Bachelor of Science

**PROFESSIONAL EXPERIENCE:**

August 2018- Present                      East Baton Rouge Parish School System                      Baton Rouge, LA  
**School Counselor (10 Months) Employment 2005-2017**

- Provides individual and group counseling in a confidential setting.
- Participates in the School Building Level Committee/Building Level Committee such as RtI, and 504 Chairperson
- Coordinates the LEAP testing program and serve as School Test Coordinator
- Counseling students, providing guidance concerning academics, enrollment, attendance, scheduling, college and career opportunities
- Plans for professional development
- PBIS School-based facilitator/Coach/SEL- Social Emotional Learning
- Review and help teachers implement Individual Education Plans for students with disabilities

August 2017- May 2018.                      Southern University Laboratory School                      Baton Rouge, LA  
**School Counselor (10 Months)**

- Participates in the School Building Level Committee/Building Level Committee such parent conferences, 504 Chairperson
- Assesses student progress and academic planning
- Plans for professional development
- Review and help teachers implement 504 plans
- Course request and interpretation of Student Transcripts
- Work with LDOE stakeholders
- Provides a confidential counseling environment

August 2008 – June 2009                      East Baton Rouge Parish School System                      Baton Rouge, LA  
Exceptional Student Services  
**Behavior Specialist**

- *Assist with the development, implementation, and interpretation of various components of the Functional Behavior Assessment, the Behavior Intervention Plan, and the Individual Education Plan.*
- *Develop and provide training in area of behavior and Positive Behavior Supports to principals, regular education personnel and ESS personnel*
- *Provides assistance with IEP development and meetings when behavior issues arise*
- *Assists with Self-Review Special Education Monitoring, District Assessment Team Monitoring, LEAP Site Monitoring or any other district school improvement action.*
- *Demonstrates crisis intervention and behavioral techniques to staff and parents*

October 2005 –  
July 2008

*East Baton Rouge Parish School System                      Baton Rouge, LA*  
*Exceptional Student Services*

***Social Worker (Special Needs)***

- *Primarily responsible for providing individual and group counseling to students who are identify with emotional problems and have a psychiatric diagnosis.*
- *Accountable for providing teachers and other supportive staff with training relating to behavior management techniques relating to the classroom setting.*
- *Facilitates communication between the home and the school, seeking to involve families in the educational process of their children and providing feedback to the school.*
- *Maintain case records, reports, and all necessary forms in order to provide for continuity of services according to EBRPSS.*
- *Participates in special education eligibility determination, Individualized Education Plan (IEP) staffing, SBLC meetings and assistance with FBA.*
- *Confers with parents, teachers, principals, pupil appraisal staff and other system professional staff whenever necessary on matters relative to assessment, social and behavioral interventions regarding students.*

May 1996-  
July 2005

Behavioral Health Services of  
Baton Rouge General Medical Center Emergency Department  
Baton Rouge, LA  
**Senior Assessment Specialist**

- *Primarily responsible for ensuring those people receive information necessary to encourage and enable them to gain appropriate help for psychiatric or chemical dependency related problems.*
- *Responsible for providing information to individuals and agencies who are potential patient referrals, assisting in the location of availability, and finding treatment resource when patients are not appropriate for the clinical programs provided by inpatient treatment.*
- *Direct patient care responsibilities that include evaluations, assessments, family needs, case management, crisis intervention, multidisciplinary team collaboration, and reporting suspected cases of child/elder abuse.*
- *Establishes and maintains relationship with emergency department/ psychiatric care physicians.*
- *Proposes new policies that will make the admissions process more efficient and demonstrate skills in writing diagnostic evaluations for the court system.*

August 1999-  
December 1999

Crestworth Elementary School  
Baton Rouge, LA  
**Guidance Counselor Intern**

- *Responsible for creating and organizing cum folders, registering new students, providing workshops, and learning the process for formulating SBLC hearings.*
- *Provided group counseling for students focusing on improving study habits, understanding feelings of others, improving grades, developing positive and health self-esteem, and learning to deal with anger in an appropriate manner.*

November 1994  
July 1995

TLC Mental Health  
Donaldsonville, LA  
**Mental Health Counselor**

- *Responsible for evaluation and assessment of clients, behavioral modification plans, discharge planning, home visits, and served as a liaison to community resources*
- *Accountable for generating and implementing rehabilitation treatment plan.*
- *Provided individual, family, and group counseling.*
- *Consulted with school official, inpatient hospitals, doctor's office, court and legal system, Department of Social Services and the Office of Family in Need of Services (FINS).*

March 1992-  
December 1994

Center for Psychological Health Care  
Baton Rouge, LA  
**Mental Health Counselor/Psychologist Assistant**

- *Provided individual and group counseling to children, adolescents and adults who presented a diverse number of features that met the criteria of the Diagnostic and Statistical Manual of Mental Disorders.*
- *Administered a variety of assessments: Weschler Intelligence Scale (WISC-R, WAIS-R, WPPSI, WRAT-R), The House, Tree, Person (HTP) Projective Inventory, Minnesota Multiphase Personality Inventory (MMPI), Developmental Reading Assessment (DRA) and the Observable Survey.*
- *Analyzed data drafted and interpreted psychological reports with the appropriate recommendations.*

***PROFESSIONAL ORGANIZATIONS AND CERTIFICATES:***

*Licensed Professional Counselors #2224  
Clinical Supervisor for Licensed Professional Counselors  
State of Louisiana Ancillary Certificate #AN005898  
Nonviolent Crisis Intervention Certified Instructors*

***References available upon request***



Tel: 225-771-5390  
Fax: 225-771-5723  
P.O. Box 9860  
www.subr.edu

REC'D-ACAD AFFAIRS  
2023 NOV 2 9:10:11

November 1, 2023

Dr. Luria Young  
Interim Vice Chancellor for Academic Affairs  
Southern University and A&M College  
Baton Rouge, LA 70813


Dear Dr. Young:

This letter comes to request approval to waive the search for the Graduate Admissions Coordinator/ International Transcript Evaluator. This position will provide graduate students admissions, advising and counseling support in the SU Graduate School. It will also help to expedite and ensure that all application for admissions to SUBR graduate programs are processed in a timely manner. Experience with graduate admissions and graduate student counseling is valuable to the Graduate School goal of increasing graduate enrollment and excellent customer service. This position will fill the void of not having a must needed international student graduate council in the Graduate School.

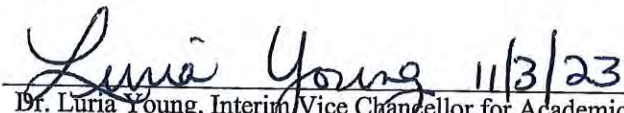
We have identified a candidate with over 15 years of experience with admissions, advising and student counseling experience. Ms. Amando O'Conner in Organizational Security and Management from the University of Phoenix and a Master's Degree in Criminal Justice from Southern University. She previously served as Coordinator Records for the Southern University Law Center Office of Records. Prior to joining the SU Laws Center, Ms. O'Conner served as the Graduate Admission of Coordinator /International Transcript Evaluator. Her skills and abilities would be an asset that allow us to better understand and service the needs of students related to admissions.

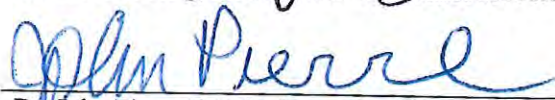
Ms. O'Conner's resume is attached for your consideration. Please feel free to reach out to me if we can provide additional support to this request.

Sincerely,

  
Albertha Lawson, PhD  
Interim Dean, Graduate School  
Southern University and A&M College

Approved:

  
Dr. Luria Young, Interim Vice Chancellor for Academic Affairs

  
Dr. John Pierre, Interim Executive Vice President



SOUTHERN UNIVERSITY - BATON ROUGE, LA 70813

SUS  SUBR  SULAC  SUAREC  SUNO  SUSLA

POSITION VACANCY AUTHORIZATION

REQUEST THAT THE POSITION TITLE Graduate Admissions Coordinator/International Transcript Evaluator AS DESCRIBED BELOW

BE AUTHORIZED AS A VACANCY FOR Graduate School (Department or Unit)

Replacement, Civil Service, Tenured, New Position, Temporary, Probationary, Unclassified, Faculty, Source of Funds: State, Grant-in-Aid, System Revenue, Agency Fund State

VACANCY DESCRIPTION AND JUSTIFICATION

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

- \*Master's degree and at least three years' experience in higher education. \*Coordinate departmental admissions and review processes of applicants. \*Maintain all academic records for prospective students. \*Ensures admissions requirements are satisfied for all accepted applicants. \*Check for completeness of electronic processing of applications in the Banner System. \*Ensure departments are following Graduate School admissions criteria. \*Coordinates and administers workshops/seminars on Graduate School policies and procedures. \*Attend internal and external recruiting events. \*Knowledge and skills to evaluate and process foreign transcripts. \*Verify all foreign documents for authenticity. \*Assist with the review and processing of graduate students' graduation applications. \*Other duties or projects as assigned.

Salary/Range: \$73,000, \$27,666.96 General Funds, \$45,330.04 HBGI/Title III Funds Previous Incumbent (if replacement):

Approved/Disapproved signatures: Alberte Lawson (Department Head, 11/3/23), Luria Young (Dean/Director/Supervisor of Budget Unit, 11/3/23)

FINANCE/BUDGET OFFICE ONLY Funds Available table with Signature, Date, Budget Number fields

HUMAN RESOURCES OFFICE ONLY Existing/Approved Position table with Employee Class, Job Class, Verified By, Date fields

Approved/Disapproved signatures: Luria Young (Vice Chancellor, 11/3/23), John K. Perre (Chancellor/Vice President, 11/3/23), President (Date)

# AMANDA O'CONNER

---

To obtain a position that would allow me the opportunity to use my acquired knowledge and skills within the realm of higher education. Enhance student experience by providing service driven solutions.

## EXPERIENCE

**05/2023 – PRESENT**

### **COORDINATOR OF RECORDS**

#### **SOUTHERN UNIVERSITY LAW CENTER OFFICE OF RECORDS**

- Process student transcript through Parchment.
- Process enrollment verification for current and past students.
- Assist with registration by processing add and drop forms
- Assist students at front desk
- Assist with daily operations within the office.

**10/2018 –04/2023**

### **GRADUATE ADMISSIONS COORDINATOR/INTERNATIONAL TRANSCRIPT EVALUATOR**

#### **SOUTHERN UNIVERSITY GRADUATE SCHOOL**

- Process applications for international students seeking admission to Master's and/or Doctoral degree programs. Check for completeness, and insure that the application meets the admissions standards of the Graduate School and also the policies of Southern University.
- Image applications into BANNER and Laserfische. Notify applicants regarding their admissions status. Forward completed applications to the department for evaluation. Communication with the applicant, department chair, and deans pertaining to applicant admission.
- Evaluate each international transcript. Check for authenticity, and national accreditations. Ensure that all grade point averages and degree equivalency align with the admissions policy.
- Assist the Director of Admissions with various task pertaining to admissions and graduation.

**09/1999 – 10/2018**

### **ADMINISTRATIVE COORDINATOR**

#### **SOUTHERN UNIVERSITY GRADUATE SCHOOL**

- Processed Graduate School applications. Maintained both electronic and manual files for applicants. Responsible for all data entry in BANNER and SIS Plus. Created files in various databases including Laserfische and Excel.

-Collaborated with department chairs and the Office of Student Programs regarding applicants in need of F-1 Visas

**03/1996 – 09/1999**

**TYPIST CLERK**

**SOUTHERN UNIVERSITY REGISTRARS OFFICE**

-Processed verification of enrollment forms for students.

-Verified conferred degrees

-Processed transcript request

-Operated the SIS Plus System, and maintained manual files within the office.

## **EDUCATION**

**MAY 2017**

**MASTERS OF SCIENCE IN CRIMINAL JUSTICE**

**SOUTHERN UNIVERSITY AND A&M COLLEGE**

**AUGUST 2013**

**BACHELORS OF SCIENCE IN ORGANIZATIONAL SECURITY AND MANAGEMENT**

**UNIVERSITY OF PHOENIX**

## **SKILLS**

- BANNER
- ARGOS
- EXCEL
- Dynamic Forms
- Banner Document Management System (BDM)
- Microsoft Office
- Laserfische

## **ASSOCIATIONS**

National Association of Foreign Student Affairs (2018-2021)

American Association of Collegiate Registrar's and Admission Officers (AACRO)

## **REFERENCES**

AVAILABLE UPON REQUEST

JOB CLASS			
JOB CODE			
CAL ID			

**SOUTHERN UNIVERSITY SYSTEM**

**Personnel Action Form**

POSITION NUMBER	2	M	7	9	3	1
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REC'D-HOOD-AFFRS  
2023 NOV 9 PM 1:42

CAMPUS: SUS \_\_\_ SUBR X SULAC \_\_\_ SUAREC \_\_\_ SUNO \_\_\_ SUSLA \_\_\_

EMPLOYMENT CATEGORY: 9-MONTH \_\_\_ 12-MONTH X OTHER \_\_\_ (Specify) \_\_\_

<input type="checkbox"/> Academic	<input checked="" type="checkbox"/> Non-Academic	<input type="checkbox"/> Civil Service
<input type="checkbox"/> Temporary	<input type="checkbox"/> Part-time ( ___ % of Full Time)	<input type="checkbox"/> Restricted
<input type="checkbox"/> Tenured	<input type="checkbox"/> Undergraduate Student	<input type="checkbox"/> Job Appointment
<input type="checkbox"/> Tenured Track	<input type="checkbox"/> Graduate Assistant	<input type="checkbox"/> Probationary
<input type="checkbox"/> Other (Specify) ___	<input type="checkbox"/> Retiree Return To Work	<input checked="" type="checkbox"/> Permanent Status

Previous Employee N/A Reason Left N/A  
Date Left N/A Salary Paid                     

**Profile of Person Recommended**

Length of Employment November 1, 2023 To                       
Effective Date November 6, 2023

Name Crystal D. Taylor xxx-xxx-9084 Sex F Race\* AA  
(Last 4 digits only)

Position Title: Coordinator, Degree Audit & Scheduling Department: Registrar's Office

Check One  Existing Position \*Visa Type (See Reverse Side):   
 New Position Expiration Date:                     

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

Years Experience	<u>28</u>	Southern University Experience	<u>17</u>
Degree(s):	Type:	Institution/Location	Year:
	<u>Ex. MSCJ</u>	<u>Southern University - Baton Rouge</u>	<u>2021</u>
	<u>M.S.- Therapeutic Recreation</u>	<u>Southern University - Baton Rouge</u>	<u>2005</u>
	<u>B.S.- Therapeutic Recreation</u>	<u>Southern University - Baton Rouge</u>	<u>2002</u>

Current Employer Southern University A&M Baton Rouge

**Personnel Action**

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

Recommended Salary \$70,000 Salary Budgeted \$70,000

Source of Funds Federal

Identify Budget: 220494-22002-24100 Location                       
Form Code:                      Page                      Item #                     

Change of:

Position	<u>Coordinator for Onlne Service</u>	<u>Coordinator, Degree Audit &amp; Scheduling</u>
Status	<u>Full-time</u>	<u>Full-time</u>
Salary Adjustment	<u>\$56,238</u>	<u>\$70,000</u>

Financial Aid signature (if, applicable):

List total funds currently paid this employee by Southern University:  
\*See Reverse Side

Source of Funds	Amount
111005-11172	\$70,000

Comments: (Use back of form)

\*See Reverse Side Graduate School signature (if, applicable):                     

<u>Johanna L. Turner</u> 11/09/2023 Supervisor Date	<u>                    </u> 11/09/23 Dean/Unit Head Date
_____ Vice Chancellor Date	_____ Chancellor Date
_____ Director/Personnel Date	_____ Vice President/Finance Business Affairs/Comptroller Date
_____ President Date	_____ Chairman/S.U. Board of Supervisors Date

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

**ETHNIC ORIGIN (Please check one):**

\_\_\_\_\_ Hispanic or Latino                        X   Non-Hispanic or Non-Latino

**RACE (Please check all that apply):**

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

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

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

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

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

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COMMENTS: This new position was established in 2022 to support and enhance academic advisement and assist with efficient course scheduling. Ms. Taylor was identified after two exhaustive searches.

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EMPLOYEE REGULAR WORK SCHEDULE: Monday – Friday/ 8:00 – 5:00

EMPLOYEE DIRECT SUPERVISOR: Johfana Turner

NUMBER OF EMPLOYEES SUPERVISED, (if any) \_\_\_\_\_

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

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

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

**CLASS OF EMPLOYMENT (VISA STATUS):**

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

---

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

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

- \_\_\_\_\_ Approved Position Vacancy Authorization Form (applicable for new and replacement positions)
- \_\_\_\_\_ Position Vacancy Announcement (position advertised before processing PAF, if applicable)
- \_\_\_\_\_ Application for Employment Form Admin/Fac/Uncl Positions (Civil Service Application for classified employees)
- \_\_\_\_\_ Authority to Release (signed by employee) (submitted to Campus Police with Criminal/Background Check form)
- \_\_\_\_\_ Supervisory Criminal/Background Check Form (completed by employee/ verified and signed by supervisor)
- \_\_\_\_\_ Exemptions Survey Form (signed by employee and budget head)
- \_\_\_\_\_ Proposed Employee Appointment
- \_\_\_\_\_ Proposed Employee Clearance
- \_\_\_\_\_ Restricted/ Job Appointment/CS Rule 6.5g Letter of Justification (for classified, if applicable)

SOUTHERN UNIVERSITY - BATON ROUGE, LA 70813

SUS  SUBR  SULAC  SUAREC  SUNO  SUSLA

REGISTRATION AFFAIRS  
2023 NOV 8 AM 10:18

\*\*\*\*\*  
**POSITION VACANCY AUTHORIZATION**  
\*\*\*\*\*

REQUEST THAT THE POSITION TITLE Coordinator, Degree Audit & Scheduling AS DESCRIBED BELOW  
BE AUTHORIZED AS A VACANCY FOR Office of the Registrar  
(Department or Unit)

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

**VACANCY DESCRIPTION AND JUSTIFICATION**

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

Southern University and A&M College is seeking to fill Coordinator, Degree Audit & Scheduling position. This position is responsible for degree audit software Degree Works and course scheduling operations in the Office of the Registrar, manages all functions of degree audit processing, including degree audit implantation and maintenance of Banner Degree Works (degree auditing system). This position represents the Office of the Registrar with external and internal customers under the management of the University Registrar.

Salary/Range: \$70,000.00

Previous Incumbent, (if replacement):

Approved  Disapproved

*[Signature]*  
Department Head

10/20/23  
Date

Approved  Disapproved

*[Signature]*  
Dean/Director/Supervisor of Budget Unit

11/6/23  
Date

FINANCE/BUDGET OFFICE ONLY	
Funds Available	
<input type="checkbox"/> Yes	<input type="checkbox"/> No
Signature	Date
Budget Number	

HUMAN RESOURCES OFFICE ONLY	
Existing/Approved Position	
<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Employee Class: <u>MU</u>	Job Class: <u>22440</u>
<i>[Signature]</i> Verified By:	<u>11/08/23</u> Date:

Approved  Disapproved

*[Signature]*  
Vice Chancellor

11/6/23  
Date

Approved  Disapproved

*[Signature]*  
Chancellor/Vice President

11/6/23  
Date

Approved  Disapproved

President

Date

An Equal Opportunity Employer

# Vacancy Announcement System (VAS)

## Position Vacancy Announcement Request

Date: 10/30/2023 Department: Office of the Registrar

SUS  SUBR  SULC  SUAREC  SUNO  SUSLA

Application Deadline: 10/30/2023 Date position to be filled: 11/13/2023

Position Title: Coordinator, Degree Audit & Scheduling Civil Service Pay Level: \_\_\_\_\_

Salary (annual): \$70,000.00 or Salary Range: \_\_\_\_\_ to \_\_\_\_\_

**Please check all categories that apply to this position:**

Status:	Faculty Position	Unclassified Position	Classified Position
<input type="checkbox"/> Part-time % of time	<input type="checkbox"/> Temporary	<input type="checkbox"/> Administrative	<input type="checkbox"/> Probationary
<input checked="" type="checkbox"/> Full-Time	<input type="checkbox"/> Tenure	<input type="checkbox"/> Temporary	<input type="checkbox"/> Job Appointment
	<input type="checkbox"/> Tenure Track (Probationary)	<input checked="" type="checkbox"/> Permanent	<input type="checkbox"/> Provisional Appointment
	<input type="checkbox"/> Grant	<input type="checkbox"/>	
	<input type="checkbox"/> Contract	<input type="checkbox"/> Grant	
		<input type="checkbox"/> Contract	

**FOR HR USE ONLY:**  
CS Job Code: \_\_\_\_\_

Contact Person: Johlana Turner Telephone No: 225-771-5050

Contact Email Address: Johlana.turner@subr.edu

Contact e-mail address is for:

Human Resources utilization only  posting to VAS website

**Brief job description** [Maximum 12 lines @ 250 characters (including spaces) per line]:

Southern University and A&M College is seeking to fill Coordinator, Degree Audit & Scheduling position. This position is responsible for degree audit software Degree Works and course scheduling operations in the Office of the Registrar, manages all functions of degree audit processing, including degree audit implantation and maintenance of Banner Degree Works (degree auditing system). This position represents the Office of the Registrar with external and internal customers under the management of the University Registrar.

**Minimal qualifications** [Maximum 12 lines @ 250 characters (including spaces) per line]:

Bachelor's degree or equivalent higher education background required. A combination of experience and education may be considered as equivalent to the minimum educational requirements. Two to four years' experience in a position directly related to the duties and responsibilities specified, Degree Works. One or tow years in University Registrar or records environment highly preferred. Experience with electronic record storage preferred. Extensive data entry and computer proficiency with Microsoft Office products required. Experience with the Banner Student ERP highly preferred. Applicants without some level of IT or Degree Works experience will not be considered. Excellent written, oral and interpersonal communication skills are necessary. Ability to maintain confidence information in a professional manner is required. Ability to maintain knowledge of current technological developments/trends in area of expertise. Ability to work collaboratively with a range of individuals. Ability to accommodate a flexible schedule. Ability to accommodate the support needs of student and faculty technology users.

**Remarks/How To Apply** (letter of application, curriculum vita, resume', references, etc)/Mailing Address [Maximum 12 lines @ 250 characters (including spaces) per line]:

Application, resume and letters of reference should be emailed to [jhlana\\_turner@subr.edu](mailto:jhlana_turner@subr.edu).

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



# CRYSTAL D. TAYLOR

## CAREER OBJECTIVE

Professional with 16+ years of experience and proven knowledge of student services, vendor and customer communications, and data collection.

## EXPERIENCE

### ONLINE COORDINATOR

*Southern University and A&M College, Baton Rouge, LA / Dec 2017 - Present*

- Serve as the first-semester advisor for online students and a liaison for the undergraduate academic programs that provide degrees through the online program
- Work closely with academic programs to ensure the successful scheduling and course quality of online courses
- Point of contact for all matters related to online education and facilitates student support services for online students
- Provided administrative direction, support, and oversight to the Office of Online Services
- Prepare yearly report for NC-SARA
- Prepare EPAFs for online faculty
- Advise and prepare degree audits for all first-time online undergraduate students
- Oversaw faculty development Quality Matters Training
- Oversaw grant funds from the Hewlett Foundation
- Answered all questions regarding online in respects from application to acceptance, handled grievances regarding online and other online services

### ASSISTANT DIRECTOR

*Southern University and A&M College, Baton Rouge, LA / July 2017 - Nov 2017*

*Center for Undergraduate Student Achievement*

- Managed day-to-day academic advising operations of the center and supervised 10 academic advisors and 4 staff members.
- Drafted monthly advising reports and analyzed data under the direct supervision of the executive director
- Assisted colleagues with reports and new software as needed
- Assisted students with course scheduling during fall, spring, and summer session registration periods



## EDUCATION

### SOUTHERN UNIVERSITY AND A&M COLLEGE

**Baton Rouge, LA**

*Executive Master of Science Criminal Justice (May 2021)*

*Master of Science Therapeutic Recreation (Dec 2005)*

*Bachelor of Science Therapeutic Recreation and Leisure Services (May 2002)*

## ADDITIONAL SKILLS

Transfer Evaluation System (TES)

Microsoft Productivity Suite

Banner INB

Argos

## CERTIFICATIONS

Quality Matters (APPQMR)



**Registrar's Office**

October 30, 2023

Dr. Luria Young  
Interim Vice Chancellor for Academic Affairs  
Southern University and A&M College  
Baton Rouge, LA 70791

Southern University and A&M College  
Office of the Registrar  
P.O. Box 9454  
Baton Rouge, LA 70813  
Phone: (225) 771-5050  
Fax: (225) 771-5064

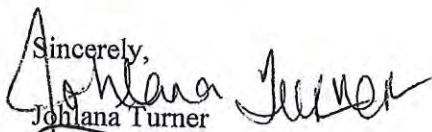
Dear Dr. Young

This letter comes to transmit the personnel action form for Ms. Crystal Taylor for the position of Coordinator, Degree Audit and Scheduling in the Registrar's Office at a salary of \$70,000. This position has been previously advertised on two occasions. Prior to her resignation, Ms. Dianna Depron had identified Ms. Taylor as her choice for this position. In this new Title III funded position, she will provide technical and management expertise in the continued implementation and operation of Degree Works, an Ellucian Banner application. This position will also assist the Registrar, academic deans and academic department heads with course scheduling and classroom schedule management to insure the effective and efficient use of classroom and laboratory space throughout the business day. Additionally, this position requires someone with meticulous attention to detail and experience with the Ellucian BANNER Student system.

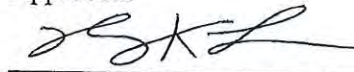
I fully concur with Ms. Taylor as our choice for this position and submit this PAF along with her resume for review, approval and consideration at the November 2023 Southern University System Board of Supervisors meeting. Because of the critical shortage of staff in the Registrar's Office, I request that Ms. Taylor be appointed to this position on an interim basis from November 6, 2023, to November 30, 2023 (or such time as a personnel action form can be fully executed).


As you will note from her resume, Ms. Taylor is uniquely qualified for this position as her experience with Academic Advisement of all programs as Assistant Director of the Center for Teaching and Learning Excellence (CTLE) and as Online Coordinator required the critical attention to detail while working with the curriculum from multiple traditional and online degree programs to ultimately ensure student success.

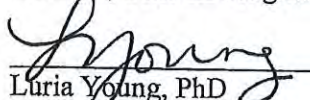
Please contact me if I can answer any question regarding this position.

Sincerely,  
  
Johana Turner  
Interim Registrar

Approved:

 10/30/23  
Huey K. Lawson Date  
Director, Title III Programs

 11/6/23  
John K. Pierre, JD Date  
Executive Vice President

 11/6/23  
Luria Young, PhD Date  
Interim VC for Academic Affairs

\_\_\_\_\_  
Dennis Shields, JD Date  
President-Chancellor

## **ACADEMIC ADVISOR**

*Southern University and A&M College, Baton Rouge, LA / Mar 2011 - July 2017*

Center for Teaching and Learning Excellence

- Assisted students with course scheduling during fall, spring, and summer session registration periods
- Advised students from nine different majors within the College of Education, Arts, and Humanities
- Developed critical retention strategies and techniques for student success and development
- Encouraged students to develop life goals and the assessment of skills, abilities, and values relating academics to career aspirations
- Facilitated processing of applications for admissions, worked with building the transfer catalog in Banner, and loaded transfer transcripts into Banner
- Assisted colleagues with reports and new software as needed
- Assisted the Athletic department with the certification of student-athletes

## **ALTERNATE CERTIFICATION COORDINATOR**

*Southern University and A&M College, Baton Rouge, LA / Apr 2006 - Dec 2010*

- Increased enrollment and completion rates to 98% in the Alternate Certification Program
- Collected, disseminated, and evaluated applications and transcripts for post-baccalaureate candidates
- Prepared semester reports for the Louisiana Department of Education and Title II
- Drafted letters of evaluation for each program applicant/participant
- Drafted applicant verification letters for various state/local agencies
- Served as the primary point of contact for candidates interested in obtaining teacher certification
- Collaborated with the department chair to coordinate course offerings for each cohort
- Researched approved comparable courses for substitution
- Maintained the Alternate Certification Program website

## **REFERENCES**

**References available upon request**

POS CLASS					
EMP CLASS					
HI		RT		LV	

**SOUTHERN UNIVERSITY SYSTEM**

**Personnel Action Form**

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

CAMPUS: SUS \_\_\_\_\_ SUBR X SULAC \_\_\_\_\_ SUAREC \_\_\_\_\_ SUNO \_\_\_\_\_ SUSLA \_\_\_\_\_

EMPLOYMENT CATEGORY: 9-MONTH \_\_\_\_\_ 12-MONTH \_\_\_\_\_ X OTHER \_\_\_\_\_ (Specify) \_\_\_\_\_

TYPE OF APPOINTMENT:

_____ Academic (Fac)	<u>X</u> Non-Academic (Uncl)	_____ Civil Service
_____ Temporary	_____ Part-time ( _____ % of Full Time)	_____ Restricted
_____ Tenured	(must be indicated if less than 100%)	_____ Detail #of mos _____
_____ Tenured Track	_____ Undergraduate Student	_____ Job Appointment
_____ Other (Specify)	_____ Graduate Assistant	_____ Probationary
	_____ Retiree Return To Work	_____ Permanent Status

Previous Employee \_\_\_\_\_ Reason Left \_\_\_\_\_  
 Date Left \_\_\_\_\_ Salary Paid \_\_\_\_\_

**Profile of Person Recommended**

Length of Employment \_\_\_\_\_ To \_\_\_\_\_  
 Effective Date September 1, 2023

Name Cariola Watson SS# U01520435 Sex Female Race Black  
 (Last 4 digits only)

Position Title: Project Coordinator/Assistant Director/CCP Manager Department: Educational Talent Search

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

--	--	--

  
 \_\_\_\_\_ New Position Visa Expiration Date: \_\_\_\_\_

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

Years Experience 24 Southern University Experience 24  
 Degree(s): Type/Discipline (BA-Education): B.A. Mass Communications, Journalism Institution/Location (SU-Baton Rouge): Southern University-Baton Rouge Year: 1990  
M.A. Mental Health Counseling Southern University-Baton Rouge 2005

Current Employer Southern University and A&M College

**Personnel Action**

Check One \_\_\_\_\_ New Appointment \_\_\_\_\_ Continuation \_\_\_\_\_ Sabbatical \_\_\_\_\_ Leave of Absence \_\_\_\_\_  
 \_\_\_\_\_ Transfer \_\_\_\_\_ Replacement X Other (Specify) \_\_\_\_\_ Salary Increase \_\_\_\_\_

Annual Salary \$66,843.00 Salary Budgeted \$70,843.00 Hourly Rate, if applicable: \_\_\_\_\_

Pay Cycle: \_\_\_\_\_ Biweekly X Monthly \_\_\_\_\_ Faculty \_\_\_\_\_

Source of Funds: Ed. Talent Search Identify Budget: 220479 Location: \_\_\_\_\_

Change of: \_\_\_\_\_ From \_\_\_\_\_ To \_\_\_\_\_

Position: \_\_\_\_\_  
 Status: \_\_\_\_\_  
 Salary Adjustment: \$66,843.00 \$70,843.00

Source of Funds (Current)	Amount
220479	\$70,843.00

List total funds currently paid this employee by Southern University:  
 \*See Reverse Side  
 Comments: (Use back of form)

\*See Reverse Side Graduate School signature (if, applicable): \_\_\_\_\_

Valencia C. Howard 10/27/2023 Supervisor \_\_\_\_\_ Date \_\_\_\_\_  
Kyle D. Patches 10/27/2023 Dean/Unit Head \_\_\_\_\_ Date \_\_\_\_\_  
Anthony Jacobs 11/2/2023 Vice Chancellor \_\_\_\_\_ Date \_\_\_\_\_  
Anthony Pierre 11/2/23 \_\_\_\_\_ Date \_\_\_\_\_  
James 11/2/23 \_\_\_\_\_ Date \_\_\_\_\_  
 Director/Personnel \_\_\_\_\_ Date \_\_\_\_\_  
 Vice President/Finance \_\_\_\_\_ Date \_\_\_\_\_  
 Business Affairs/Comptroller \_\_\_\_\_ Date \_\_\_\_\_  
 President \_\_\_\_\_ Date \_\_\_\_\_  
 Chairman/S.U. Board of Supervisors \_\_\_\_\_ Date \_\_\_\_\_

SOUTHERN UNIVERSITY  
 OFFICE OF THE COMPTROLLER  
 NOV 02 2023

8/31/2024

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

**ETHNIC ORIGIN (Please check one):**

Hispanic or Latino  Non-Hispanic or Non-Latino

**RACE (Please check all that apply):**

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

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

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

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

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

**COMMENTS:**

**Must be completed by hiring supervisor:**

EMPLOYEE REGULAR WORK SCHEDULE: 8:00 am – 5:00 pm Monday – Friday  
 EMPLOYEE DIRECT SUPERVISOR: Patricia C. Doucet  
 SUPERVISOR/DEPARTMENT CONTACT NUMBER 225 771-2235  
 NUMBER OF EMPLOYEES SUPERVISED, (if any) 7

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

**GUIDELINES:** All employees, students, graduate assistants being employed through the use of this form are to report to and be cleared by the Human Resources before any employment is offered and before starting to work. All students are to bring with them clearance from the Financial Aid office, Statement of Account (fee receipt), and a class schedule. All prospective employees/students must bring a pictured ID, social security card, birth certificate, certificate of naturalization, resident alien card, H1-B and J-1 visas, passport, and F-1/I-94/I-20. The latter seven (7) documents do not apply to U.S. Citizens.

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

**CLASS OF EMPLOYMENT (VISA STATUS):**

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

SOUTHERN UNIVERSITY SYSTEM  
 OFFICE OF THE ASSOCIATE COMPTROLLER  
 (Verify that the above purchase(s) is/are allowable under the terms and conditions of the appropriation, budget or award agreement)

NOV 02 2023

#Allowable Purchase Verification  
 Enclosure  
 Date

*W Marshall*  
*W Marshall*

**Do Not Write Below This Area - For Human Resource Use Only**

**PAF APPROVAL PROCESS CHECKLIST** (Must have the information outlined below, the forms are located at Downloadable Forms on the HR website at [www.subr.edu/humanresources](http://www.subr.edu/humanresources)).

- Approved Position Vacancy Authorization Form (applicable for new and replacement positions)
- Position Vacancy Announcement (position advertised before processing PAF, if applicable)
- Application for Employment Form-Admin/Fac/Uncl Positions (Civil Service Application for classified employees)
- Reference Check Form (reference check performed by hiring supervisor)
- Authority to Release (signed by employee) (submitted to HR with Verification of Fingerprints form signed by State Police)
- Criminal/Background Check Process (forms completed by employee/ submitted to State Police )
- Exemptions Survey Form (signed by employee and budget head)
- Proposed Employee Appointment Form (completed by hiring supervisor)
- Proposed Employee Clearance Form (completed by hiring supervisor)
- Letter of Justification for Restricted/ Job Appointment/Detail/CS Rule 6.5g appointments
- Citizenship/Visa Status Verified, I-20/I-94 provided, if applicable

TALENT SEARCH PROGRAM  
Southern University-Baton Rouge

**Cariola Watson**

**Education:**

Southern University A&M College, Baton Rouge, Louisiana

**Master of Arts (Mental Health Counseling)**

May 2005

Southern University A&M College, Baton Rouge, Louisiana

**Bachelor of Arts (Broadcast Communications; Journalism)**

May 1990

**Work Experience:**

**Project Coordinator/Assistant Director/ CPP Manager**

Southern University, Baton Rouge, Louisiana

Educational TALENT SEARCH Program

**2016 - Present**

**Responsibilities:** Providing support to the Administrator/Executive Director in the development, coordination, and supervision of program activities/services and staff in serving 500 middle/high school students in local and surrounding parishes to achieve the goals of the grant. Support measures include: Assisting in daily operations and assuming leadership in director's absence; Initiating and monitoring battery of assessments; Providing oversight and training with electronic accountability system; Conducting staff training on project programming and student eligibility requirements; Maintaining viable rapport in targeted schools and communities; Conducting and scheduling monthly academic/personal/career counseling workshops for (3) three of ten (10) target-area schools; Maintaining electronic and folder file on eligible students enrolled three (3) assigned schools; Managing a specified initiative; and Tracking participants and services to meet grant objectives (APR) annually. **ADDITIONS** to assigned target schools served by Project Coordinator during staff shortage is (7) seven, totaling (10) ten schools currently being served; where the total number of eligible students (500) are confirmed contacts is vital to the grant's success each year.

**Project Coordinator**

Southern University, Baton Rouge, Louisiana

Educational TALENT SEARCH Program

**2008-2016**

**Responsibilities:** Assisting the Executive Director in maintaining and establishing viable rapport with superintendents, principals, and key administrators in target schools; Interpreting field findings pertinent to functions of the project; Providing monthly informational and advisement guidance sessions at assigned schools; Training and supervising project staff in travel to school visitations; Providing oversight in the evaluation and review of statistical data collected on (500) targeted students; Assisting in development and coordination of project activities/services and staff; and Attending training seminars and professional meetings.

**RESUME'**  
**Cariola Watson-(2)**

**TALENT SEARCH PROGRAM**  
**Southern University-Baton Rouge**

**Field Specialist**

Southern University, Baton Rouge, Louisiana  
Educational TALENT SEARCH Program: University College

**2004-2008**

**Responsibilities:** Serving as area recruiter for assigned schools to: Assist in identifying, selecting, and advising eligible program participants; Collect and assess students' application data to determine eligibility for participation; Assess and recommend individual action plans (IAP) to address identified needs for targeted middle/high school participants; Assist Coordinator and Director in developing innovative workshop presentations and IAP materials; Disseminate information on educational, career opportunities, and financial assistance available; and Attend seminars and professional development trainings.

**Outreach Recruiter Initiative Component**

Southern University, Baton Rouge, Louisiana  
Educational TALENT SEARCH Program: Junior Division

**1999-2004**

**Responsibilities:** Conducting informational workshops/activities at target schools in eleven surrounding parishes. Maintain participants documented files; compiling program participant data; writing reports assisting in the development and implementation of innovative and comprehensive guidance counseling workshop activities; Attend staff training and development seminars and attending professional, developmental and staff meetings.

**Executive Secretary**

East Feliciana Parish School System  
Clinton, Louisiana

**1995-1999**

**Responsibilities:** Compute and compile nine-week report, preparation of monthly financial records, attendance records of staff and students, daily interaction with students, parents, and community. Disseminating information, directing flow of office traffic, assisting, school counselor with preparation of students to enter high school including records, schedules, transcripts, maintain books for school accounts and process checks in keeping with Board policy, administering medicines and record needed information concerning medicines according to policy.

**RESUME'**  
**Cariola Watson-(3)**

**TALENT SEARCH PROGRAM**  
**Southern University-Baton Rouge**

**Other Professional Experiences:**

**Grants:** Assisted in the research and data analysis of target population to be served by both grant proposals. Collected, reviewed, and compiled documented data to establish need for grant funding and support the plan of operation to successfully achieve proposed objectives in accordance with guidelines mandated by funding agency (U.S. Department of Education).

**Grant Cycle Funding:        5 year**

**2001 – Present        U.S. Department of Education, Southern University and A&M College**  
**Educational TALENT SEARCH Program CLASSIC & EXCEL**

**Professional Memberships**

- **1999 – Present: Louisiana Association of Student Assistance Programs (LASAP)**
- **1999 – Present: Southwest Association of Student Assistance Programs (SWASAP)**
- **1999 – Present: Council for Opportunity in Education (COE)**

**Personal Interest: Traveling, reading, spending time with family and friends.**

**References: Available upon request**



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

**ETHNIC ORIGIN (Please check one):**

Hispanic or Latino  Non-Hispanic or Non-Latino

**RACE (Please check all that apply):**

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

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

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

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

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

**COMMENTS:**

**EMPLOYEE REGULAR WORK SCHEDULE:** 8:00 AM-5:00 PM

**EMPLOYEE DIRECT SUPERVISOR:** Raquel Ayles

**NUMBER OF EMPLOYEES SUPERVISED, (if any)** \_\_\_\_\_

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

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

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

**CLASS OF EMPLOYMENT (VISA STATUS):**

**TYPE**

- United States Citizen/Certificate of Naturalization
- Resident Alien
- H-1 Visa (Distinguished Merit & Ability)
- J-1 Visa (Exchange Visitor Program)
- F-1 Visa (Student Emp. FT Student at S.U.)
- OPT (F-1 Visa-INS Prior Approval-"Practical Work Experience")

**SOUTHERN UNIVERSITY SYSTEM**

CODE: US EXPIRES: \_\_\_\_\_

I certify that the above purchase(s) is/are allowable under the terms and conditions of the appropriation, budget or award agreement and in accordance with federal, state, local, and university policies.

Allowability/Compliance Verified/Encumbered/Funds Available

Doc. I.D. # HI

By: BA Date: 11.6.2023

Expiration Date: 6/30/2024

F0

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

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

- Approved Position Vacancy Authorization Form (applicable for new and replacement positions)
- Position Vacancy Announcement (position advertised before processing PAF, if applicable)
- Application for Employment Form Admin/Fac/Uncl Positions(Civil Service Application for classified employees)
- Authority to Release (signed by employee) (submitted to Campus Police with Criminal/Background Check form)
- Supervisory Criminal/Background Check Form (completed by employee/ verified and signed by supervisor)
- Exemptions Survey Form (signed by employee and budget head)
- Proposed Employee Appointment
- Proposed Employee Clearance
- Restricted/ Job Appointment/CS Rule 6.5g Letter of Justification (for classified, if applicable)



# SOUTHERN UNIVERSITY AND A&M COLLEGE SYSTEM

J.S. CLARK ADMINISTRATION BUILDING  
4TH FLOOR  
BATON ROUGE, LOUISIANA 70813

OFFICE OF THE  
PRESIDENT-CHANCELLOR  
(225) 771-4680

FAX NUMBER  
(225) 771-5522

November 7, 2023

Dennis J. Shields  
President/Chancellor  
Southern University System and Baton Rouge Campus  
J. S. Clark Administration Building  
4<sup>th</sup> Floor  
Baton Rouge, LA 70813

RE: Salary adjustments for University Counseling Center Personnel and transfer of Mental Health Therapist from The Southern University Law Center to the University Counseling Center on the Southern University Baton Rouge Campus

Dear President Shields:

The Louisiana Board of Regents allocated approximately \$680,000 to the Southern University Baton Rouge Mass to enhance mental health services. In September, a plan was developed and submitted to the Board of Regents. As part of this plan, salary adjustments are proposed to increase retention of mental health therapists and staffers. The retention adjustments are as follows:

Name	Title	Current Salary	Proposed Salary	Increase
Calhoun, Stephenne	Mental Health Therapist	\$ 64,000.00	\$ 72,000.00	\$ 8,000.00
Hitchens, Porshe	Mental Health Therapist	\$ 64,000.00	\$ 72,000.00	\$ 8,000.00
Hollins, Ariana	Mental Health Therapist	\$ 61,500.00	\$ 72,000.00	\$ 10,500.00
Stanford, Sean	Mental Health Therapist	\$ 64,000.00	\$ 72,000.00	\$ 8,000.00
Travis, Andrea	Mental Health Therapist	\$ 64,000.00	\$ 72,000.00	\$ 8,000.00

In addition, salary adjustments are proposed for the Director of the University Counseling Center and the Executive Assistant of the University Counseling Center as follows:

Name	Title	Current Salary	Proposed Salary	Increase
Dr. Valary Irvin	Director	\$ 99,798.40	\$ 115,000	\$ 15,201.60
Davis, Latisha	Executive Assistant	\$ 45,751.00	\$ 49,000	\$ 3,249.00

Furthermore, Mental Health Therapist, Charnal Jackson will transfer from the Southern University Law Center to the University Counseling Center on the Southern University Baton Rouge campus. Her current salary is \$78,000 and will not require an adjustment in salary.

I respectfully request that this proposal be presented to the Southern University Board of Supervisors at its November 25, 2023, meeting for approval. If the board approves this request, we are asking that the effective date be November 1, 2023.

If you have any questions, please feel free to contact me.,

Sincerely,

John K. Pierre, Esq.  
Interim Executive Vice-President

APPROVED: \_\_\_\_\_  
Dennis J. Shields  
President/Chancellor

**SOUTHERN UNIVERSITY AT NEW ORLEANS**  
6400 Press Drive  
New Orleans, LA 70126  
Phone: (504) 286-5311 Fax: (504) 286-5000  
[www.suno.edu](http://www.suno.edu)



**Office of the Chancellor**

November 8, 2023

President-Chancellor Dennis J. Shields  
Southern University and A&M College System  
4th Floor, J. S. Clark Administration Building  
Baton Rouge, LA 70813

Dear President-Chancellor Shields:

This communication comes as a request to appoint Mr. Layton Lynch as Property and Safety Manager at Southern University at New Orleans (SUNO). His annual salary will be \$65,000 with an effective date of December 1, 2023. Mr. Lynch is an innovative and collaborative occupational safety professional with over seven years of experience in safety audits, preventive maintenance, and incident investigations. He holds a Bachelor of Science degree in Occupational Safety and Health Administration.

Mr. Lynch has served as a Safety Technician, Safety Supervisor and Maintenance Specialty Servicer. I am confident that Mr. Lynch will provide leadership and stability in our property tracking and safety across campus to ensure compliance with the Office of Risk Management and Office of Statewide Reporting and Accountability Policy. Thus, I highly recommend him for this critical position.

Thank you for considering this request and submitting it for approval at the November 24, 2023 meeting of the Southern University and A & M College System Board of Supervisors.

With kind regards,

A handwritten signature in blue ink that reads "James H. Ammons, Jr.".

James H. Ammons, Jr., Ph. D.  
Chancellor

APPROVAL: \_\_\_\_\_  
President-Chancellor Dennis J. Shields  
Southern University and A&M College System

*"An Equal Educational Opportunity Institution"*

EMPLOYMENT CATEGORY: 9-MONTH \_\_\_\_\_ 12-MONTH X OTHER \_\_\_\_\_ (Specify) \_\_\_\_\_

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

Previous Employee n/a Reason Left n/a  
Date Left n/a Salary Paid n/a

**Profile of Person Recommended**

Length of Employment n/a To n/a

Effective Date 12/01/2023

Name Layton Lynch SS# xxx-xx- Sex M Race\* White

Position Title: Property & Safety Manager Department: Facilities Management

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

X New Position Expiration Date: \_\_\_\_\_  
(Position vacancy authorization form must be processed and approved to fill existing and new positions. Position must be advertised before processing PAF, if applicable.)

Years Experience 7 years Southern University Experience None.

Degree(s): Type/Discipline (BA-Education): BS-Occupational Health & Safety Administration Institution/Location (SU-Baton Rouge): Southeastern Louisiana University Year: 2016

Current Employer \_\_\_\_\_

**Personnel Action**

Check One X New Appointment \_\_\_\_\_ Continuation \_\_\_\_\_ Sabbatical \_\_\_\_\_ Leave of Absence \_\_\_\_\_  
\_\_\_\_\_ Transfer \_\_\_\_\_ Replacement \_\_\_\_\_ Other (Specify) \_\_\_\_\_

Recommended Salary \$65,000 Salary Budgeted \$65,000

Source of Funds Grant and General Fund

Identify Budget: Grant and General Fund Location \_\_\_\_\_  
Form Code: \_\_\_\_\_ Page \_\_\_\_\_ Item # \_\_\_\_\_

Change of:  
Position n/a From \_\_\_\_\_ To \_\_\_\_\_  
Status n/a \_\_\_\_\_  
Salary Adjustment n/a \_\_\_\_\_

Financial Aid signature (if, applicable):

List total funds currently paid this employee by Southern University:  
\*See Reverse Side

Source of Funds	Amount
420270-41410-61002-46000	\$60,000
411001-48410-61002-46000	\$5,000

Comments: (Use back of form)

\*See Reverse Side

Graduate School signature (if, applicable):

DocuSigned by: Arlean Wehle 10/30/2023  
4ESC8ACA78CD438... Date  
DocuSigned by: Arlean Wehle 10/30/2023 Date

DocuSigned by: Arlean Wehle 10/30/2023 Date  
4ESC8ACA78CD438... DocuSigned by: Dr. James Ammons, Jr. 11/7/2023 Date

- A** **white.** Not of Hispanic Origin. A person having origins in any of the original people of Europe, North Africa, or the Middle East.
- Black.** Not of Hispanic Origin. A person having origins in any of the Black racial groups of Africa.
- Hispanic.** A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origins, regardless of race.
- Asian or Pacific Islander.** A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.
- American Indian or Alaskan Native.** A person having origins in any of the original peoples of North American, and who maintains cultural identification through tribal affiliation or community recognitions.

**COMMENTS:**

**EMPLOYEE REGULAR WORK SCHEDULE:**          M-F, 8am - 5p

**EMPLOYEE DIRECT SUPERVISOR:**          Arlean Wehle (interim)

**NUMBER OF EMPLOYEES SUPERVISED, (if any)**          n/a

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

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

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

**CLASS OF EMPLOYMENT (VISA STATUS):**

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

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

- PAF APPROVAL PROCESS CHECKLIST (Must have the information outlined below):**
- Approved Position Vacancy Authorization Form (applicable for new and replacement positions)
  - Position Vacancy Announcement (position advertised before processing PAF, if applicable)
  - Pre-Employment Application Form (Civil Service Application for classified employees)
  - Supervisory Criminal/Background Check Forms and Authority to Release (signed by employee)
  - Exemptions Survey Form

## Mr. Layton Lynch



### **PROFESSIONAL SUMMARY**

Occupational safety educated individual with hands on experience in many trades. Strives to use vast knowledge to perform all tasks with the most safe, efficient approach.

### **HIGHLIGHT OF QUALIFICATIONS**

- Knowledge with utilizing Microsoft excel, word, and powerpoint to present information for resolving underlying issues which lead to unsafe work practices.
- Experience working in plumbing, construction, electrical and mechanical environments, which allows for better understanding of possible underlying safety concerns.
- Ability to problem solve and troubleshoot in order to resolve any issues that could possibly arise and harm employees.

### **EDUCATION**

*Bachelor of Science — Science in Occupational Safety and Health Administration*  
Southeastern Louisiana University — Hammond, LA Aug. 2012 to May 2016

### **PROFESSIONAL EXPERIENCE**

#### **Safety Technician**

March 2023 to Present

Turner Industries at Dow Chemical — Plaquemine, LA

- Lead daily meetings to educate crews on various safety concerns and incident investigations.
- Administration of DISA drug and alcohol testing and distribution of personal protective equipment to employees
- Maintained task and JSA audits and performed quarterly tool inspections across multiple units of plant.

#### **Boiler Technician**

Aug. 2022 to Feb. 2023

Core Boiler and Specialty Services — Baton Rouge, LA

- Performed instrumentation and preventative maintenance on various water vessels (boilers) including: steam, gas and electric.

#### **Maintenance Journeyman**

June 2022 to Sept. 2022

Moore Industries — Baton Rouge, LA

#### **Onsite Technician**

March 2020 to May 2022

JM Test Systems — Baton Rouge, LA

#### **Journeyman Plumber's Apprentice**

Sept. 2013 to May 2017

Chad King's Plumbing LLC — Tickfaw, LA

- Maintained rapport with homeowners and contractors during remodels, residential services, and commercial plumbing to meet overall expectations and quality.
- Assisted plumbers to ensure efficiency and quality with all work performed.

#### **Safety Supervisor**

Aug. 2016 to Dec.2016

Parish Pools LLC — New Orleans, LA

- Designed and implemented employee incentive programs based on performance and safety awareness.



*"Linking Citizens of Louisiana with Opportunities for Success"*

---

Southern University and A & M College System  
AGRICULTURAL RESEARCH AND EXTENSION CENTER  
and the COLLEGE OF AGRICULTURAL, HUMAN AND ENVIRONMENTAL SCIENCES

Ashford O. Williams Hall  
P. O. Box 10010  
Baton Rouge, LA 70813  
(225) 771-2242  
(225) 771-2861 Fax  
www.suagcenter.com

OFFICE OF THE CHANCELLOR-DEAN

November 1, 2023

Dennis J. Shields, President-Chancellor  
Southern University System  
4<sup>th</sup> Floor J. S. Clark Admin Bldg.  
Baton Rouge, LA 70813

**Re: Request for the SU Board to Waive Search for Research Professor in Food Science and Bioprocessing (SUAREC)**

Dear President-Chancellor Shields:

This correspondence is to request your approval and the approval of the Southern University Board of Supervisors to waive the search for the position of Research Professor in Food Science and Bioprocessing at the Southern University Agricultural Research and Extension Center (SUAREC).

It is my pleasure to recommend Dr. Teodoro Espinosa-Solares for this position. Dr. Espinosa-Solares has over 25 years of experience in the field of Food Science and Bioprocessing and has served as a top research scientist at various universities. He has several active collaborations around the world and is a very prolific writer of scientific articles, as you can see in his Curriculum Vitae provided along with this document.

Dr. Espinosa Solares will be replacing another Senior Faculty member. I further recommend an initial salary of \$110,000 annually, effective December 1, 2023. The source of this expense will derive from federal sources (Evans-Allen or 1890 Research Capacity grant).

Please let me know if you have any questions in terms of this request.

Thank you for your time and consideration.

Sincerely,

A handwritten signature in black ink, appearing to read 'O. McMeans'.

Orlando F. McMeans, PhD  
Chancellor-Dean

Approval:

---

Dennis J. Shields                      Date  
President-Chancellor



JOB CLASS				
JOB CODE				
CAL ID				

**SOUTHERN UNIVERSITY SYSTEM**

**Personnel Action Form**

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

CAMPUS: SUS SUBR SULA SUAREC X SUNO SUSLA  
C

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

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

Previous Employee Fatemeh Malekian Reason Left Retired  
Date Left December 2022 Salary Paid \$110,000

**Profile of Person Recommended**

Length of Employment December 1, 2023 To September 30, 2024  
Effective Date December 1, 2023

Name Teodoro Espinosa Solares SS# \_\_\_\_\_ Sex M Race\* H

Position Title: Research Professor/Food Science and Bioprocessing Department: Research

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

H	I	B
---	---	---

New Position Expiration Date: Aug 14, 2026

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

Years Experience 30 Years Southern University Experience N/A

Degree(s):	Type/Discipline (BA-Education):	Institution/Location (SU-Baton Rouge):	Year:
	<u>PhD - Chemical Sciences</u>	<u>Universidad Nacional Autonoma de Mexico</u>	<u>1998</u>
	<u>MS - Biological Engineering</u>	<u>Instituto Politecnico Nacional, Mexico</u>	<u>1993</u>
	<u>BS - Food Science &amp; Engineering</u>	<u>Universidad Autonoma Chapingo, Mexico</u>	<u>1985</u>

Current Employer \_\_\_\_\_

**Personnel Action**

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

Recommended Salary \$110,000 Salary Budgeted \$110,000

Source of Funds Federal

Identify Budget: 621696-65050-62000 Location \_\_\_\_\_  
Form Code: \_\_\_\_\_ Page \_\_\_\_\_ Item # \_\_\_\_\_

Change of: From To

Position \_\_\_\_\_  
Status \_\_\_\_\_  
Salary Adjustment \_\_\_\_\_

Financial Aid signature (if applicable):

List total funds currently paid this employee by Southern University:

\*See Reverse Side  
Comments: (Use back of form)

Source of Funds	Amount

\*See Reverse Side Graduate School signature (if applicable):

Supervisor [Signature] Date 9/21/23  
 Vice Chancellor [Signature] Date 9/21/23  
 Director/Personnel [Signature] Date 10/31/23  
 Dean/Deputy Head [Signature] Date 9/21/23  
 Chancellor [Signature] Date \_\_\_\_\_  
 Vice President/Finance [Signature] Date \_\_\_\_\_  
 Business Affairs/Comptroller \_\_\_\_\_ Date \_\_\_\_\_

President \_\_\_\_\_ Date \_\_\_\_\_ Chairman/S.U. Board of Supervisors \_\_\_\_\_ Date \_\_\_\_\_

*Bernita Belland*  
9/21/23 ham

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

**ETHNIC ORIGIN (Please check one):**

Hispanic or Latino  Non-Hispanic or Non-Latino

**RACE (Please check all that apply):**

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

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

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

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

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

**COMMENTS:** This Research Professor is a 12-month position at the Southern University Agricultural Research and Extension Center (SUAREC) with particular emphasis on Food Science and Bioprocessing. This position will work in key research projects, including major research and research coordination duties. This position will report directly to the Vice Chancellor for Research. The incumbent will be responsible for leading the establishment of the Innovation Food Incubator and will manage and direct the food science and bioprocessing laboratory, develop experimental research programs, prepare manuscripts for publication, and participate in meetings, workshops, and conferences.

**EMPLOYEE REGULAR WORK SCHEDULE:** 8:00 am to 5:00 pm Monday thru Friday

**EMPLOYEE DIRECT SUPERVISOR:** Dr. Jose U. Toledo

**SUPERVISOR/DEPARTMENT CONTACT NUMBER:** 225.771.2815

**NUMBER OF EMPLOYEES SUPERVISED, (if any)** \_\_\_\_\_

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

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

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

**CLASS OF EMPLOYMENT (VISA STATUS):**

**TYPE**

- United States Citizen/Certificate of Naturalization
- Resident Alien
- H-1 Visa (Distinguished Merit & Ability)
- J-1 Visa (Exchange Visitor Program)
- F-1 Visa (Student Emp. FT Student at S.U.)
- OPT (F-1 Visa-INS Prior Approval-"Practical Work Experience")

**FUNDS AVAILABLE**  
OFFICE CODE AGRICULTURAL, EXPIRES  
RESEARCH AND EXTENSION  
SOUTHERN UNIVERSITY SYSTEM  
*Dr. Jose U. Toledo* 7/26/23  
FINANCE & ADMINISTRATION SECTION Aug 14, 2026

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

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

- Approved Position Vacancy Authorization Form (applicable for new and replacement positions)
- Position Vacancy Announcement (position advertised before processing PAF, if applicable)
- Application for Employment Form Admin/Fac/Uncl Positions (Civil Service Application for classified employees)
- Authority to Release (signed by employee) (submitted to Human Resources with Criminal/Background Check form)
- Supervisory Criminal/Background Check Form (completed by employee/ verified and signed by supervisor)
- Exemptions Survey Form (signed by employee and budget head)
- Proposed Employee Appointment
- Proposed Employee Clearance
- Restricted/ Job Appointment/CS Rule 6.5g Letter of Justification (for classified, if applicable)

\*\*\*\*\*

POSITION VACANCY AUTHORIZATION

SU HUMAN RESOURCE

REQUEST THAT THE POSITION Res. Prof. Food Science-Bioprocessing AS DESCRIBED BELOW
BE AUTHORIZED AS A VACANCY FOR Southern University Ag Center
(Department or Unit)

- Replacement, Civil Service, Tenured, New Position\*, Temporary, Probationary, Unclassified, Faculty

- Source of Funds: State 50%, Grant -in-Aid 50%, System Revenue, Agency Fund State

\*requires the approval of System President

VACANCY DESCRIPTION AND JUSTIFICATION

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

This Research Professor is a 12-month position at the Southern University Agricultural Research and Extension Center (SUAREC) with particular emphasis on Food Science and Bioprocessing. This position will work in key research projects, including major research and research coordination duties. This position will report directly to the Vice Chancellor for Research. The incumbent will be responsible for leading the establishment of the Innovation Food Incubator and will manage and direct the food science and bioprocessing laboratory, develop experimental research programs, prepare manuscripts for publication, and participate in meetings, workshops, and conferences. Salary will derive from account: 621696-65050-62000.

Salary/Range: \$110,000 Previous Incumbent (if replacement): Dr. Fatemeh Malekian

Approved Disapproved Department Head Date 09/21/2023

Approved Disapproved Dean/Director/Supervisor of Budget Unit Date

COMPTRROLLER'S OFFICE ONLY Funds Available Yes No Signature Date 9/26/23

HUMAN RESOURCES OFFICE ONLY Existing/Approved Position Yes No Job Code: M Cal Id: U Job Class: 61305 Verified By: Mikhael Williams Date: 09/26/23

Approved Disapproved Vice Chancellor Date 09/21/2023

Approved Disapproved Chancellor/Vice President Date 9/25/23

Approved Disapproved President Date

An Equal Opportunity Employer

**Southern University  
Agricultural Research and Extension Center (SUAREC)**

**Job Description**

**Senior Research Professor  
for Food Science and Bioprocessing Research Programs**

**Job Description:**

The Southern University Research and Extension Center (SUAREC) is seeking a qualified individual for the position of Senior Research Faculty for its Food Science and Bioprocessing Program to work in key research projects in its Baton Rouge, LA campus. This is a full-time, 12-month research appointment, including major research and research coordination duties. This position will also collaborate and participate in teaching and extension activities. This senior faculty position will report directly to the Vice Chancellor for Research at SUAREC.

**Major Duties and Responsibilities**

- Assists the Vice Chancellor for Research in rebuilding the food science research program at the Agricultural Center, including building a team to reestablish Food Science and Bioprocessing Research.
- Leads the conceptualization of the innovation food incubator, including plant design, equipment, and operations.
- Provides technical assistance for the Meat and Poultry project, including plant expansion, operation enhancements, and training of faculty, staff, students, and other stakeholders in meat technology and microbiology.
- Teaches one specialized academic course in Food Science and Technologies for graduate students during the fall or spring semesters.
- Serves as a mentor for junior faculty and provides workshops for professional journal article writing. It also mentors graduate and undergraduate students with their research projects and theses.
- Coordinates international research programs with the Vice Chancellor for Research and participates as a lead faculty in the 1890 Center of Excellence for Global Food Security and Defense.
- Provides leadership associated with the enhancement and further development of physical infrastructure for the food science and bioprocessing areas, including laboratories, research, and teaching processing facilities, and operation and acquisition of equipment.
- Establishes and leads new research projects associated with food science and bioprocessing at the Ag Center Institute for Food Science and Nutrition.

- Actively seeks competitive and extramural grants to secure additional funding for the research unit.
- Publishes peer reviewed articles and writes other scientific manuscripts associated with research findings in the areas of food science and bioprocessing.
- Collaborates with other internal and external research faculty and scientists in research projects that are congruent with the goals and objectives of the areas, and which will further strengthen and advance the mission of the entire unit.

**Minimum Qualifications:**

A Doctoral Degree in Food Science, Bioprocessing, or related areas (e.g., Chemistry, Biochemistry, Food Technology, etc.) is required.

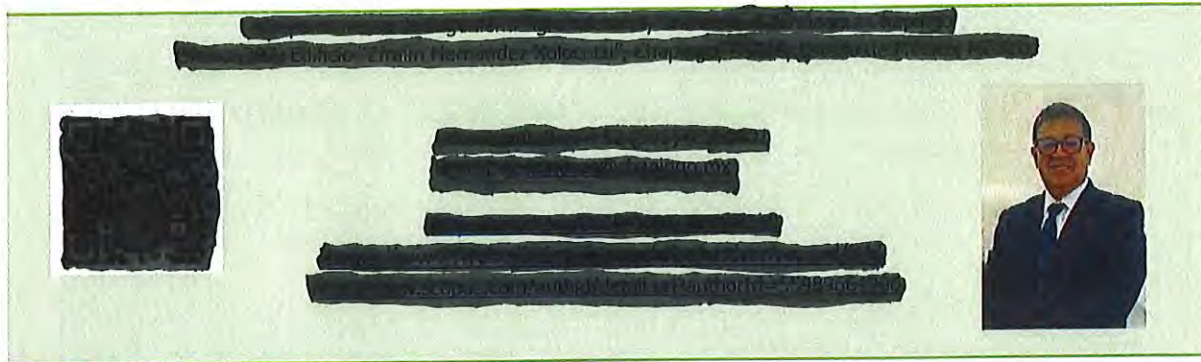
This position requires at least 6 years of experience and extensive publication acumen (50 or more articles) as a lead scientist in the fields of Food Science, Bioprocessing, or related areas.

Candidates must have a proven successful record as a leading scientist, including leading a research unit and building successful research teams.

The successful applicant will demonstrate commitment to timely completion of deliverables, commitment to the publication of results in highly reputable peer-reviewed journals, and strong potential to work collaboratively with multiple stakeholders on a highly visible research topic. Excellent written, quantitative, and interpersonal communication skills are required.

In addition, the candidate selected for this position must be able to meet eligibility requirements to work in the United States at the time the appointment is scheduled to begin and continue working legally for the proposed term of employment.

# Teodoro Espinosa-Solares



## Profesional experience

2022-	Member of the Mexican Academy of Science
2019-2022	Coordinator of the Agri-Food Science and Technology Graduate Program, Chapingo University
2019-2022	Coordinator of the Food Institute, Chapingo University
2015-2023	National recognition as National Researcher (Level 2, from 1-3)
2014-2017	Coordinator of the International and Interinstitutional Project "Technical and Economic Feasibility of cactus as biomass for methane, ethanol and co-products"
2010-2017	Coordinador of the Scientific Joournals Chapingo University
2011	Consulting InterAmerican Institute for Cooperation on Agriculture Food and Agriculture Organization (UN)
2008-2011 & 2005-2006	Visiting Professor WVSU, Institute, WV, USA
2004-2014	National recognition as National Researcher (Level 1 from a scale 0-3)
2002-2005	Subdirector Académico del Departamento de Ingeniería Agroindustrial UACH
2001-2002	Coordinador del Programa Universitario de Investigación en Alimentos de la UACH
1998-2001	National recognition as National Researcher (Level 1 from a scale 0-3)
1995-1998	National recognition as National Researcher (Level 0 from a scale 0-3)
1995-1996	Assistance researcher at École Polytechnique, Montréal, Canada.
1985-	Professor at Chapingo University
1985	Head of plant production. National Seeds Producer.

## Studies

Fecha	Diploma	University
1998	Ph.D. In Chemical Sciences	Facultad de Química. Universidad Nacional Autónoma de México (UNAM). Mexico
1993	M.Sc. In Engineering of Biological Products.	Escuela Nacional de Ciencias Biológicas. Instituto Politécnico Nacional (IPN). México
1985	Bs In Agroindustrial Engineering.	Departamento de Industrias Agrícolas Universidad Autónoma Chapingo (UACH) México

## Research internships

Brandenburgische Technische Universität Cottbus-Senftenberg, Germany		
May 19 – Jul 19	Faculty of Environment and Natural Sciences Engineering	Double stage anaerobic digestion
Middle East Technical University, Ankara, Turkey		
Oct 16 – Nov 16	Department of Environmental Engineering	Life Cycle Assessment for methane production
West Virginia State University. Institute, West Virginia, USA		
Sep 08 – Aug 09	Gus R. Douglass Land-Grant Institute	Anaerobic digestion Laboratory (40 L) and Pilot Plant (40 m <sup>3</sup> ).
Jun 05 – Jul 06 Jun 04 – Jul 04	Division of Agricultural, Consumer, Environmental, and Outreach Programs.	
École Polytechnique. Montréal, Québec, Canada		
Feb 96 – Dec 96 Jun 95 – Dec 95	Unité de Recherche en Procédés d'Écoulements Industriels. Département de Génie Chimique.	Mixing devices design for rheologically complex fluids.

## Recent grants

Project	Grant source	Responsability	Collaboration	Status
Engineering methanogenic microbiomes to maximize bioenergy production from diverse biomass substrates (288716)	CONACYT Ciencia básica CB-2016-01	PI	<ul style="list-style-type: none"> <li>o West Virginia State University (USA)</li> <li>o Universidad Autónoma de Coahuila</li> </ul>	Completed
BioENOX Desarrollo de estructuras de cooperación e investigación para la producción y uso local de energías sustentables, en particular de biogás a partir de los materiales de desechos de Oaxaca, México	DLR-Alemania	Collaborator	<ul style="list-style-type: none"> <li>o Brandenburgische Technische Universität Cottbus-Senftenberg</li> <li>o Centro de Investigación y Desarrollo Tecnológico en Electroquímica</li> <li>o Xaquixe</li> <li>o PPX</li> </ul>	Completed
Factibilidad técnica y financiera del nopal para la producción de metano, etanol y coproductos (195157)	FONDO SAGARPA- CONACYT Bloenergéticos S0026-2012-08	PI	<ul style="list-style-type: none"> <li>o Universidad Politécnica de Pachuca</li> <li>o Centro de Investigación y Asistencia en Tecnología y Diseño del Estado de Jalisco, A.C.</li> <li>o INIFAP</li> <li>o Universidad Autónoma de Coahuila</li> <li>o Colegio de Posgraduados</li> <li>o Rancho "La Hondonada"</li> <li>o BIOqualitum S.A de C.V.</li> <li>o Middle East Technical University (Turkey)</li> <li>o West Virginia State University (USA)</li> </ul>	Completed
Recovery Improvement of perturbed anaerobic digesters in co-digestion with algae (167896)	CONACYT Ciencia básica CB-2011-01	PI	<ul style="list-style-type: none"> <li>o West Virginia State University (USA)</li> </ul>	Completed
Agricultural waste utilization and bioenergy production using anaerobic digestion (92482)	CONACYT Estancia sabática (92482)	PI	<ul style="list-style-type: none"> <li>o West Virginia State University (USA)</li> </ul>	Completed
Producción controlada e intensiva de huitlacoche ( <i>Ustilago maydis</i> D. C. Corda) y alternativas para su manejo en postcosecha (47725- Z)	CONACYT Ciencia básica CB-2004-01	PI		Completed



## Experience on evaluation and certification processes

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2019 and 2021	Coordinator for the recognition-certified Master's and Ph.D. programs by the Mexican institutions related to Science and Technology
2018-2017	Evaluator of the Master's and PhD programs at the National Level for CONACYT
2018	Grant evaluator for Basic-Science National Level SEP-CONACYT
2014, 2017	Project reviewer CONACYT
2006-2023	Peer reviewer: Journal of Cleaner Production, Bioresource Technology, Waste Management Research, Agrociencia, Chemical Engineering Research and Design, Biotechnology Progress, CyTA - Journal of Food, Ingeniería Agrícola y Biosistemas, Fitotecnia Mexicana, Revista Mexicana de Ingeniería Química, , Chemical Engineering Journal, Water Research, Biotechnology Progress, Journal of Mechanical Engineering Science, Applied Biochemistry and Biotechnology, Water Environment Research, Revista Chapingo Serie Horticultura
2011	Consulting for Inter-American Institute for Cooperation on Agriculture (IICA) and Food and Agriculture Organization of the United Nations (FAO)
2008, 2005-2006	Grant evaluator for Basic-Science National Level SEP-CONACYT
2004-2006	Participant for the recognition certified Master program by the Mexican institutions related with Science and Technology
2004-2005	Reviewer for the Certification exam for Agroindustrial Engineering Bachelor Degree Certification for CENEVAL at National level
2002-2004	Undergraduate Academic Affairs Deputy Director, 2002-2005. Leading the process for updating the Curriculum of the Agro-Industrial Engineering Bachelor Degree to certify the Program In 2005.
2002	Founding Professor of the Agri-Food Science and Technology Master Program.
1999	Author de Training manuals for The Sugar Industry in collaboration with several factories at National Level.

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## Research metrics

### Research metrics

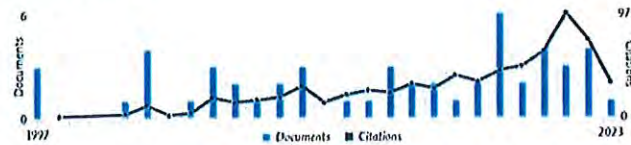
In SCOPUS on **May 16, 2023**

<http://www.scopus.com/authid/detail.uri?authorId=559896649001>

**h-index: 15**

Total citations: **685**

Document & citation trends



[Analyze author output](#) [Citation overview](#)

Most contributed Topics 2017-2021

Anaerobic Digestion; Biofuel; Methane Production  
6 documents

Anaerobic Digestion; Biofuel; Life Cycle Assessment  
2 documents

Magnetite Nanoparticles; Ferric Oxide; Superparamagnetic Iron Oxide Nanoparticle  
1 document

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In Web of Science on **May 16, 2023**

<https://www.webofscience.com/wos/author/record/941>

Subject Categories: Agriculture Biotechnology & Applied

Microbiology Engineering Energy & Fuels Food Science & Technology

**h-index: 15**

Total citations without self-citations: 598

## PUBLICATIONS

### Peer Review Journals

67. Espinosa-Solares, T., & Domínguez-Puerto, R. (2023). Influence of power density and geometry of young cactus cladodes (*Opuntia ficus-indica* (L.) Mill.) on intermittent microwave drying kinetics. *Revista Mexicana De Ingeniería Química*, 22(1), Alim2965. <https://doi.org/10.24275/rmiq/Alim2965>
66. Rivera-Hernández Y, Hernández-Eugenio G, Balagurusamy N, Espinosa-Solares T. Sargassum-pig manure co-digestion: An alternative for bioenergy production and treating a polluting coastal waste. *Renewable Energy* (2022) 199, 1336–1344. <https://doi.org/10.1016/j.renene.2022.09.068>
65. Espinosa-Solares T, Solís-Cruz DE, Aguilar-Toalá JE, Barrales-Fernández C, Meneses-Reyes JC, Gallegos Vázquez C, Hernández-Eugenio G. Biochemical methane potential of *Opuntia ficus-indica* (L.) Mill. cladodes in co-digestion with cow manure. *Journal of Arid Environments* (2022) 202, 104757. <https://doi.org/10.1016/j.jaridenv.2022.104757>
64. Espinosa-Solares T, Aguilar-Toalá JE, Barrales-Fernández C, Meneses-Reyes JC, Gallegos Vázquez C, Hernández-Eugenio G. Anaerobic co-digestion of *Opuntia ficus-indica* (L.) Mill. cladode with cow manure: Effect of different cultivars on biochemical methane potential. *Journal of The Professional Association for Cactus Development* (2022) 24, 50-60. <https://www.jpacd.org/jpacd/article/view/453>
63. Laureano-López, B., Pérez-López, A., Espinosa-Solares, T., del Carmen Núñez-Santiago, M. Application of the tan  $\delta$  method in the determination of the melting temperature of  $\kappa$ -carrageenan gels in the presence of calcium ions. *Rheologica Acta* 61(3), pp. 183-189 (2022). <https://doi.org/10.1007/s00397-022-01324-5>
62. Cañarejo-Antamba M, Bañuelos-Tavares O, Reyes-Trejo B, Espinosa-Solares T, Yoshi V, Guerra-Ramírez D. Comparison of nutritional and nutraceutical properties of *Chenopodium quinoa* cultivated in Mexico and Ecuador. *Chilean Journal of Agricultural Research* 81 (4), 507-517 (2021). <https://doi.org/10.4067/s0718-58392021000400507>
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58. Ochoa-Rosas MJ, Valadez-Moctezuma E, Mena-Nevarez G, Espinosa-Solares T, Pérez-López A. Assessing hydrothermal treatment and antagonistic yeasts combination for mango anthracnose control. *Acta Agrícola Y Pecuaria* 7: E0071012 (2021) <https://doi.org/10.30973/aap/2021.7.0071012>
57. Huber, DH, Ramirez-García A, Chavarria-Palma, Espinosa-Solares T, Noundou VL, Montenegro-García NA, Adeleye A, Martin CS. Stress induced by crude glycerol in a thermophilic digester: microbial community divergence and resilience, but slow process recovery. *Appl Microbiol Biotechnol* 104: 10769–10781 (2020). *2019 JCR@ Categories: BIOTECHNOLOGY & APPLIED MICROBIOLOGY (Q2)* <https://doi.org/10.1007/s00253-020-10965-6>

56. Cruz-de la Cruz LL, Espinosa-Solares T, Aguilar-Méndez MA, Guerra-Ramírez D, Hernández-Eugenio G. Influence of microwave drying process on microstructure and thermodynamic properties of nopal cladodes. *Ingeniería Agrícola y Biosistemas*, 12(2), 83-97 (2020). [10.5154/r.inagbi.2019.12.075](https://doi.org/10.5154/r.inagbi.2019.12.075)
55. Pérez-López A, Ramírez-Guzmán ME, Espinosa-Solares T, Aguirre-Mandujano E, Villaseñor-Perea CA. Postharvest respiration of fruits and environmental factors interaction: An approach by dynamic regression models. *Scientia Agropecuaria* 11(1): 23-29 (2020). <http://dx.doi.org/10.17268/sci.agropecu.2020.01.03>
54. Aguilar-Moreno GS, Navarro-Cerón E, Velázquez-Hernández A, Hernández-Eugenio G, Aguilar-Méndez MA, Espinosa-Solares T. Enhancing methane yield of chicken litter in anaerobic digestion using magnetite nanoparticles. *Renewable Energy* 2018 JCR@ Categories: GREEN & SUSTAINABLE SCIENCE & TECHNOLOGY - SCIE(Q1), ENERGY & FUELS (Q1). 147:204-213 (2020). <https://doi.org/10.1016/j.renene.2019.08.111>
53. Aguilar-Méndez MA, Espinosa-Solares T, Canseco-González D, Guerrero-Toledo FM, Velázquez-Hernández A, Aguilar-Moreno GS, Navarro-Cerón E. Synthesis and characterization of magnetite nanoparticles using gelatin and starch as capping agents. *IET Nanobiotechnology* 2018 JCR@ Categories: BIOCHEMICAL RESEARCH METHODS (Q3), NANOSCIENCE & NANOTECHNOLOGY (Q3) 14(1):94-97 (2020). <http://dx.doi.org/10.1049/iet-nbt.2019.0204>
52. Martínez-García RA, Espinosa-Solares T, Flores-Velázquez J, Rojano-Aguilar A, Reséndiz-Cantera O, Arzeta Ríos AJ. Mejoramiento del desempeño hidrodinámico de un digestor anaeróbico de laguna cubierta mediante CFD. *Biocencia* 2019 SCR CONACYT Categoría: Biotecnología y Ciencias Agropecuarias, Competencia Internacional 22 (1):56-66 (2020) <http://dx.doi.org/10.18633/biocencia.v22i1.1125>
51. Guerrero-Toledo FD, Espinosa-Solares T, Balagurusamy N, Guerra-Ramírez D, Huber DH, Hernández-Eugenio G. Biochemical methane potential of chicken litter added with propionate in mesophilic conditions. *Scientia Agropecuaria*. 10: 307-311 (2019). <http://dx.doi.org/10.17268/sci.agropecu.2019.02.17>
50. Ramírez-Arpipe FR, Espinosa-Solares T, Gallegos-Vázquez C, Santoyo-Cortés VH. Bioenergy production from nopal cladodes and dairy cow manure on a farm-scale level: challenges for its economic feasibility in Mexico. *Renewable Energy* 142: 383-392 (2019). 2018 JCR@ Categories: GREEN & SUSTAINABLE SCIENCE & TECHNOLOGY - SCIE(Q1), ENERGY & FUELS (Q1). <https://doi.org/10.1016/j.renene.2019.04.093>
49. Hernández-Rodríguez G, Espinosa-Solares T, Pérez-López A, Salgado-Escobar I, Guerra-Ramírez D. Antioxidant capacity of capulin (*Prunus serotina* subsp. *capull* (Cav). McVaugh) fruit at different stages of ripening. *Ecosistemas y Recursos Agropecuarios*. 6(16): 1-10 (2019).
48. Meneses-Reyes JC, Hernández-Eugenio G, Huber DH, Balagurusamy N, Espinosa-Solares T. Oil-extracted *Chlorella vulgaris* biomass and glycerol bioconversion to methane via continuous anaerobic co-digestion with chicken litter. *Renewable Energy* 128: 223-229 (2018). 2016 JCR@ Categories: GREEN & SUSTAINABLE SCIENCE & TECHNOLOGY - SCIE(Q1), ENERGY & FUELS (Q1). <https://doi.org/10.1016/j.renene.2018.05.053>
47. Pérez-Cadena R, Medina-Moreno SA, Martínez A, Lizardi-Jiménez MA, Espinosa Solares T, Téllez-Jurado A. Effect of concentration of salts in ethanol production from acid hydrolysis of cladodes of *Opuntia ficus indica* var. Atlixco. *Revista Mexicana de Ingeniería Química* 17(1): 349-364 (2018). 2017 Sistema de clasificación de revistas mexicanas de ciencia y tecnología : Ingenierías (Q2) <http://rmiq.org/ojs/index.php/rmiq/article/view/211>
46. Pérez-Cadena R, Espinosa Solares T, Medina-Moreno SA, Martínez A, Lizardi-Jiménez MA, Téllez-Jurado A. Production of Ethanol by Three Yeasts in Defined Media and Hydrolyzed Cladodes of *Opuntia ficus-indica* var. Atlixco. *International Journal of Agriculture and Forestry* 8(1): 26-34 (2018). doi:10.5923/j.ijaf.20180801.05

45. Ramírez-Arpipe FR, Demirer GN, Gallegos-Vázquez C, Hernández-Eugenio G, Santoyo-Cortés VH, Espinosa-Solares T. Life cycle assessment of biogas production through anaerobic co-digestion of nopal cladodes and dairy cow manure. *Journal of Cleaner Production* 172: 2313-2322 (2018). 2016 JCR@ Categories: GREEN & SUSTAINABLE SCIENCE & TECHNOLOGY - SCIE(Q1), ENGINEERING, ENVIRONMENTAL (Q1), ENVIRONMENTAL SCIENCES (Q1) <https://doi.org/10.1016/j.jclepro.2017.11.180>
44. López-Yerena A, Guerra-Ramírez D, Jácome-Rincón J, Espinosa-Solares T, Reyes-Trejo B, Famiani F, Cruz-Castillo JG. Initial evaluation of fruit of accessions of *Persea schiedeana* Nees for nutritional value, quality and oil extraction. *Food Chemistry* 245: 879-884 (2018). 2016 JCR@ Categories: CHEMISTRY, APPLIED (Q1), FOOD SCIENCE & TECHNOLOGY (Q1), NUTRITION & DIETETICS (Q1) <https://doi.org/10.1016/j.foodchem.2017.11.088>
43. Meneses-Reyes JC, Hernández-Eugenio G, Huber DH, Balagurusamy N, Espinosa-Solares T. Biochemical methane potential of oil-extracted microalgae and glycerol in co-digestion with chicken litter. *Bioresource Technol.* 224: 373-379 (2017) 2013 JCR@ Categories: AGRICULTURAL ENGINEERING (Q1), BIOTECHNOLOGY & APPLIED MICROBIOLOGY (Q1), ENERGY & FUELS (Q1). <https://doi.org/10.1016/j.biortech.2016.11.012>
42. López-García E, Pérez-López A, Acosta-Ramos M, Ochoa-Rosas MJ, Rojas-Martínez RI, Espinosa-Solares T. Factores físicos y microbiológicos en el deterioro del huitlacoche en poscosecha. *Revistas Mexicana de Ciencias Agrícolas*. 8(3): 545-558 (2017). 2017 Sistema de clasificación de revistas mexicanas de ciencia y tecnología : Biotecnología y Ciencias Agropecuarias (En Competencia Nacional) <http://cienciasagricolas.inifap.gob.mx/editorial/index.php/agricolas/article/view/30/26>
41. López Torres BJ, Rendón Medel R, Espinosa Solares T, Torres Díaz Santana P, Santellano Estrada E. Medición de cobertura oculta en servicios de asistencia técnica y capacitación en el medio rural. *Revistas Mexicana de Ciencias Agrícolas*. 15: 3089-3102 (2016). 2017 Sistema de clasificación de revistas mexicanas de ciencia y tecnología : Biotecnología y Ciencias Agropecuarias (En Competencia Nacional) <http://cienciasagricolas.inifap.gob.mx/editorial/index.php/agricolas/article/view/428>
40. Hernández-Rodríguez G, Espinosa-Solares T, Hernández-Eugenio G, Villa-García M, Reyes-Trejo B, Guerra-Ramírez D. An optimized method to extract phenols from capulin fruits (*Prunus serotina*). *Journal of the Mexican Chemical Society*. 60(2), 73-78 (2016). 2016 JCR@ Category: CHEMISTRY, MULTIDISCIPLINARY - SCIENCES (Q4).
39. Hernandez-De Lira IO, Huber DH, Espinosa-Solares T, Balagurusamy N. Methane emission and bioenergy potential from livestock manures In Mexico. *Journal of Renewable and Sustainable Energy*. (7): 053111-1-053111-10 (2015) <http://dx.doi.org/10.1063/1.4934564> 2014 JCR@ Category: ENERGY & FUELS (Q3).
38. Carrasco-Hernández V, Pérez-Moreno J, Quintero-Lizaola R, Espinosa-Solares T, Lorenzana-Fernández A, Espinosa Hernández V. Edible species of the fungal genus *Hebeloma* and two neotropical pines. *Pakistan Journal of Botany*. 47(1):319-326 (2015). <http://www.pakbs.org/pjbot/PDFs/47%281%29/45.pdf> 2014 JCR@ Category: PLANT SCIENCES (Q3).
37. Rivera-Salvador V, López-Cruz IL, Espinosa-Solares T, Aranda-Barradas JS, Huber DH, Sharma D, Toledo JU. Application of Anaerobic Digestion Model No. 1 to describe the syntrophic acetate oxidation of poultry litter in thermophilic anaerobic digestion. *Bioresource Technology* 167:495-502 (2014) [doi:10.1016/j.biortech.2014.06.008](https://doi.org/10.1016/j.biortech.2014.06.008) 2013 JCR@ Categories: AGRICULTURAL ENGINEERING (Q1), BIOTECHNOLOGY & APPLIED MICROBIOLOGY (Q1), ENERGY & FUELS (Q1).
36. Pérez-López A, Chávez-Franco SH, Villaseñor-Perea CA, Espinosa-Solares T, Hernández-Gómez LH, Lobato-Calleros C. Respiration rate and mechanical properties of peach fruit during storage at three maturity stages. *Journal of Food Engineering* 142:111-117 (2014) doi: <http://dx.doi.org/10.1016/j.jfoodeng.2014.06.007> 2013 JCR@ Categories: FOOD SCIENCE & TECHNOLOGY (Q1), CHEMICAL ENGINEERING (Q1).
35. Espinosa-Solares T, Hernández-Montes A, Bautista-Reyes B, Cruz-Ploquinto L, Santos-Moreno A, Valle-Guadarrama S. Rendimiento de dos sistemas de mezclado en la producción de yogur batido. *Ingeniería Agrícola y Biosistemas* 6(2): 61-75 (2014). 2017 Sistema de clasificación de revistas mexicanas de ciencia y tecnología : Biotecnología y Ciencias Agropecuarias (En Competencia Internacional) doi: [10.5154/r.inagbi.2014.07.006](https://doi.org/10.5154/r.inagbi.2014.07.006)

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## International Conferences

Formation of modular association networks during assembly of a methanogenic bioreactor community  
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**2022 International Symposium on Microbial Ecology**

Biochemical methane potential of sargassum in co-digestion with pig manure  
Rivera-Hernández Yessica, Hernández-Eugenio Guadalupe, Balagurusamy Nagamani, Ochoa-Bernal Thalia Guadalupe, Espinosa-Solares Teodoro\*  
**2022 International Symposium on Microbial Ecology**

Systems in Mono-, Co- and Tri-Digestion of Chicken Litter, Microalgae and Glycerol in Systems Disturbed by Overload of Organic Matter  
Thalia Guadalupe Ochoa-Bernal, Guadalupe Hernández-Eugenio, José Carlos Meneses-Reyes, Carlos Lopez-Ortiz, Teodoro Espinosa-Solares\*  
**2022 ASM Microbe**

Producción de bioenergía y análisis de ciclo de vida  
Teodoro Espinosa-Solares  
**2020 Simposio Ambiente y Bioenergía**

Influence of Maturity Stages on Postharvest Respiration Rate and Mechanical Properties of Peach Fruit  
Artemio Pérez-López, Teodoro Espinosa-Solares, Sergio H. Chávez-Franco, Carlos A. Villaseñor-Perea, Luis H. Hernández-Gómez, Consuelo Lobato-Calleros  
**2019 13th CIGR VI Technical Symposium**

Resilience evaluation to overloading feed disturbance in thermophilic anaerobic digestion  
María del Carmen González-Rangel, Teodoro Espinosa-Solares, David H. Huber, Sridhar A. Malkaram  
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Los bioprocesos y la emisión de gases de efecto invernadero durante la producción de bioenergía.  
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Respiratory parameters of Huitlacoche (*Ustilago maydis*) under modified atmosphere conditions.  
Salvador Valle-Guadarrama, Teodoro Espinosa-Solares, Irineo L. López-Cruz, Rafael Sánchez-Flores  
**2016 VIII International Postharvest Symposium**

Evolution of antioxidants in capulin fruits (*Prunus serotina* Ehrh) during pre-harvest and harvest and the development of Antioxidant microcapsule  
Guillermina Hernández-Rodríguez, Diana Guerra-Ramírez, Matilde Villa-García and Teodoro Espinosa-Solares  
**2016 Global Biotechnology Congress**

LCA Elements for chemical and organic cactus cladode production  
Ramírez-Arplde R, Espinosa-Solares T, Santoyo-Cortes VH, Demirer G and Gallegos-Vazquez C  
**2015 XV LCA CONFERENCE**

Global sensitivity analysis applied to ADM1 reduced model  
Domínguez-Puerto R, Espinosa-Solares T, López-Cruz LI, Ruíz-García A, Rojano-Aguilar A  
**2015 AD 14th World Congress on Anaerobic Digestion**

Process development for microcapsule with antioxidants from capulin fruits (*Prunus serotina*)  
Hernández-Rodríguez G, Espinosa-Solares T, Cerón-Montes GI, Guerra-Ramírez D, Villa-García M  
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Optimization of phenolic compounds extraction process from capulin (*Prunus serotina* subsp. *capuli*).  
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Reproducible community dynamics and turnover during changes in hydraulic loading in replicate methanogenic bioreactors  
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Functional adaptation to a resource gradient in model methanogenic bioreactors is associated with community reorganization

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Interaction between microstructure and thermodynamic properties of cactus cladode dried by microwaves

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The impact of a glucose pulse disturbance on the resilience of thermophilic methanogenic bioreactors

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Hydrodynamic performance in a scale-down plug flow anaerobic digester by CFD

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Influence of Microwave Baking Process on Quality and Structural Properties of Baked Tortilla-Chip

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Quality characteristics of corn tortillas, dehydrated with different microwave power

Ramírez-Arpide FR, Arámbula-Villa G, Espinosa-Solares T  
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Anthracnose control in "Ataulfo" mangos by combining antagonist yeast and hydrothermal treatment

Ochoa-Rosas MJ, Espinosa-Solares T, Valadez-Moctezuma E, Acosta-Ramos M, Mena-Nevarez G  
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Pilot plant thermophilic bioreactor performance modification by switching from solo chicken litter to chicken litter-thin stillage co-digestion

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Influence of microstructure on sorption and rehydration properties of convective-, microwave- and freeze-dried huitlacoche

Espinosa-Solares T, Ramírez FR, Arámbula G, J. Cabrera J, Navarro R, Álvarez JJ  
**2011 European Federation of Food Science and Technology Annual Meeting**

Influence of applied power on process parameters during Intermittent microwave drying of nopalito cactus (*Opuntia spp.*)

Domínguez-Puerto R, Espinosa-Solares T, Sánchez-Iturbe PG  
**2011 European Federation of Food Science and Technology Annual Meeting**

Study of spray drying of pitahaya mucilage and the effect on their mechanical properties

García EE, Rodríguez J, Calderas F, Espinosa-Solares T, Medina-Torres L  
**2011 European Federation of Food Science and Technology Annual Meeting**

Limitations of Bacterial Community Adaptation during co-digestion in a Thermophilic Anaerobic Digester

D Sharma, T Espinosa-Solares, DH Huber  
**2011 American Society for Microbiology (ASM) 111<sup>th</sup> General Meeting**

Understanding microbial community structure and performance during the co-digestion of stillage waste and poultry litter by a thermophile anaerobic digester

D Sharma, T Espinosa-Solares, DH Huber  
**2010 13<sup>th</sup> International Society for Microbial Ecology Symposium**

Inoculum production by submerged culture for huitlacoche propagation

A Martínez-Flores, T Espinosa-Solares, E Durán-Páramo, CA Jiménez-Sierra, M Acosta-Ramos, A Drews  
**2010 14<sup>th</sup> International Biotechnology Symposium and Exhibition**

Resilience evaluation of a pilot plant digester under thermophilic conditions during a change from mono- to co-digestion  
T. Espinosa-Solares, A. M. Smith, M. Domaschko, J. Toledo, D. H. Huber  
**2010 American Society for Microbiology (ASM) 110<sup>th</sup> General Meeting**

Secado del huitlacoche con microondas  
T. Espinosa Solares, R. Navarro Zamora, A. Pérez López, M.R. Rosas Castillo, A. Pérez Román, D.A. García Rodríguez  
**2009 LV Reunión Anual de la Sociedad Interamericana de Horticultura Tropical**

Hongos que afectan la calidad poscosecha del huitlacoche  
E. López García, M. Acosta Ramos, A. Pérez López, T. Espinosa Solares  
**2009 LV Reunión Anual de la Sociedad Interamericana de Horticultura Tropical**

Modeling temperature variations in a pilot plant thermophilic anaerobic digester  
S. Valle-Guadarrama, T. Espinosa-Solares, I.L. López-Cruz, F.R. Ramírez-Arpide, M. Domaschko and J. Bombardiere  
**2009 31st Symposium on Biotechnology for Fuels and Chemicals**

Biodrying as a pretreatment of horticultural wastes  
E.M. Silva-Rodríguez, F. Robles-Martínez, J.S. Aranda-Barradas, T. Espinosa-Solares, R. Bailón, E. Durán-Páramo  
**2009 31st Symposium on Biotechnology for Fuels and Chemicals**

Mixing performance of mimic anaerobic digester vessels.  
T. Espinosa-Solares, V. Rivera-Salvador  
**2009 15th Biennial ARD-1890 Land Grant Universities Research Symposium**

Mixing performance of mimic anaerobic digester vessels  
T. Espinosa-Solares, V. Rivera-Salvador, A. Tecante, M. Ramírez-Gilly  
**2008 18th International Congress of Chemical and Process Engineering**

Optimization of flavonoids extraction process from chamomile flowers  
M. Soto-Hernández, T. Espinosa-Solares, J.C. Meneses-Reyes, M.E. Ramírez-Guzmán  
**2008 18th International Congress of Chemical and Process Engineering**

Physical and mechanical properties of huitlacoche (*Ustilago maydis*)  
A. Pérez-López, T. Espinosa-Solares, C. Ortega-Herrera, C.A. Villaseñor-Perea, M. Reyes-Vigil  
**2008 18th International Congress of Chemical and Process Engineering**

Heating Strategy and Power Consumption of a Pilot Plant Anaerobic Digester  
T. Espinosa-Solares, S. Valle-Guadarrama, L. Medina-Torres, J. Bombardiere, M. Domaschko  
**2008 30th Symposium on Biotechnology for Fuels and Chemicals**

Changes on Performance and Microbial Population Induced by Hydraulic Retention Time in a Pilot Plant Thermophilic Anaerobic Digester  
T. Espinosa-Solares, D.H. Huber, A.M. Smith, M. Domaschko and M. Chatfield, J. Bombardiere  
**2008 30th Symposium on Biotechnology for Fuels and Chemicals**

Tiempo de mezclado adimensional en un biorreactor que simula una fermentación anaerobia  
Víctor Rivera Salvador, Teodoro Espinosa-Solares, Alberto Tecante Coronel, Mariana Ramírez Gilly  
**2008 Congreso Internacional sobre Matemáticas y sus Aplicaciones**

Postharvest changes of huitlacoche mushrooms under refrigeration  
Alejandro Martínez-Flores, Joel Corrales-Gracia, Teodoro Espinosa-Solares, Clemente Villanueva-Verduzco  
**2007 IFT Annual Meeting**

Hydrodynamic characterization of a column type prototype bioreactor  
Melvin García-Nazariega, Teodoro Espinosa-Solares, Marcos Morales-Contreras, Fabián Robles-Martínez, Consuelo Lobato-Calleros  
**2007 29th Symposium on Biotechnology for Fuels and Chemicals**

Oil characteristics of hull and hull-less pumpkin seed  
Teodoro Espinosa-Solares, Enot Hueda-Rasgado, Luis Angel Medina-Juárez, Clemente Villanueva-Verduzco, Osva Antonio Montesinos-López, Adalberto Gómez-Cruz  
**2006 XIIIth IUFoST World Congress of Food Science and Technology**  
Greenhouse environment control maintain the moisture at 85% RH for reproducing huitlacoche fungus in corn  
Federico Hahn, Teodoro Espinosa-Solares, Clemente Villanueva Verduzco, Irineo López, Jose Madrigal  
**2006 ASABE Annual International Meeting**

Performance of a thermophilic anaerobic digester at different feed loading frequencies  
John Bombardiere, Teodoro Espinosa-Solares, Mark Chatfield and Max Domaschko  
**2006 28th Symposium on Biotechnology for Fuels and Chemicals**

Mixing Analysis in a Coaxial Mixer  
Christian A. Rivera, Stephane Foucault, Mourad Heniche, Teodoro Espinosa-Solares, and Philippe A. Tanguy  
**2006 Fluid Mixing VIII**

Influence of temperature on methane production from poultry litter in a pilot plant biodigester  
John Bombardiere, Teodoro Espinosa-Solares, Max Domaschko, Fabián Robles-Martínez and Mark Chatfield  
**2006 7th Specialised Conference on Small Water and Wastewater Systems**

Establecimiento de un sistema de medición de temperatura para mezcladores de proximidad y remotos  
Raúl Almengor Serret, Teodoro Espinosa Solares, Darinel Espinosa López  
**2006 VII Congreso Latinoamericano y del Caribe de Ingeniería Agrícola**

Hydrodynamics Investigation of the Coaxial Mixer  
Christian A. Rivera, Stephane Foucault, Mourad Heniche, Teodoro Espinosa-Solares, and Philippe A. Tanguy  
**2005 55<sup>th</sup> Canadian Chemical Engineering Conference**

Mixing Analysis of a Coaxial Mixer  
Christian A. Rivera, Stephane Foucault, Mourad Heniche, Teodoro Espinosa-Solares, and Philippe A. Tanguy  
**2005 American Institute of Chemical Engineers Annual Meeting**

Influence of hydraulic retention time on the performance of a pilot plant thermophilic anaerobic bioreactor  
Bombardiere J, T Espinosa-Solares, M Chatfield, M Domaschko, M Easter, DA Stafford, S Castillo-Angeles and N Castellanos-Hernandez.  
**2005 4<sup>th</sup> International Symposium Anaerobic Digestion of Solid Waste**

Macroscopic mass and energy balance of a pilot plant anaerobic bioreactor operated under thermophilic conditions  
Espinosa-Solares T, J Bombardiere, M Chatfield, M Domaschko, M Easter, DA Stafford, S Castillo-Angeles and N Castellanos-Hernandez  
**2005 27th Symposium on Biotechnology for Fuels and Chemicals**

Consumo de potencia de geometrías híbridas en el mezclado de fluidos de reología compleja  
Teodoro Espinosa-Solares  
**2004 II Simposio Internacional de Ciencia y Tecnología de Alimentos**

Stirring Hydrodynamics for an Innovative Double Helical Ribbon With Scrapers  
Rivera-Aparicio C, T Espinosa-Solares, M Heniche, R Almengor-Serret, and PA Tanguy  
**2004 International Symposium on Mixing in Industrial Processes 5**

Propiedades fisicoquímicas del almidón fosfatado producido por extrusión y su efecto en la reología del yogur  
San Martín-Martínez E, MA Aguilar-Méndez, Espinosa-Solares T, Pless R. C., Quintana D.  
**2003 IV Congreso Ibero Americano de Alimentos CIBIA IV**

Mejoramiento de la dispersión de gas en medios que cambian la reología con el tiempo de proceso  
Espinosa-Solares T, E Brito-De la Fuente, A Tecante, PA Tanguy  
**2003 VI Congreso Internacional en Ciencias Agrícolas**

3D CFD Simulations of Non-Newtonian Mixing with Off-Centered Impellers  
Phillippe A. Tanguy, Gabriel Ascanio, Christian Rivera,  
Mourad Heniche, Teodoro Espinosa-Solares  
**2003 19th Biennial Conference on Mixing**

Mixing time in rheologically evolving model fluids by hybrid dual mixing systems.  
Espinosa-Solares T, E Brito-De la Fuente, A Tecante, L Medina-Torres, PA Tanguy  
**2002 Fluid Mixing 7**

Influencia de almidones fosfatados en la sinéresis de yogur  
Aguilar-Méndez MA, Espinosa-Solares T, San Martín-Martínez E, Pless RC  
**2002 1er Foro Internacional de Mecanización Agrícola y Agroindustrial**

Modelo del proceso de concentración en un evaporador centrífugo.  
Velásquez Castillo A, Espinosa-Solares T, Valle-Guadarrama S, Lara-García JO, Robles De la Torre RR  
**2002 1er Foro Internacional de Mecanización Agrícola y Agroindustrial**

Comparison of mixing systems in Mexican sweet milk (cajeta) production  
Espinosa-Solares T, L Rojas-Tellez, ME Ramírez-Guzmán, C Ybarra-Moncada, A Hernández-Montes, A Santos-Moreno  
**2001 EUROCAFT2001**

Process for petit suisse style cheese production in a multitask vessel.  
Espinosa-Solares T, N Hernández-Sumano, ME Ramírez-Guzmán, C Ybarra-Moncada, A Hernández-Montes, A Santos-Moreno  
**2001 EUROCAFT2001**

Optimización de procesos industriales con experimentos de mezclas utilizando calibración multivariada.  
Ramírez Guzmán ME, R López Torres, FV González Cossío, T Espinosa-Solares  
**2001 Congreso Nacional de Control de Calidad**  
**20a. Convención Nacional de Círculos de Calidad**  
**11° Seminario México Asia Pacífico de Calidad Total**  
**10° Foro Internacional IMECCA sobre 9000**  
**3° Foro Internacional IMECCA sobre 14000**

Proceso base para la producción de perfumes orgánicos.  
Ruiz Valadez, CU, RR Martínez Pérez, E López Palomo, T Espinosa-Solares.  
**2000 XV MOSTRATEC**

Rheological properties of passion fruit juice.  
Espinosa-Solares T, R Cervantes, L Medina-Torres, E Brito-De la Fuente, RR Robles-De la Torre  
**2000 Eighth International Congress on Engineering and Food**

Patrones de flujo en sistemas de mezclado duales.  
Espinosa-Solares T, E Brito-De la Fuente, A Tecante y PA Tanguy  
**1999 VII Congreso Nacional de Biotecnología y Bioingeniería &  
IV Congreso Latinoamericano de Biotecnología y Bioingeniería**

Los problemas económicos y ambientales del beneficiado de café en México.  
Espinosa-Solares T, VH Santoyo-Cortés, S Díaz-Cárdenas  
**1997 49 Congreso Internacional de Americanistas**

Experimental study of gas-liquid mixing using a dual Scaba-Helical ribbon impeller system. Espinosa-Solares T, E Brito-De la Fuente, A Tecante y PA Tanguy  
**1997 16th Biennial North American Mixing Conference**

Mixing non-Newtonian fluids under gassed and non-gassed conditions with a double Geometry impeller.  
Brito-De la Fuente E, T Espinosa-Solares, A Tecante, F Thibault, PA Tanguy  
**1997 9th European Conference on Mixing**

Non-isothermal mixing of rheologically complex fluids with close clearance impellers.  
Brito-De la Fuente E, T Espinosa-Solares, MJ L'Heureux, F Bertrand, PA Tanguy  
**1995 Annual Meeting AIChE**

Mixing rheologically evolving fluids with a new mixer-dispenser system.  
Thibault F, PA Tanguy, T Espinosa-Solares, E Brito-De la Fuente.  
**1995 15th Biennial North American Mixing Conference**

The convective drying of parchment coffee (*Coffea arabica* L.)  
Espinosa-Solares T, GF Gutiérrez-López, RR Robles-De la Torre.  
**1995 IFT Annual Meeting**

Moreno I, T Espinosa, G Leyva  
Análisis de riesgos y control de puntos críticos y planteamiento de un sistema de control estadístico de calidad en una concentradora de jugo de naranja.  
**1993 II Congreso Latinoamericano y del Caribe de Ciencia y Tecnología de Alimentos.**

Fluidized bed drying coffee beans.



Robles-De la Torre RR, T. Espinosa-Solares, GF Gutiérrez-López.  
**1991 8th World Congress of Food Science and Technology**

## National Conferences

Aprovechamiento de las Propiedades Biotecnológicas, Antioxidantes y Nutraceuticas del Nopal (*Opuntia ficus-indica*)  
ORTIZ-SALAZAR F., GÓNGORA-CAUICH J., PACHECO-LÓPEZ N., GONZÁLEZ-FLORES T., ESPINOSA-SOLARES T., SÁNCHEZ-CONTRERAS A.  
**2016 Food & Biotechnology International Congress**

Bioenergía a partir de nopal: hidrólisis de *Opuntia spp.* para la obtención de azúcares fermentables  
Gongora-Caulich José; Pacheco-López Nelth; González-Flores Tania; Yam-Ucan Gonzalo; Espinosa-Solares Teodoro y Sánchez-Contreras Angeles  
**2016 VII Simposio Internacional del Carbono en México**

Viabilidad de la co-digestión anaerobia de material celular de cianobacteria (*Spirulina máxima*)  
Edder J Romero Villegas, T Espinosa Solares, G Hernández Eugenio  
**2012 XIV Congreso Nacional de Ciencias Agronómicas**

Trayectorias en el proceso de seado de nopal con microondas  
Abraham Rojano, IL López Cruz, R Salazar Moreno, T Espinosa Solares, R Domínguez  
**2012 XIV Congreso Nacional de Ciencias Agronómicas**

La digestión anaeróbica en la generación de energías alternativas  
T Espinosa Solares  
**2011 2º Simposium Nacional de Ingeniería Bioquímica**

Producción de esporidias de *Ustilago maydis* en medio líquido para la obtención de huitlacoche  
Alejandro Martínez Flores, Teodoro Espinosa Solares, Enrique Durán Páramo, César A Jiménez Sierra, Marcelo Acosta Ramos, Anja Drews  
**2008 VI Encuentro Nacional de Biotecnología del IPN**

Caracterización hidrodinámica de un biorreactor que simula una fermentación anaerobia  
Víctor Rivera-Salvador, Teodoro Espinosa-Solares, Alberto Tecante, Mariana Ramírez-Gilly  
**2008 1er. Congreso Nacional Mitigación del daño ambiental en el Sector Agropecuario de México**

Estrategia de calentamiento y consumo de energía de un digestor anaerobio a nivel de planta piloto  
Teodoro Espinosa-Solares, Salvador Valle-Guadarrama, John Bombardiere, Max Domaschko, Michael Easter  
**2008 1er. Congreso Nacional Mitigación del daño ambiental en el Sector Agropecuario de México**

Cambios en la dinámica poblacional y el desempeño de un digestor anaerobio a nivel de planta piloto inducidos por el tiempo de retención hidráulico  
Teodoro Espinosa-Solares, David H. Huber, Aml Smith, John Bombardiere, Max Domaschko y Mark Chatfield  
**2008 1er. Congreso Nacional Mitigación del daño ambiental en el Sector Agropecuario de México**

Arranque de un biodigestor anaerobio termofílico para tratar gallinaza  
Ramón Carrillo Durante, Teodoro Espinosa Solares, Guadalupe Hernández Eugenio  
**2008 1er. Congreso Nacional Mitigación del daño ambiental en el Sector Agropecuario de México**

Biosecado de residuos agrícolas  
Elizabeth M. Silva Rodríguez, Rogelio Bailón González, Teodoro Espinosa Solares, Fabián Robles Martínez  
**2008 1er. Congreso Nacional Mitigación del daño ambiental en el Sector Agropecuario de México**

Balance de materia y energía de un digestor anaerobio a nivel de planta piloto bajo condiciones termofílicas  
Teodoro Espinosa-Solares, John Bombardiere, Mark Chatfield, Max Domaschko, Michael Easter, David A. Stafford, Saúl Castillo-Angeles y Nehemías Castellanos-Hernández  
**2008 1er. Congreso Nacional Mitigación del daño ambiental en el Sector Agropecuario de México**

Cambios poscosecha del hongo comestible huitlacoche (*Ustilago maydis* (D.C.) Corda) refrigerado  
Alejandro Martínez Flores, J. Joel Corrales García, Teodoro Espinosa Solares, Pavel G. García Gatica, Clemente Villanueva Verduzco  
**2007 XII Congreso Nacional de la Sociedad Mexicana de Ciencias Hortícolas A.C.**

Establecimiento de un sistema de medición de temperatura para mezcladores de proximidad y remotos  
Raúl Almengor Serret, Teodoro Espinosa Solares, Darinel Espinosa López  
**2006 XVI Congreso Nacional de Ingeniería Agrícola**

Innovación en la tecnología de la agitación, los impulsores helicoidales dobles con raspadores  
Christian Rivera A, Espinosa-Solares T, Mourad Heniche y Phillippe A Tanguy  
**2004 Congreso Nacional Agroindustrial**

Dinámica de fluidos computacional para mezcladores excéntricos  
Christian Rivera A, Espinosa-Solares T, Mourad Heniche y Phillippe A Tanguy  
**2004 Congreso Nacional Agroindustrial**

Estudio de la generación de biogas a partir de residuos sólidos vegetales  
Robles MF, Barajas AM, Serna MA, Sánchez VC y Espinosa ST  
**2004 Congreso Nacional Agroindustrial**

Modelado de la Transferencia de Oxígeno en Frutos de Aguacate "Hass"  
Salvador Valle Guadarrama, Teodoro Espinosa Solares, Crescenciano Saucedo Veloz, Cecilia B. Peña-Valdivia  
**2004 Congreso Nacional Agroindustrial**

Evaluación del desempeño de sistemas de mezclado en la producción de yogur batido  
Espinosa Solares T, B Bautista Reyes, A Santos Moreno  
**2001 XI Congreso Nacional de Ingeniería Agrícola**

Comparación de sistemas de mezclado en la producción de cajeta  
Espinosa Solares T, L Rojas Téllez, ME Ramírez Guzmán, C. Ybarra Moncada, A Hernández Montes, A Santos Moreno  
**2001 XI Congreso Nacional de Ingeniería Agrícola**

Clasificación tecnológica de la agroindustria láctea en el Valle de México  
Gómez Ramírez G, T Espinosa Solares, A Villegas de Gante  
**2001 XI Congreso Nacional de Ingeniería Agrícola**

Influencia de la fecha de corte y la variedad sobre la conversión de café cereza-pergamino-oro  
Montesinos López, OA; T Espinosa Solares, JG Cruz Castillo, A López Reyes  
**2001 XI Congreso Nacional de Ingeniería Agrícola**

Caracterización de un secador tipo gabinete  
Ilescas-Marín C, A Hernández-Montes, T Espinosa-Solares  
**2001 XI Congreso Nacional de Ingeniería Agrícola**

Organic Fashion II  
López Palomo, E., RR Martínez Pérez, CU Ruiz Valadez, T Espinosa-Solares  
**2001 VII Gran Encuentro de Ciencia Joven**

Proceso base para la producción de perfumes orgánicos,  
CU Ruiz Valadez, RR Martínez Pérez, E López Palomo, T Espinosa-Solares  
**2000 VI Gran Encuentro de Ciencia Joven**

Espinosa-Solares, T., B Bautista-Reyes, L Cruz-Pioquinto, DG Sánchez-Medina  
Evaluación del desempeño de sistemas de mezclado en la producción de yogur batido  
**2000 I Congreso de Responsables de proyectos de investigación en Ciencias Biológicas Aplicadas del CONACyT.**

Espinosa-Solares T, GF Gutiérrez, RR Robles.  
El secado del cacao (*Theobroma cacao* L.) en una planta beneficiadora de Tabasco.  
**1992 IX Congreso Nacional de Ingeniería Bioquímica.**

T. Espinosa  
La evaporación y secado. Técnicas de conservación de alimentos.  
**1990 Taller Regional de Manejo Postcosecha. SARH-FAO**

Martínez M, F Pacheco, T Espinosa, A Santos  
Estudio preliminar de la torrefacción del cacao en INCATABSA.  
**1990 VIII Congreso Nacional de Ingeniería Bioquímica.**

Espinosa T, I. Moreno, A Mauricio, H Torres.  
La industrialización del limón mexicano en la planta cítricos de Colima.  
**1987 I Seminario Nacional de la Agroindustria en México.**

## Thesis supervision

Year	Title	Student
2023	Evaluación de la producción de metano en codigestión anaeróbica cerdeza:sargazo utilizando nanopartículas de magnetita	Areli Millan Pedroza Benjamín Cázarez Velasco
2022	Parameter estimation for Anaerobic Digestion Model No. 1 under mesophilic conditions using chicken litter*	Gerson Esteban Vera-Perez
2022	Biochemical methane potential of sargassum in co-digestion with pig manure*	Yessica Rivera-Hernández
2019	Dinámica microbiana de biodigestores enriquecidos con propionato**	Flor de María Guerrero-Toledo
2019	Transferencia de calor y consumo de potencia en un biorreactor anaeróbico con agitación hidráulica*	Aldo Ordóñez-Mendoza
2019	Enhancing methane production using magnetite nanoparticles in anaerobic digestion with chicken litter*	Guadalupe Stefanny Aguilar-Moreno
2018	Análisis del ciclo de vida y factibilidad económica de la producción de bioenergía a partir de nopal**	Félix Rafael Ramírez-Arpide
2017	Co-digestión anaeróbica de <i>Chlorella vulgaris</i> libre de aceite y glicerol como alternativa para la producción de metano y ácidos carboxílicos**	José Carlos Meneses-Reyes
2017	Dinámica de Fluidos Computacional de un biorreactor en codigestión anaeróbica*	Abraham Jesús Arzeta-Ríos

\* M.Sc. Thesis \*\*Ph.D. Thesis

## Previous Thesis

Year	Title	Student
2015	Desarrollo de un proceso para obtener microcápsulas de compuestos con actividad antioxidante extraídos de frutos de capulín ( <i>Prunus serotina</i> )*	Guillermina Hernández Rodríguez
2015	Caracterización fisicoquímica del nopal, microalga y purines para determinar el potencial bioquímico de metano usando digestión anaeróbica	Osmar Torrez López
2015	Instrumentación y automatización de biorreactores de digestión anaeróbica	David Ramírez Morales
2014	Efecto de la deshidratación por microondas sobre los compuestos antioxidantes en frutos de xoconoxtle ( <i>Opuntia matudae</i> )*	Anel Cyndybell Romero Villegas
2014	Resilience evaluation to overloading feed disturbance in thermophilic anaerobic digestion*	María del Carmen González Rangel
2014	Estado del arte de la Dinámica de Fluidos Computacional (CFD) aplicada a reactores anaeróbicos	Abraham Jesús Arzeta Ríos
2013	Balance macroscópico de materia de biodigestor del Ejido colectivo Batopilas	Miguel Hernández Mendoza
2013	Mejoramiento del desempeño hidrodinámico de un digestor anaeróbico de laguna cubierta mediante CFD*	Ricardo Adolfo Martínez García
2013	Adaptación y aplicabilidad del ADM1 a la digestión anaeróbica termofílica de pollinaza*	Ricardo Domínguez Puerto
2012	Estudio de las propiedades fisicoquímicas, térmicas y estructurales de tostadas horneadas con microondas*	Félix Rafael Ramírez Arpide
2012	Caracterización morfológica y molecular de hongos patógenos en postcosecha asociados a síntomas de antracnosis en frutos de aguacate*	Guadalupe Sánchez Bolón
2012	Producción con microondas de una botana de nopal y la interrelación de la microestructura, textura y sus propiedades termodinámicas	Ledy Laura Cruz De la Cruz
2012	Isotermas de adsorción y características del secado por microondas del nopal verdura ( <i>Opuntia ficus indica</i> )	Ricardo Domínguez Puerto
2012	Caracterización del funcionamiento de un biodigestor en la empresa La Hondonada SPR de RL de IC	María del Carmen González Rangel
2011	Manejo postcosecha de la antracnosis en frutos de mango Ataulfo mediante la combinación de tratamiento hidrotérmico y <i>Pichia guilliermondii</i>	María de Jesús Ochoa Rosas

2010	Estudio cinético de la digestión anaeróbica termofílica de pollinaza a escala piloto*	Víctor Rivera Salvador
2009	Secado de huitlacoche en horno de microondas	Rocío Navarro Zamora
2009	Obtención de inóculo de huitlacoche ( <i>Ustilago maydis</i> (DC) Corda) en medio líquido*	Alejandro Martínez Flores
2009	Evaluación sensorial de sopa de huitlacoche elaborada a partir del producto deshidratado*	Janet Cabrera Meza
2006	Caracterización hidrodinámica de un biorreactor prototipo tipo columna	Melvin García Nazariega
2006	Aplicación de ácidos húmicos como método para mejorar el proceso termofílico de digestión anaerobia	Graciela Martínez Ramírez
2006	Diseño de un reactor a presión para hidrolizar bagazo de caña de azúcar	Daniela López López
2006	Comparación de aceites de semilla de cuatro tipos de calabaza <i>Cucurbita pepo</i> L. (con y sin testa), <i>C. argyrosperma</i> y <i>C. ficifolia</i>	Enot Hueda Rasgado
2001	Influencia de la variedad y fecha de corte sobre la conversión cereza-pergamino-oro en el beneficiado de café	Osva Montesinos López Amilkar López Reyes
2001	Clasificación tecnológica de la agroindustria láctea en el Valle de México	Gaspar Gómez Ramírez
2001	Proceso de producción de queso tipo Petit suisse en un tanque multipropósitos	Nohemí Hernández Sumano
2001	Comparación de sistemas de mezclado en la producción de cajeta	Lidia Rojas Téllez
2000	Evaluación del desempeño de sistemas de mezclado en la producción de yogur	Benjamín Bautista Reyes
1999	Evaluación de rendimientos industriales en ocho variedades de café	Lauro Rayón Licona Rutilo Enríquez Martínez
1997	Caracterización reológica de la goma del mucílago de café.	Álvaro Solorza Gómez
1995	Caracterización reológica del jugo de maracuyá.	Rodolfo Cervantes
1994	El control estadístico de calidad en el proceso de solubilizado de café.	Victorino Morales Ramos
1994	El sistema de control estadístico de proceso en Pasteurizadora Aguascalientes.	Alicia Castillo Zárate
1994	Estudio de factibilidad para el establecimiento de una planta elaboradora de segmentos de frutas.	Rocío de la Rosa Rosales Josefina Díaz
1993	Proceso evaporativo del jugo de naranja: desarrollo y simulación del modelo matemático.	José Omar Lara García Alejandra Velásquez Castillo
1992	Estudio del recurso hidráulico en dos beneficios húmedos de café.	Alberto Zavala
1991	Comparación del curado de tabaco tipo Virginia en tres tipos de hornos.	Arquímedes Morales Teherán Abraham Osorio Mirón

\* M.Sc. Thesis



*"Linking Citizens of Louisiana with Opportunities for Success"*

Southern University and A & M College System  
**AGRICULTURAL RESEARCH AND EXTENSION CENTER**  
and the COLLEGE OF AGRICULTURAL, HUMAN AND ENVIRONMENTAL SCIENCES

Ashford O. Williams Hall  
P. O. Box 10010  
Baton Rouge, LA 70813  
(225) 771-2242  
(225) 771-2861 Fax  
www.suagcenter.com

**OFFICE OF THE CHANCELLOR-DEAN**

November 1, 2023

Dennis J. Shields, President-Chancellor  
Southern University System  
4<sup>th</sup> Floor J. S. Clark Admin Bldg.  
Baton Rouge, LA 70813

**Re: Request for the SU Board to Waive Search for Associate Agent, FCS/Regional Coordinator, COC with the Cooperative Extension Program (SUAREC)**

Dear President-Chancellor Shields:

This correspondence is to request your approval and the approval of the Southern University Board of Supervisors to waive the search for the position of Associate Agent, FCS/Regional Coordinator, COC with the Cooperative Extension Program (SUAREC).

It is my pleasure to recommend Ms. Angell Jordan for this position. Ms. Jordan has been employed with the Ag Center for over 14 years, serving in various positions such as FCS Agent and Nutrition Educator. She has the knowledge and experience that makes her qualified to fulfill the requirements of this position. The position covers East Baton Rouge and East Feliciana Parishes as FCS Agent and Regions 2 and 9 as Regional Coordinator (East and West Baton Rouge, East and West Feliciana Iberville, Point Coupee, St. Helena, Tangipahoa, and Washington).

I recommend a salary of \$60,800 annually, effective December 1, 2023. The position will be paid from federal funds and state funds via the Communities of Color Contract.

Please let me know if you have any questions. Thank you for your time and consideration.

Sincerely,

A handwritten signature in black ink, appearing to be 'O. McMeans'.

Orlando F. McMeans, PhD  
Chancellor-Dean

Approval:

\_\_\_\_\_  
Dennis J. Shields                      Date  
President-Chancellor

JOB CLASS			
JOB CODE			
CAL ID			

**SOUTHERN UNIVERSITY SYSTEM**

**Personnel Action Form**

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

CAMPUS SUS \_\_\_\_\_ SUBR \_\_\_\_\_ SULAC \_\_\_\_\_ SUAREC  SUNO \_\_\_\_\_ SUSLA \_\_\_\_\_

EMPLOYMENT CATEGORY: 9-MONTH \_\_\_\_\_ 12-MONTH \_\_\_\_\_  OTHER \_\_\_\_\_ (Specify) \_\_\_\_\_

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

Previous Employee \_\_\_\_\_ Reason Left \_\_\_\_\_  
Date Left \_\_\_\_\_ Salary Paid \_\_\_\_\_

**Profile of Person Recommended**

Length of Employment 12/01/2023 To 09/30/2024  
Effective Date January 1, 2024

Name Angell Jordan SS# \_\_\_\_\_ Sex F Race\* AA  
(Last 4 digits only)

Position Title: Regional Coordinator, COC Department: SU-CEP

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

--	--	--

  
 New Position Expiration Date: \_\_\_\_\_

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

Years Experience 26 Southern University Experience 11  
Degree(s): Type/Discipline (BA-Education): BS - Dietetics Institution/Location (SU-Baton Rouge): Nicholls State University Year: 1996

Current Employer Southern University Agricultural Research and Extension Center

**Personnel Action**

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

Recommended Salary 60,800.00 Salary Budgeted 60,800.00

Source of Funds Federal Funds/State Funds

Identify Budget: 622319-62200-63000/626020-62150-63000 Location A.O. Williams Hall  
Form Code: US Page \_\_\_\_\_ Item # \_\_\_\_\_

Change of:  
Position Regional Coordinator From To Associate Agent, FCS/Regional Coordinator, COC  
Status \_\_\_\_\_  
Salary Adjustment \$52,416.00 \$60,800.00

Financial Aid signature (if, applicable):

List total funds currently paid this employee by Southern University:  
\*See Reverse Side

Source of Funds	Amount
626020-62150-63000	\$2,416.00

Comments: (Use back of form)

\*See Reverse Side Graduate School signature (if, applicable):

[Signature] 10/23/23 Date  
Supervisor  
[Signature] 10/23/23 Date  
Vice Chancellor  
[Signature] 10/31/23 Date  
Director/Personnel  
[Signature] 10/23/23 Date  
Dean/Unit Head  
[Signature] 10/24/2023 Date  
Chancellor  
[Signature] \_\_\_\_\_ Date  
Vice President/Finance  
Business Affairs/Comptroller

President \_\_\_\_\_ Date \_\_\_\_\_ Chairman/S.U. Board of Supervisors \_\_\_\_\_ Date \_\_\_\_\_

BSU 11.6.2023

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

**ETHNIC ORIGIN (Please check one):**

Hispanic or Latino  Non-Hispanic or Non-Latino

**RACE (Please check all that apply):**

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

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

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

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

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

**COMMENTS:**

**EMPLOYEE REGULAR WORK SCHEDULE:** 8:00 AM-5:00 PM  
**EMPLOYEE DIRECT SUPERVISOR:** Raquel Ayles  
**NUMBER OF EMPLOYEES SUPERVISED, (if any)** \_\_\_\_\_  
**HR USE ONLY: STATUS (circle one):** EXEMPT NON-EXEMPT

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

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

**CLASS OF EMPLOYMENT (VISA STATUS):**

**TYPE**

United States Citizen/Certificate of Naturalization  
Resident Alien  
H-1 Visa (Distinguished Merit & Ability)  
J-1 Visa (Exchange Visitor Program)  
F-1 Visa (Student Emp. FT Student at S.U.)  
OPT (F-1 Visa-INS Prior Approval-"Practical Work Experience")

**SOUTHERN UNIVERSITY SYSTEM**  
I certify that the above purchase(s) is (are) allowable under the terms and conditions of the purchase order, budget or award agreement and in accordance with federal, state, local, and university policies.  
Allowability/Compliance Verified/Encumbered/Funds Available  
Doc No: \_\_\_\_\_  
By: RA Date: 11.16.2023  
Expiration Date: 6/30/2023  
F1  
F0

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

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

- Approved Position Vacancy Authorization Form (applicable for new and replacement positions)
- Position Vacancy Announcement (position advertised before processing PAF, if applicable)
- Application for Employment Form Admin/Fac/Uncl Positions (Civil Service Application for classified employees)
- Authority to Release (signed by employee) (submitted to Campus Police with Criminal/Background Check form)
- Supervisory Criminal/Background Check Form (completed by employee/ verified and signed by supervisor)
- Exemptions Survey Form (signed by employee and budget head)
- Proposed Employee Appointment
- Proposed Employee Clearance
- Restricted/ Job Appointment/CS Rule 6.5g Letter of Justification (for classified, if applicable)



SOUTHERN UNIVERSITY - BATON ROUGE, LA 70813

SUS  SUBR  SULAC  SUAREC  SUNO  SUSLA

\*\*\*\*\*

POSITION VACANCY AUTHORIZATION

\*\*\*\*\*

REQUEST THAT THE POSITION TITLE Associate Agent, FCS/Regional Coord., COC AS DESCRIBED BELOW  
 BE AUTHORIZED AS A VACANCY FOR SU Ag Center - Cooperative Extension Program  
 (Department or Unit)

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

VACANCY DESCRIPTION AND JUSTIFICATION

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

Provide leadership for planning, implementation, and evaluating family and consumer sciences and tobacco Cessation programming. Agent will work with families, volunteers, local agencies and program advisory Committees to execute a well-balanced family and consumer sciences and tobacco cessation program. Regarding tobacco cessation, employee will provide local expertise on community engagement and tobacco Prevention and control strategies that increase the awareness of the dangers of tobacco use and exposure to Secondhand smoke.

Salary/Range: \$55,000 - \$61,000 Previous Incumbent (if replacement): \_\_\_\_\_

Approved  Disapproved [Signature] Department Head 10/23/23 Date

Approved  Disapproved [Signature] Dean/Director/Supervisor of Budget Unit 10/23/23 Date

FINANCE/BUDGET OFFICE ONLY	
Funds Available	
<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<u>[Signature]</u>	<u>10/30/23</u>
<u>[Signature]</u>	<u>10/30/2023</u>
Budget Number	622319-62200-63000 (60%) 626020-62150-63000 (40%)

HUMAN RESOURCES OFFICE ONLY			
Existing/Approved Position			
<input checked="" type="checkbox"/> Yes		<input type="checkbox"/> No	
Employee Class:	<u>MU</u>	Job Class:	<u>61793</u>
Verified By: <u>[Signature]</u>			Date: <u>10/31/23</u>

Approved  Disapproved [Signature] Vice Chancellor 10/23/23 Date

Approved  Disapproved [Signature] Chancellor/Vice President 10/24/2023 Date

Approved  Disapproved \_\_\_\_\_ President \_\_\_\_\_ Date

An Equal Opportunity Employer

**FCS Agent/Regional Coordinator, COC  
Job Description**

**Position Title:** FCS Agent 60%/Regional Coordinator - COC 40%

**Work Location:** East Baton Rouge/East Feliciana

**Primary Domicile:** East Baton Rouge Parish

**Background:**

The Southern University Agricultural Research and Extension Center (SU Ag Center) assists diverse audiences, with emphasis on those with limited social and economic resources, to improve their access to positive opportunities through outreach education. SU Ag Center serves forty-eight of Louisiana's sixty-four parishes. SU Ag Center offers educational programs in the broad areas of Agriculture and Natural Resources, Family and Consumer Sciences, Nutrition, Public Health Education, Community and Economic Development and Youth Development.

The Communities of Color Network works collaboratively with members of the community, organizations, and partners to increase the awareness of and utilization of tobacco cessation services among Louisiana's communities of color. In addition, the Communities of Color Network team also works to increase knowledge of and community response to significant negative health impact of tobacco on Louisiana's communities of color and tobacco industry's targeting of Louisiana's communities of color, develop culturally competent messaging, programs, and strategies for Louisiana tobacco prevention and control and initiate or strengthen tobacco-free policies affecting Louisiana's communities of color.

**GENERAL JOB DESCRIPTION:**

Provide leadership for planning, implementing, and evaluating family and consumer sciences and tobacco cessation programming. Agent will work with families, volunteers, local agencies and program advisory committees to execute a well-balanced family and consumer sciences and tobacco cessation program. Regarding tobacco cessation, employee will provide local expertise on community engagement and tobacco prevention and control strategies that increase the awareness of the dangers of tobacco use and exposure to secondhand smoke and increase the utilization of cessation services among Louisiana's communities of color, particularly the African American rural community.

**Specific Tasks to be performed:**

- Demonstrate adequate understanding of subject matter and provide research-based information.
- Recruit and enroll clients and volunteers according to programmatic guidelines.
- Individualize, organize, and follow lesson plans using designated teaching techniques and visual aids.
- Review and evaluate program content, methods, and activities with Program Leader, FCS and Communities of Color Director according to targeted audience usability for program implementation.
- Organizes work and uses effective teaching tools.
- Provide leadership for planning, implementing, and evaluating family development and nutrition education programming. Agent will work with families, volunteers, local agencies, and program advisory committees to execute a well-balanced family and consumer sciences and nutrition

- education program. Family and Consumer Sciences programming will be performed in both East Baton Rouge and East Feliciana parishes.
- Other duties, as assigned.

### **Evaluation and Reporting**

- Prepare and submit all reports, travel reimbursements, and leave forms in accordance with existing guidelines and policies.
- Track client participation and programmatic focus via the SU Ag Center Data Input System and LPHI/COC Reporting system.

### **Professional Development**

Actively participate in relevant conferences and in-service training on nutrition topics to improve knowledge and skills as an FCS Agent and Regional Coordinator, COC.

### **Experience**

Demonstrate written and oral communication skills to effectively deliver educational programs and activities.

- Experience working with volunteers.
- Experience and/or training in working with and/or supervising youth and adults.
- Possess a valid driver's license.
- Work flexible and extended work hours, when necessary, to conduct educational programs and activities.
- Demonstrate knowledge and use of personal computers and software (i.e., Microsoft word, EXCEL, e-mail, and the internet).
- Demonstrate capabilities to perform work responsibilities, professionally demonstrating initiative and creativity.
- Understand delivery modes to effectively implement educational programs and activities.
- Understand socio-economic issues of limited resource audience as it relates to nutrition and health and the barriers these issues may have pertaining to optimal health and wellness.

### **LINE OF AUTHORITY:**

The FCS Agent's work performance is a part of the off-campus staff of the Southern University Ag Center under the supervision of the Program Leader, Family and Consumer Sciences. Via the COC Network, the employee will report to the COC Director.

### **Qualifications:**

#### Required

- Bachelor's Degree in Family and Consumer Sciences, Vocational Education or closely related field.
- Record of successful programming in rural and/or urban communities.

- Demonstrated ability to work with various socio-economic and ethnic audiences and experience developing public-private community partnerships.
- Experience in recruiting, training and supervising volunteers and experience in teaching and applying principles of leadership development to both youth and adults.
- Knowledge of public relations and the ability to cope with change are highly desirable characteristics.
- The ability to work with and through others is essential, as is the ability to function with minimum supervision.
- The successful applicant must be willing to pursue a program of professional improvement including subject matter in-service training and graduate level programs.

Preferred

- Master's Degree in Family and Consumer Sciences, Vocational Education or Public Administration.

**Conditions of Employment:**

A personal automobile and appropriate insurance coverage are required (travel allowance is provided). Applicants must be available to travel away from the domicile for a maximum of five days.

In accordance with the scope of the position, the successful applicant:

- Will be required to be a U.S. citizen or be lawfully eligible for employment in the United States.
- Must exhibit professional characteristics, such as cooperation, reliability, technical and academic competency, leadership skills, and effective communication skills.
- Will be required to work with all clientele, regardless of race, color, national origin, age, sex, disability, religion or veteran status.

# Angell C. Jordan

## OBJECTIVE

To obtain employment that will make full use of the knowledge and skills I possess, while still achieving learning and advancement opportunities in both a challenging and rewarding environment.

## EDUCATION

### NICHOLLS STATE UNIVERSITY

Thibodaux, La

(Dietetics) *Bachelor of Science*, Dec. 1996

## EXPERIENCE

### SOUTHERN UNIVERSITY AGRICULTURE RESEARCH and EXTENSION

**CENTER**; East Baton Rouge Parish, Baton Rouge, La

*CoC Network, Regional Coordinator-Regions 2&9*, July 2022-present

- Recruit and maintain a caseload of clientele
- Conduct presentations on dangers of smoking and vaping
- Reach communities of color and deliver the importance of quitting the use of tobacco products

### SOUTHERN UNIVERSITY AGRICULTURE RESEARCH and EXTENSION

**CENTER**; St Landry Parish -Opelousas, La

*Assistant Area Agent*, Oct. 2012 – July 2022

- Recruiting and maintaining a caseload of clientele
- Presenting educational lessons to seniors, adults and youth
- Conducting healthy food demonstrations

### SOUTHERN UNIVERSITY AGRICULTURE RESEARCH and EXTENSION

**CENTER**; Lafayette, La

*Nutrition Educator*, Jan. 2009 – Oct. 2012

- Recruited and maintained a caseload of clientele
- Presented nutritional lessons to youth

**LAFAYETTE CARE CENTER**; Lafayette, La

*Dietary Manager*, Oct. 2004 – Dec. 2008

- Managed a team of employees to including hiring for new positions
- Budgeted for food and personnel costs
- Monitored meal services
- Charted nutritional data for residents

**OPELOUSAS GENERAL HEALTH SYSTEM**; Opelousas, La

*Nutrition Care Coordinator*, May 2001 – July 2004

- Managed the cafeteria staff to include performance review and appraisal
- Educated individuals on healthy eating habits
- Monitored meal services for patients

**SENIOR VILLAGE NURSING HOME**; Opelousas, La

*Clinical Manager*, Oct. 1998 – May 2001

- Generated and maintained resident nutritional charts

# Jordan, Angell C.

Page 2

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- Provided nutritional consultation to residents

**ST. JAMES PARISH PUBLIC SCHOOL BOARD;** Lutchet, La  
*Cafeteria Manager*, Aug. 1997 – Sept. 1998

- Managed the purchasing and receipt of all groceries and supplies
- Developed and maintained daily production forms
- Planned breakfast and lunch menus for 450 students
- Received employee of the year award (1998)

**ST. JAMES PARISH PUBLIC SCHOOL BOARD;** Lutchet, La  
*Physical Education Teacher*, Jan. 1997 – May 1997

- Developed and maintained weekly lesson plans
- Provided valuable lessons and education regarding health and nutrition to students
- Provided compassionate support to those who confided in me for personal concerns

## ABOUT ME

I am highly motivated, yet humble, with great strengths of integrity (honest and ethical), responsibility (accountable for all actions and responsibilities), innovation (very keen to new ideas), collaboration (works well with others) and excellence (has the expectancy of quality with regards to production of work, self-behavior and respect for others). Recipient of the 2019 "Martin Luther King, Jr." Award from the Diocese of Lafayette, La. My hobbies include: cooking, baking, fishing and crafts. I am family oriented, married and have two daughters.

**REFERENCES AVAILABLE UPON REQUEST**



*"Linking Citizens of Louisiana with Opportunities for Success"*

Southern University and A & M College System  
**AGRICULTURAL RESEARCH AND EXTENSION CENTER**  
and the **COLLEGE OF AGRICULTURAL, HUMAN AND ENVIRONMENTAL SCIENCES**

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**OFFICE OF THE CHANCELLOR-DEAN**

November 1, 2023

Dennis J. Shields, President-Chancellor  
Southern University System  
4<sup>th</sup> Floor J. S. Clark Admin Bldg.  
Baton Rouge, LA 70813

Dear President-Chancellor Shields:

As Chancellor of the Southern University Agricultural Research and Extension Center and Dean of the College of Agricultural, Human and Environmental Sciences, I'm requesting approval of a salary adjustment for Dr. Charity Schaffer, Youth Development Agent.

Dr. Schaffer will lead the new youth drone certification program, the first of its kind, targeting the youth audience. In addition to overseeing the program, she is developing the curriculum and course offerings and will serve as the instructor. She is also creating our first robotics curriculum, which will be implemented statewide. Dr. Schaffer has the experience and expertise to fulfill these additional duties.

I am recommending a salary of \$62,000, effective January 1, 2024, to compensate for the additional duties. Her current salary is \$51,351. This position is funded 100% by Federal Funds.

If additional information is needed, please let me know. Thank you for your consideration of this request.

Sincerely,

A handwritten signature in black ink, appearing to be 'O. McMeans'.

Orlando F. McMeans, PhD  
Chancellor-Dean

Approval:

\_\_\_\_\_  
Dennis J. Shields                      Date  
President-Chancellor

JOB CLASS				
JOB CODE				
CAL ID				

# SOUTHERN UNIVERSITY SYSTEM

## Personnel Action Form

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

CAMPUS SUS SUBR SULA SUAREC X SUNO SUSLA  
 : C

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

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

Previous Employee \_\_\_\_\_ Reason Left \_\_\_\_\_  
 Date Left \_\_\_\_\_ Salary Paid \_\_\_\_\_

### Profile of Person Recommended

Length of Employment 1/01/2024 To 09/30/2024  
 Effective Date January 1, 2024

Name Charity Schaffer SS# \_\_\_\_\_ Sex F Race\* AA  
 (Last 4 digits only)

Position Title: Agent, Youth Development Department: SU-CEP

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

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

Years Experience 7 Southern University Experience 2

Degree(s):	Type/Discipline (BA-Education):	Institution/Location (SU-Baton Rouge):	Year:
	PhD - Urban Forestry	SUBR	2020
	MS - Urban Forestry	SUBR	2010
	BS - Urban Forestry	SUBR	2002

Current Employer Southern University Agricultural Research and Extension Center

### Personnel Action

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

Recommended Salary 62,000.00 Salary Budgeted 62,000.00

Source of Funds Federal Funds

Identify Budget: 622321-62300-63000 Location A.O. Williams Hall  
 Form Code: US Page Item #

Change of: From To  
 Position \_\_\_\_\_  
 Status \_\_\_\_\_  
 Salary Adjustment 51,351.00 62,000.00

Financial Aid signature (if applicable):

List total funds currently paid this employee by Southern University:

Source of Funds	Amount
622321-62300-63000	62,000.00

\*See Reverse Side  
 Comments: (Use back of form)

\*See Reverse Side Graduate School signature (if applicable):

Supervisor: Kapriel D. Ayler 10/23/23 Date  
 Vice Chancellor: Shirley W. Ayler 10/23/23 Date  
 Director/Personnel: Janet H. Ayler 10/31/23 Date  
 President: \_\_\_\_\_ Date  
 Dean/Univ. Head: William J. Ayler 10/23/23 Date  
 Chancellor: William J. Ayler 10/24/23 Date  
 Vice President/Finance: William J. Ayler \_\_\_\_\_ Date  
 Business Affairs/Comptroller: \_\_\_\_\_ Date  
 Chairman/S.U. Board of Supervisors: BGO 11.4.2023 Date



SOUTHERN UNIVERSITY - BATON ROUGE, LA 70813

SUS  SUBR  SULAC  SUAREC  SUNO  SUSLA

\*\*\*\*\*

POSITION VACANCY AUTHORIZATION

\*\*\*\*\*

REQUEST THAT THE POSITION TITLE Agent, Youth Development AS DESCRIBED BELOW  
 BE AUTHORIZED AS A VACANCY FOR SU Ag Center - Extension  
 (Department or Unit)

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

VACANCY DESCRIPTION AND JUSTIFICATION

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

Youth agent will conduct programming for youth audiences in St. Helena and Tangipahoa parishes. The agent will also coordinate the Drone certification program for youth.

Salary/Range: 62,000.00 Previous Incumbent (if replacement): \_\_\_\_\_

Approved  Disapproved @e' Shai Q. Yeo 10/23/23  
 Department Head Date

Approved  Disapproved @e' Shai Q. Yeo 10/23/23  
 Dean/Director/Supervisor of Budget Unit Date

FINANCE/BUDGET OFFICE ONLY	
Funds Available	
<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<u>Sambita Saha</u>	<u>10/20/23</u>
Signature	Date
Budget Number	<u>622321-62300-63000</u>

HUMAN RESOURCES OFFICE ONLY	
Existing/Approved Position	
<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Employee Class: <u>MU</u>	Job Class: <u>61130</u>
<u>Michelle Williams</u>	<u>10/31/23</u>
Verified By:	Date:

Approved  Disapproved @e' Shai Q. Yeo 10/23/23  
 Vice Chancellor Date

Approved  Disapproved CL 10/24/2023  
 Chancellor/Vice President Date

Approved  Disapproved \_\_\_\_\_  
 President Date

An Equal Opportunity Employer

**Youth Agent  
Job Description**

**Position Title:** Agent, Youth Development  
**Work Location:** St. Helena/Tangipahoa Parishes  
**Primary Domicile:** St. Helena Parish

**Background:**

The Southern University Agricultural Research and Extension Center (SU Ag Center) assists diverse audiences, with emphasis on those with limited social and economic resources, to improve their access to positive opportunities through outreach education. SU Ag Center serves forty-eight of Louisiana's sixty-four parishes. SU Ag Center offers educational programs in the broad areas of Agriculture and Natural Resources, Family and Consumer Sciences, Nutrition, Public Health Education, Community and Economic Development and Youth Development.

The Communities of Color Network works collaboratively with members of the community, organizations, and partners to increase the awareness of and utilization of tobacco cessation services among Louisiana's communities of color. In addition, the Communities of Color Network team also works to increase knowledge of and community response to significant negative health impact of tobacco on Louisiana's communities of color and tobacco industry's targeting of Louisiana's communities of color, develop culturally competent messaging, programs, and strategies for Louisiana tobacco prevention and control and initiate or strengthen tobacco-free policies affecting Louisiana's communities of color.

**GENERAL JOB DESCRIPTION:**

The Youth Agent will provide both formal and non-formal youth development education in St. Helena/Tangipahoa parishes and work with volunteers to plan and organize a well-balanced Youth Development Program. The agent's appointment will be 100% Youth Development. The agent will target at-risk youth and limited resource families in both urban and rural areas of the city to expand program diversity and delivery. The position will also coordinate the Extension Youth Drone Certification Program. Delivery methods include but are not limited to both in-school and after school programs, organized 4-H school and community clubs, residential and day camps, school enrichment, leadership development programs, short-term special interest groups and community service and civic engagement learning projects. The agent will be responsible for working with advisory committees to identify youth and community needs and develop programs to respond to those needs, and to assess the impacts of the programs. The agent is expected to perform other tasks that will be assigned by Southern University Ag Center, Parish chairperson and to work cooperatively with Southern University Agricultural Research and Extension Center and LSU Ag Center faculty at the parish, district, and state levels. Primary domicile is St. Helena Parish.

**Specific Tasks to be performed:**

- Demonstrate adequate understanding of subject matter and provide research-based information.
- Recruit and enroll clients and volunteers according to programmatic guidelines.
- Individualize, organize, and follow lesson plans using designated teaching techniques and visual aids.

- Review and evaluate program content, methods, and activities with Program Leader, Youth according to targeted audience usability for program implementation.
- Organizes work and uses effective teaching tools.
- Provide leadership for planning, implementing, and evaluating youth education programming. Agent will work with families, volunteers, local agencies, and program advisory committees to execute a well-balanced youth education program. Programming will be performed in both St. Helena and Tangipahoa parishes.
- Other duties, as assigned.

### **Evaluation and Reporting**

- Prepare and submit all reports, travel reimbursements, and leave forms in accordance with existing guidelines and policies.
- Track client participation and programmatic focus via the SU Ag Center Data Input System.

### **Professional Development**

Actively participate in relevant conferences and in-service training on nutrition topics to improve knowledge and skills as an Youth Agent.

### **Experience**

Demonstrate written and oral communication skills to effectively deliver educational programs and activities.

- Experience working with volunteers.
- Experience and/or training in working with and/or supervising youth and adults.
- Possess a valid driver's license.
- Work flexible and extended work hours, when necessary, to conduct educational programs and activities.
- Demonstrate knowledge and use of personal computers and software (i.e., Microsoft word, EXCEL, e-mail, and the internet).
- Demonstrate capabilities to perform work responsibilities, professionally demonstrating initiative and creativity.
- Understand delivery modes to effectively implement educational programs and activities.
- Understand socio-economic issues of limited resource audience as it relates to nutrition and health and the barriers these issues may have pertaining to optimal health and wellness.

### **LINE OF AUTHORITY:**

The Youth Agent's work performance is a part of the off-campus staff of the Southern University Ag Center under the supervision of the Program Leader.

## **Qualifications:**

### Required

- Bachelor's Degree Education, Family and Consumer Sciences, Ag Sciences, Vocational Education or closely related field.
- Record of successful programming in rural and/or urban communities.
- Demonstrated ability to work with various socio-economic and ethnic audiences and experience developing public-private community partnerships.
- Experience in recruiting, training and supervising volunteers and experience in teaching and applying principles of leadership development to both youth and adults.
- Knowledge of public relations and the ability to cope with change are highly desirable characteristics.
- The ability to work with and through others is essential, as is the ability to function with minimum supervision.
- The successful applicant must be willing to pursue a program of professional improvement including subject matter in-service training and graduate level programs.

### Preferred

- Master's Degree Education, Family and Consumer Sciences, Ag Sciences, Vocational Education or closely related field

## **Conditions of Employment:**

A personal automobile and appropriate insurance coverage are required (travel allowance is provided). Applicants must be available to travel away from the domicile for a maximum of five days.

In accordance with the scope of the position, the successful applicant:

- Will be required to be a U.S. citizen or be lawfully eligible for employment in the United States.
- Must exhibit professional characteristics, such as cooperation, reliability, technical and academic competency, leadership skills, and effective communication skills.
- Will be required to work with all clientele, regardless of race, color, national origin, age, sex, disability, religion or veteran status.

## Charity M. Schaffer, Ph. D.



### SUMMARY

Ph. D. recipient trained in urban forestry and entomology with stellar communication skills developed from extensive teaching experience and implementation of social media marketing. Program Ambassador focused on program awareness and engagement attracting higher enrollment while disseminating the latest information to stakeholders in local agricultural communities to build support for the institutions who are making scientific advances that provide a positive impact.

### EDUCATION

Doctor of Philosophy in Urban Forestry/  
Concentration in Entomology 2011– 2020  
Southern University and A&M College

Master's Degree in Urban Forestry 2008– 2010  
Southern University and A&M College

Bachelor's Degree in Urban Forestry 2002– 2002  
Southern University and A&M College

### RESEARCH EXPERIENCE

Southern University and A&M College Baton Rouge, LA  
Graduate Assistant August 2018 – Present

- Managed the entomology lab and assist advising professors with classroom lectures, experiments, and projects.
- Managed lab social media accounts and create content to post and share as an extension tool to engage and educate the local community.
- Oversaw the rearing of live insects to increase release efforts of biological control agent *L. cheni* as a form of management for invasive weed *Dioscorea bulbifera*.
- Mentored undergraduate research projects.

## RELEVANT EXPERIENCE

Southern University Agricultural Research and Extension Center Baton Rouge  
Assistant Agent Youth Development/4H St. Helena-Tangipahoa May 2021-Present

- Worked with advisory committees and local organizations to build youth programs based on community needs.
- Provided both formal and non-formal youth development education in St. Helena/Tangipahoa parishes.
- Partnered with and supported LSU agents with delivering 4-H programs and community projects.
- Completed and submitted timely monthly and quarterly reports for SU AgCenter extension programs, federal grants and all other reports requested by program leader.

Friendship Capitol High School Baton Rouge  
Biology Teacher April 2017 – May 2018

- Prepared engaging lesson plans to ensure student involvement, creating tests and assignments to gauge and quantify their understanding.
- Supervised students during investigations and experiments.
- Created lessons geared toward teaching students with diverse learning abilities.
- Shared innovative instruction ideas with colleagues to encourage student engagement.

Baton Rouge College Preparatory School Baton Rouge  
7th Grade Science Teacher May 2016 – May 2017

- Responsible for creating lesson plans that engrossed several learning styles, clarified complex concepts to guarantee enlightenment and understanding.
- Enriched the knowledge of students by implementing experiments that shared correlation to the lecture/curriculum.
- Conferred with other teachers concerning cross-curricular opportunities.
- Supported student learning by being available for individual tutoring and re-teaching of various scientific subjects.

### Conferences 2022

- 90-minute presentation on **“Teaching the Unreachable: Increasing Engagement among Youth with Diverse Learning Styles”** - Association of Extension Administrators Conference, Orlando, FL
- 90-minute presentation on **“Teaching the Unreachable: Increasing Engagement among Youth with Diverse Learning Styles”** – LSU/SU Annual Extension Conference, Baton Rouge, LA

**FUNDING 2023** - National Institute of Food and Agriculture Education and Workforce Development Program Grant: Cultivating Universal Beginning Scholars in Agriculture (CUBS in Ag) (Not funded)



Department of Accounting,  
Economics and Finance  
P. O. Box 9723  
Baton Rouge, Louisiana 70813

Voice: (225) 771-5934  
FAX: (225) 771-5262  
www.subr.edu

Dr. Donald R. Andrews  
Dean, College of Business,  
Southern University and A & M College  
Baton Rouge, LA 70813

September, 26, 2023

RE: TANZANIA 2023-2024 FULBRIGHT U.S. SCHOLAR AWARD

The above heading refers.

As mentioned by the email from Ms Julie Taylor, Director of Academic Relations for the Fulbright at the Institute of International Education, this prestigious award combines two main activities: research and teaching/capacity building. In collaboration with faculty at St. Augustine University of Tanzania, we have identified two tentative research topics to address: changing demand and preferences for Tanzania tourists and the impact of rural electrification on education outcomes. We selected the first topic due to the economic importance of the tourist sector in Tanzania. For the second topic, rural electrification is one of the critical public infrastructure investments toward spurring economic growth and development and achieving the United Nations' commitment to end poverty. However, there is a literature gap regarding the channels through which rural electrification can affect socioeconomic development as rural households switch to clean energy sources.

I will also organize a boot camp on Quantitative research methods using R software. The participants are undergraduate and graduate students and junior faculty. The training is part of the Capacity Building for graduate students and faculty to publish in peer-reviewed journals. I will also work with the faculty to write collaborative research proposals and with senior administrators at St. Augustine University of Tanzania to pursue more collaboration avenues, particularly establishing faculty and student exchange programs.

I look forward to participating in this prestigious program at St. Augustine University of Tanzania.

Sincerely,

Dr. Aloyce R Kaliba (Aloyce\_kaliba@subr.edu)

Professor of Economics and Statistics

Dr. James A. Joseph Endowed Professor in Small & Minority Business Enterprise

Dr. Donald R. Andrews, Dean  
**College of Business**  
P. O. Box 9723  
Baton Rouge, Louisiana 70813  
225-771-5640  
[www.subr.edu](http://www.subr.edu)  
September 26, 2023

Dr. Dennis J. Shields  
President-Chancellor  
Southern University System  
J.S. Clark Administration Building, 4th Floor  
**Baton Rouge, LA 70813**


RE: DR. ALOYCE R KALIBA'S LEAVE OF ABSENCE

The above heading refers.

Dr. Aloyce Kaliba is a professor of Economics and Statistics in the College of Business. He has been with the University since 2007. Dr. Kaliba has been selected as a Fulbright Scholar for 2023/24 by the Department of State, and he is requesting a leave of absence for eight months. He will be in Tanzania from December 15, 2023, to August 15, 2024, and the host institution is St. Augustine University of Tanzania, located in Mwanza City, Northwestern Tanzania.

The College of Business has a Memorandum of Understanding with St. Augustine University. One of the proposed activities is faculty exchange. While in Tanzania, Dr. Kaliba will participate in collaborative research and training for capacity-building purposes. Dr. Kaliba Fulbright Award aligns with Southern University and the College of Business's missions of internationalization of our programs. Therefore, I support his application.

Sincerely,

  
Dr. Donald R. Andrews

**Dean, College of Business**



## Fulbright Selection Update: Aloyce Kaliba (2023-2024)

Fulbright U.S. Scholar Program <scholars@iie.org>

Fri 4/14/2023 4:27 PM

To: Donald Andrews <donauld\_andrews@subr.edu>; Aloyce Kaliba <aloyce\_kaliba@subr.edu>

**CAUTION:** This email originated from outside of SUBR. Exercise caution when opening attachments or clicking links from unknown senders.

Dear Dr. Donald Andrews,

On behalf of the U.S. Department of State and the Fulbright Program, I would like to congratulate you and Southern University and A & M College on Dr. Aloyce Kaliba's selection as a Fulbright U.S. Scholar for 2023-2024 for Tanzania.

Fulbright Scholar Awards are prestigious and competitive fellowships that provide unique opportunities for scholars to teach and conduct research abroad. Fulbright scholars also play a critical role in U.S. public diplomacy, establishing long-term relationships between people and nations. Alumni include 62 Nobel Laureates, 89 Pulitzer Prize winners, 78 MacArthur Fellows, and thousands of leaders and world-renowned experts in academia and many other fields across the private, public, and non-profit sectors.

Independent research and participant surveys confirm that Fulbright exchange experiences lead to greater international co-publication, continued international exchange, and stronger cross-cultural communication skills.

The benefits of a Fulbright Scholar Award extend beyond the individual recipient. Fulbright Scholars raise the profile of their home institutions as well. We hope that Southern University and A & M College can utilize Dr. Aloyce Kaliba's engagement abroad to establish research and exchange relationships, connect with potential applicants and engage with your institution's alumni in the host country.

Fulbright awards are designed to primarily cover in-country expenses related to specific projects, and we recognize that by providing course coverage, continued benefits, salary supplements, and other support, Scholars' home institutions play an important role in enabling them to accept the award and take full advantage of this opportunity. The Fulbright Program is deeply grateful for the generous support that your and other U.S. institutions provide to award recipients, ensuring the continued success of both their faculty and the program.

Thank you for helping to make Dr. Aloyce Kaliba's achievement possible. Please do not hesitate to contact Julie Taylor, Director of Academic Relations for Fulbright at the Institute of International Education ([jtaylor@iie.org](mailto:jtaylor@iie.org)) with any questions about how your institution can become more involved with the Fulbright Program.

Sincerely,

Ethan Rosenzweig  
Deputy Assistant Secretary for Academic Programs, Bureau of Educational and Cultural Affairs

JOB CLASS			
JOB CODE			
CAL ID			

**SOUTHERN UNIVERSITY SYSTEM**

REC'D EMP-ACAD OFF  
2023 OCT 20 AM 11:55

**Personnel Action Form**

POSITION NUMBER					
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CAMPUS: SUS  SUBR  SULAC  SUAREC  SUNO  SUSLA

EMPLOYMENT CATEGORY: 9-MONTH  12-MONTH  OTHER  (Specify) 32 weeks

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

Previous Employee \_\_\_\_\_ Reason Left \_\_\_\_\_  
 Date Left \_\_\_\_\_ Salary Paid \_\_\_\_\_

**Profile of Person Recommended**

Length of Employment DECEMBER 15, 2023 To AUGUST 15, 2024  
 Effective Date DECEMBER 15, 2023

Name ALOYCE KALIBA SS# U01376751 Sex M Race\* B  
 (Last 4 digits only)

Position Title: PROFESSOR Department: DEPT OF ECON & FIN

Check One  Existing Position  New Position \*Visa Type (See Reverse Side):   
 Expiration Date: \_\_\_\_\_

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

Years Experience 23 years Southern University Experience 15 years  
 Degree(s): Type/Discipline (BA-Education): Institution/Location (SU-Baton Rouge): Year:  
PHD - AG ECONOMICS Kansas State University 2000  
MS - AG ECONOMICS Kansas State University 1997  
BS - ECONOMICS Sokoine University of Ag / Morogoro, Tanzania 1989

Current Employer SOUTHERN UNIVERSITY BATON ROUGE

**Personnel Action**

Check One  New Appointment  Continuation  Sabbatical  Leave of Absence  
 Transfer  Replacement  Other (Specify) 32 WEEKS

Recommended Salary 101,923.00 Salary Budgeted 101,923.00

Source of Funds DEPARTMENT OF ECONOMICS & FINANCE

Identify Budget: 211001-22206-21000 Location \_\_\_\_\_  
 Form Code: \_\_\_\_\_ Page \_\_\_\_\_ Item # \_\_\_\_\_

Change of: From \_\_\_\_\_ To \_\_\_\_\_

Position \_\_\_\_\_  
 Status \_\_\_\_\_  
 Salary Adjustment \_\_\_\_\_

Financial Aid signature (if, applicable):

List total funds currently paid this employee by Southern University:

Source of Funds	Amount
211001-22206	101,923.00

\*See Reverse Side

Comments: (Use back of form)

\*See Reverse Side

Graduate School signature (if, applicable):

Supervisor [Signature] Date 10/20/2023  
 Dean/Unit Head [Signature] Date 10/11/23  
 Vice Chancellor [Signature] Date 10/24/23  
 Director/Personnel [Signature] Date \_\_\_\_\_  
 Chancellor [Signature] Date 10/23/23  
 Vice President/Finance [Signature] Date \_\_\_\_\_  
 Business Affairs/Comptroller [Signature] Date \_\_\_\_\_  
 President \_\_\_\_\_ Date \_\_\_\_\_  
 Chairman/S.U. Board of Supervisors \_\_\_\_\_ Date \_\_\_\_\_

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

**ETHNIC ORIGIN (Please check one):**

\_\_\_\_\_ Hispanic or Latino                      X \_\_\_\_\_ Non-Hispanic or Non-Latino

**RACE (Please check all that apply):**

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

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

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

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

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

**COMMENTS:** This Educational Leave WITH PAY is effective for December 15, 2023 to August 15, 2024. Dr. Aloyce Kaliba is a professor of Economics in the College of Business. He has been selected as a Fullbright Scholar for the 2023/24 by the Department of State, and is requesting leave with pay for 8 months. The host institution is St. Augustine University of Tanzania, located in Mwanza City, Northwestern Tanzania.

**EMPLOYEE REGULAR WORK SCHEDULE:** Mon – Fri

**EMPLOYEE DIRECT SUPERVISOR:** G. GHEBREYESUS/DONALD ANDREWS 771-5934

**NUMBER OF EMPLOYEES SUPERVISED, (if any)** 0

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

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

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

**CLASS OF EMPLOYMENT (VISA STATUS):**

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

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

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

- \_\_\_\_\_ Approved Position Vacancy Authorization Form (applicable for new and replacement positions)
- \_\_\_\_\_ Position Vacancy Announcement (position advertised before processing PAF, if applicable)
- \_\_\_\_\_ Application for Employment Form Admin/Fac/Uncl Positions (Civil Service Application for classified employees)
- \_\_\_\_\_ Authority to Release (signed by employee) (submitted to Campus Police with Criminal/Background Check form)
- \_\_\_\_\_ Supervisory Criminal/Background Check Form (completed by employee/ verified and signed by supervisor)
- \_\_\_\_\_ Exemptions Survey Form (signed by employee and budget head)
- \_\_\_\_\_ Proposed Employee Appointment
- \_\_\_\_\_ Proposed Employee Clearance
- \_\_\_\_\_ Restricted/ Job Appointment/CS Rule 6.5g Letter of Justification (for classified, if applicable)

**REQUEST FOR LEAVE OF ABSENCE FORM  
SOUTHERN UNIVERSITY SYSTEM**

REC'D - ACAD AFF - 2023 SEP 28 AM 10:05

CAMPUS: SUS  SUBR  SULAC  SUAREC  SUNO  SUSLA

Name of Employee: DR. ALOYCE R. KALIBA SSN: 513 08 9819

Address: 10116 HAGEWOOD DRIVE, BATON ROUGE LA 70809 Phone: 870 718 1222

Title: Professor Highest Degree: Ph.D.

Birth Date: 08/05/1959

NO. OF CONSECUTIVE FISCAL YEARS ACTIVE SERVICE AT THIS INSTITUTION: 16

EFFECTIVE DATE OF LEAVE: Dec 15, 2023 ANTICIPATED RETURN DATE: Aug 15, 2024

Purpose of leave Requested (click one):

- a. Professional or Cultural Improvement (Must have prior approval from Chancellor)
- b. Rest and Recuperation (Statement from two (2) physicians\* must be attached)
- c. Independent Study or Research Statement
- d. Military
- e. Maternity (Statement from one (1) physician\* must be attached)

\*must be attending physician

TYPE OF LEAVE REQUESTED (check one):

- a. with pay
- b. without pay

LENGTH OF LEAVE REQUESTED: (No. of weeks, not to exceed 36 weeks) 32

MANNER IN WHICH THIS LEAVE, IF GRANTED, WILL BE SPENT:

Capacity building at St. Augustine University of Tanzania

DO YOU WISH TO RETAIN FRINGE BENEFITS? (if yes, total contribution of premium must be paid to Human Resources/Comptroller's Office in Advance)

Teacher Retirement	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
State Retirement	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Group Insurance	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Elected Supplemental Benefits	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>

I hereby agree to comply with the provisions of the Southern University Board of Supervisors' policy on leaves of absence.

9/26/2023  
DATE

Aloyce Kaliba  
SIGNATURE OF APPLICANT

PRIOR LEAVE RECORD FROM THIS INSTITUTION:

Date of Last Leave: \_\_\_\_\_  
Purpose of Last Leave: \_\_\_\_\_

TYPE OF LAST LEAVE:

With pay \_\_\_\_\_ Amount: \_\_\_\_\_  
Without Pay \_\_\_\_\_  
Length of last leave: \_\_\_\_\_

SU HUMAN RESOURCE  
OCT 16 '23 PM 4:20

G. S. Huebreyer  
Signature of Chairperson

Franklin Anderson  
Signature of College Dean

\_\_\_\_\_  
Signature of Chief Academic Officer

John K. Pierre  
Signature of Campus Chancellor

Henry J. Nichols  
Signature of System President

9/29/23  
DATE

10/11/23  
DATE

Signature of Appropriate Committee Chairperson

Signature of Chairman of the Board

Date

Date

Marilyn Doherty 7715191/2527480

## Fulbright Selection Update: Aloyce Kaliba (2023-2024)

Fulbright U.S. Scholar Program <scholars@iie.org>

Fri 4/14/2023 4:27 PM

To: Donald Andrews <donald\_andrews@subr.edu>; Aloyce Kaliba <aloyce\_kaliba@subr.edu>

**CAUTION:** This email originated from outside of SUBR. Exercise caution when opening attachments or clicking links from unknown senders.

Dear Dr. Donald Andrews,

On behalf of the U.S. Department of State and the Fulbright Program, I would like to congratulate you and Southern University and A & M College on Dr. Aloyce Kaliba's selection as a Fulbright U.S. Scholar for 2023-2024 for Tanzania.

[Fulbright Scholar Awards](#) are prestigious and competitive fellowships that provide unique opportunities for scholars to teach and conduct research abroad. Fulbright scholars also play a critical role in U.S. public diplomacy, establishing long-term relationships between people and nations. Alumni include 62 Nobel Laureates, 89 Pulitzer Prize winners, 78 MacArthur Fellows, and thousands of leaders and world-renowned experts in academia and many other fields across the private, public, and non-profit sectors.

Independent research and participant surveys confirm that Fulbright exchange experiences lead to greater international co-publication, continued international exchange, and stronger cross-cultural communication skills.

The benefits of a Fulbright Scholar Award extend beyond the individual recipient. Fulbright Scholars raise the profile of their home institutions as well. We hope that Southern University and A & M College can utilize Dr. Aloyce Kaliba's engagement abroad to establish research and exchange relationships, connect with potential applicants and engage with your institution's alumni in the host country.

Fulbright awards are designed to primarily cover in-country expenses related to specific projects, and we recognize that by providing course coverage, continued benefits, salary supplements, and other support, Scholars' home institutions play an important role in enabling them to accept the award and take full advantage of this opportunity. The Fulbright Program is deeply grateful for the generous support that your and other U.S. institutions provide to award recipients, ensuring the continued success of both their faculty and the program.

Thank you for helping to make Dr. Aloyce Kaliba's achievement possible. Please do not hesitate to contact Julie Taylor, Director of Academic Relations for Fulbright at the Institute of International Education ([jtaylor@iie.org](mailto:jtaylor@iie.org)) with any questions about how your institution can become more involved with the Fulbright Program.

Sincerely,

Ethan Rosenzweig

Deputy Assistant Secretary for Academic Programs, Bureau of Educational and Cultural Affairs

**Second Amendment To**  
**INTERAGENCY COOPERATIVE ENDEAVOR AGREEMENT**  
**between**  
**LOUISIANA DEPARTMENT OF ECONOMIC DEVELOPMENT**  
**and**  
**SOUTHERN UNIVERSITY AT SHREVEPORT, LOUISIANA (SUSLA)**

**Be It Known**, that this Second Amendment to Interagency Cooperative Endeavor Agreement shall be effective as of the 1<sup>st</sup> day of **October, 2023** (“Effective Date”) by and between:

**LOUISIANA DEPARTMENT OF ECONOMIC DEVELOPMENT**, also known as **Louisiana Economic Development** (hereinafter sometimes referred to as “**LED**” or “**State**”), an Agency of the State of Louisiana, created and operating under the laws of the State of Louisiana, with offices at LaSalle Building, 11<sup>th</sup> Floor, 617 North 3<sup>rd</sup> Street, Baton Rouge, LA. 70802, and a mailing address of P. O. Box 94185, Baton Rouge, LA. 70804- 9185, herein represented by its duly authorized and undersigned Secretary; and

**SOUTHERN UNIVERSITY at SHREVEPORT, LOUISIANA** (hereinafter sometimes referred to as “**SUSLA**”, or “**Contractor**”), a Louisiana public educational institution, created and operating under the laws of the State of Louisiana, with offices at and a mailing address of 3050 Martin Luther King, Jr. Drive, Shreveport, LA. 71107, herein represented by its duly authorized and undersigned Interim Chancellor;

Who, in order to serve the public for the purposes hereinafter stated, declared and acknowledged as follows:

**WHEREAS**, the parties hereto have previously entered into an **Interagency Cooperative Endeavor Agreement** (Agreement), dated and to begin as of **May 18, 2020**, and an amended Agreement with services to be completed and terminated on **June 30, 2024**; and in order to better meet the needs of the parties hereto, the parties now desire to amend, supplement, and extend the term and termination date as provided in the said Agreement, as hereinafter stated;

**THEREFORE**, by mutual consent and agreement, and notwithstanding any other provisions to the contrary contained in the original Interagency Cooperative Endeavor Agreement (Agreement) and previous Amended Agreement, (any and all such contrary provisions being hereby modified so as to be consistent with this First Amendment), the aforesaid Agreement is hereby amended, supplemented, and the term and termination date are hereby extended, as follows:

In **Section IV.**, entitled “**Deliverables**”, of the original Agreement and as amended in the 1<sup>st</sup> Amendment Agreement, is hereby revised, to read as follows:



#### **IV. Deliverables**

The Contractor shall produce and provide for the benefit of the public and the State of Louisiana:

- (a) The performance of activities and services and the achievement of the goals and objectives, as shown above;
- (b) SUSLA shall submit semi-annual Progress Reports to the LED Contract Monitor (beginning on **December 31, 2023**, and thereafter due on **June 30** and **December 31** of each year during the term of this Agreement), signed by an officer or key employee of the Contractor, describing the Contractor's activities and performance of services during the previous period, and the extent of the achievement of the goals and objectives of this Agreement;
- (c) SUSLA shall submit to LED, not later than **December 31, 2023**, SUSLA's Invoice for the first annual grant payment as provided herein; and
- (d) Beginning not later than **June 30, 2021, June 30, 2022, June 20, 2023, and June 30, 2024**, SUSLA shall submit its annual Sworn Certification of Compliance and Request for Payment of the annual grant funds to be provided by LED through this Agreement, to be consistent with the provisions, goals and objectives of this Agreement; and after their receipt and approval by LED's Contract Monitor, and in accordance with the provisions of this Agreement, payment of the annual grant funds may be made by LED. The form for the Sworn Certification of Compliance and Request for Payment to be used by SUSLA is attached hereto as "Attachment A" and is made a part hereof by this reference.

Contractor shall also submit to LED copies of all contracts with outside consultants and service providers relative to the performance of services under this Agreement, if any, upon the final execution thereof.

In Section VIII., entitled "Budget / Maximum Cost / Payment Terms", paragraph 1-5 of the original Agreement and as amended in the 1<sup>st</sup> Amendment Agreement, is hereby revised to read as follows:

#### **VIII. Budget / Maximum Cost / Payment Terms**

The approved Project Budget for this project is incorporated herein as "Attachment B-2", which is attached hereto and is made a part hereof by this reference. The total amount of the costs to LED contemplated by this contract shall not exceed the total amount of **ONE MILLION SIX HUNDRED FOURTEEN THOUSAND NINE HUNDRED & NO/100 (\$1,614,900.00) DOLLARS**, which total amount shall be inclusive of all costs, expenses and any approved travel expenses to be paid by LED in connection with the public services and activities to be provided under this contract. The total billings to LED for all services and expenses covered by this contract shall not exceed the total amount stated above. This is the total amount that has been allocated for this project by the Department of Economic Development. Reimbursements or payments under this contract will be allowed only for expenditures occurring between and including the dates of **May 18, 2020, and June 30, 2025**, and all of the Contractor's services hereunder shall be completed by that last date, including the submission of the Contractor's Final Progress Report which shall be due not later than **June 30, 2025**, and this contract shall terminate on that last date.

Provided Contractor's progress, performance of the Contractor's activities and services, and compliance in achieving its project goals and performance objectives under this Agreement are to

the reasonable satisfaction of LED, as provided hereinafter, payments to the Contractor hereunder shall be made by LED on the following basis, and scheduled as follows:

The **first** annual grant payment for the Plan Year through Year 2, in the amount of **\$396,600.00**, in accordance with the Project Budget Reporting and Invoicing Schedule attached hereto, shall be paid by LED to SUSLA on or about **January 1, 2024**, provided SUSLA has submitted its Invoice for this first payment by **December 31, 2023**, and after the approval of the Invoice by LED's Contract Monitor; otherwise the payment may not be paid by LED until 30 days after its receipt of SUSLA's Invoice therefor, and the approval of LED's Contract Monitor;

The **second** annual grant payment for Year 3, in the amount of **\$812,500.00**, in accordance with the Project Budget Reporting and Invoicing Schedule attached hereto, shall be paid by LED to SUSLA on or about **August 1, 2024**, provided SUSLA has submitted its Sworn Certification of Compliance and Request for Payment for this second payment by **June 30, 2024**, and after the approval of the Request for Payment by LED's Contract Monitor; otherwise the payment may not be paid by LED until 30 days after its receipt of SUSLA's Sworn Certification of Compliance and Request for Payment therefor, and the approval of LED's Contract Monitor; and

The **third** annual grant payment for Year 4, in the amount of **\$405,800.00**, in accordance with the Project Budget Reporting and Invoicing Schedule attached hereto, shall be paid by LED to SUSLA on or about **August 1, 2025**, provided SUSLA has submitted its Sworn Certification of Compliance and Request for Payment for this second payment by **June 30, 2025**, and after the approval of the Request for Payment by LED's Contract Monitor; otherwise the payment may not be paid by LED until 30 days after its receipt of SUSLA's Sworn Certification of Compliance and Request for Payment therefor, and the approval of LED's Contract Monitor.

In **Section XVIII.**, entitled "**Term of Contract**", of the original Agreement and as amended in the 1<sup>st</sup> Amendment Agreement, is hereby revised, to read as follows:

**XVIII. Term of Contract**

This contract shall begin as of **May 18, 2020**; this project and all of the Contractor's services shall be completed by and this contract shall terminate on **June 30, 2025**, (except that the auditing and accounting requirements will survive for one (1) year following such distribution) unless amended in writing, approved and signed by all parties, and approved by the State's Office of State Procurement.

**WHEREAS**, "**Attachment B-1**", titled "**Project Budget 2020-2024**" of the 1<sup>st</sup> Amendment Agreement is hereby deleted and attached hereto as "**Attachment B-2**", titled "**Project Budget 2020-2025**" and by this reference made a part hereof, and made a part of the Interagency Cooperative Endeavor Agreement, as amended.

**WHEREAS**, it is further understood and agreed that the language contained in this Second Amendment shall supersede any language to the contrary contained in the original Cooperative Endeavor Agreement, First Amendment Agreement, and attachments; and all other terms, provisions and conditions of the original Cooperative Endeavor Agreement, the First Amendment

Agreement, and attachments, unless modified herein, shall remain the same, unchanged and in full force and effect.

**IN WITNESS WHEREOF**, this Second Amendment to Interagency Cooperative Endeavor Agreement has been signed by the undersigned duly authorized officer of Contractor, for the uses, purposes, benefits and considerations herein expressed, at Shreveport, Louisiana, on the date shown below, to be effective as of the effective date first stated above, after a due reading of the whole document.

**SOUTHERN UNIVERSITY at  
SHREVEPORT, LOUISIANA,  
SUSLA / Contractor**

By: \_\_\_\_\_  
Dr. Aubra Gantt, Chancellor

Date: \_\_\_\_\_

**IN WITNESS WHEREOF**, this First Amendment To Cooperative Endeavor Agreement has been signed by the undersigned duly authorized representative of LED, for the uses, purposes, benefits and considerations herein expressed, at Baton Rouge, Louisiana, on the date shown below, to be effective as of the date first stated above, after a due reading of the whole document.

**LOUISIANA DEPARTMENT OF  
ECONOMIC DEVELOPMENT, LED**

By: \_\_\_\_\_  
Donald M. Pierson, Jr., Secretary

Date: \_\_\_\_\_

**LED Contract Monitor:**

\_\_\_\_\_  
Signature

Printed Name/Title: Arthur R. Cooper, Senior Director, Special Projects

**Attachment B-2**  
**Project Budget 2020-2025**  
**Southern University at Shreveport, Louisiana (SUSLA)**

**Anticipated Funding**

<u>Sources</u>	<u>Amounts</u>
LED	<b><u>\$ 1,614,900.00</u></b>
Total Anticipated Funding	<b><u>\$ 1,614,900.00</u></b>

**Anticipated Expenses**

<u>Expense Categories</u>	<u>Amounts</u>
---------------------------	----------------

**Project Expenses:**

Revised Budget	Plan Year	Year 1 - 2	Year 3	Year 4	Total
	07/01/2020 - 06/30/2021	07/01/2021 - 06/30/2023	07/01/2023 - 06/30/2024	07/01/2024 - 06/30/2025	
Personnel	\$17,000	\$102,500	\$250,000	\$175,000	\$544,500
Fringe Benefits	\$3,700	\$46,100	\$112,500	\$78,800	\$241,100
Travel		\$1,500	\$5,000	\$2,000	\$8,500
Supplies		\$10,000	\$10,000	\$10,000	\$30,000
Equipment		\$25,000	\$205,000	\$20,000	\$250,000
Construction/ Renovation		\$10,000	\$80,000	\$0	\$90,000
Contractual Service	\$20,800	\$110,000	\$110,000	\$100,000	\$340,800
Other		\$50,000	\$40,000	\$20,000	\$110,000
<b>Total</b>	<b>\$41,500</b>	<b>\$355,100</b>	<b>\$812,500</b>	<b>\$405,800</b>	<b>\$1,614,900</b>

**Total Anticipated Expenses** **\$ 1,614,900.00**

**Project Budget Reporting and Invoicing Schedule --- NEXT PAGE**

## Project Budget Reporting and Invoicing Schedule:

Activity	Due	Reporting Period Covering	Invoicing	Invoice Period	Amount
Planning Report	6/30/2022	May 18 2020 - June 30 2022	Yes	Plan Year & Year 1 - 2	\$ 396,600
Year 1: Mid-Year Report	12/31/2022	July 1 2022 - Dec 31 2022			
Year 1: EOY Report/ Invoice	6/30/2023	July 1 2022 - June 30 2023	Yes	Year 3	\$ 812,500
Year 2: Mid-Year Report	12/31/2023	July 1 2023 - Dec 31 2023			
Year 2: EOY Report/ Invoice	6/30/2024	July 1 2023 - June 30 2024	Yes	Year 4	\$ 405,800
Year 3: Mid-Year Report	12/31/2024	July 1 2024 - Dec 31 2024			
Year 3: EOY Report/Invoice	6/30/2025	July 1 2024 - June 30 2025	NO		
Conclusion	6/30/2025	May 18 2020 - June 30 2025			\$ 1,614,900

**STATE OF LOUISIANA  
PARISH OF EAST BATON ROUGE**

**CONTRACT**

Be it known the Board of Regents of the State of Louisiana, hereinafter sometimes referred to as "State" or "Regents, and the Board of Supervisors for the Southern University System, which is officially domiciled at J.S. Clark Administration Building 4<sup>th</sup> Floor President's Office, Baton Rouge, LA 70808, hereinafter sometimes referred to as "Contractor," do hereby enter into this contract under the following terms and conditions:

**Scope of Services**

Contractor hereby agrees to furnish the following services:

As provided in Appendix A, Contractor will distribute designated funds to its participating institutions for nurse capitation.

Goals: Regents seeks to increase capacity for enrolling and graduating nurses to serve the needs of the state of Louisiana.

Objectives: The objective of this contract is to expand enrollment capacity through capitation within the Contractor's system by enrolling additional qualified students in the clinical components of the Contractor's Nursing Program during the fall 2023 and spring 2024 semesters, in accordance with Appendix A.

Contractor shall ensure that each participating institution within its system submits the Enrollment Invoice Reports (Appendix B) no later than 15 days following the census date of the fall 2023 semester and spring 2024 semester (as applicable).

Performance Measures: Contractor's performance will be measured by the Contract Monitor based upon a determination of whether the above stated objectives have been met, and all services have been completed in accordance with the terms of the contract.

Monitoring Plan: This contract will be monitored by the Assistant Commissioner for Strategic Planning and Student Success or designee. The Contract Monitor will work closely with the Contractor to review activities conducted and deliverables submitted by the Contractor throughout the term of the contract. The Contract Monitor will address any deficiencies, as well as a plan to correct said deficiencies, with the Contractor. During the term of the contract the Contractor shall immediately inform Contract Monitor of any problems, delays or adverse conditions which will materially affect the ability to attain contract objectives or prevent the meeting of time schedules and goals. Contractor's notification shall be accompanied by a statement describing the corrective action taken or recommended by the Contractor, and any assistance which may be needed to resolve the situation. The Contract Monitor will report the Contractor's overall performance on a contract evaluation form at the end of the contract term.

**Deliverables:**

As the deliverables to this Contract, the Contractor shall validate and submit to Regents the Enrollment Invoice Report (Appendix B) from their participating institutions no later than 30 days following the census date of the fall 2023 semester and spring 2024 semester (as applicable).

**Payment Terms**

In consideration of the services described above, the State hereby agrees to pay the Contractor \$3,500 (three thousand-five hundred dollars and no cents) per student, per semester, in accordance with Appendix A and Appendix B. The total maximum amount payable under the contract shall not exceed \$336,000.00 (three-hundred and thirty-six thousand dollars).

Payment is predicated upon submission, and approval by the State, of the Deliverables detailed above and submission of invoices signed by a duly authorized institutional representative. Travel and other reimbursable expenses constitute part of the total maximum payable under the contract and shall not be reimbursed. Payment will be made only on approval of the Assistant Commissioner for Strategic Planning and Student Success or designee and is contingent upon the availability of funds.

If progress and/or completion to the reasonable satisfaction of the State is obtained, payments are scheduled as follows:

<u>For Regents Use Only</u>	<u>Initials</u>	<u>Payment Amount</u>	<u>Date</u>
Payment 1 (Fall 2023)	_____	_____	_____
Payment 2 (Spring 2024)	_____	_____	_____

**Taxes**

Contractor hereby agrees that the responsibility for payment of taxes from the funds thus received under this contract and/or legislative appropriation shall be Contractor’s obligation and identified under Federal tax identification number 72-6000817.

**Public Liability**

Contractor shall indemnify and hold the Regents harmless against any and all claims, demands, suits, and judgments of the sums of money to any party for loss of life or injury or damage to person or property growing out of, resulting from, or by reason of, any negligent act or omission, operation or work of Contractor or its employees while engaged upon or in connection with the services required or performed by Contractor hereunder.

**Claims for Liens**

Contractor shall be solely liable for and shall hold the Regents harmless for any and all claims or liens for labor, services, or materials furnished to Contractor in connection with the performance of its obligations under this agreement.

**Termination for Cause**

Should the State determine that the Contractor has failed to comply with the Contract’s terms, the State may terminate the Contract for cause by giving the Contractor written notice specifying the Contractor’s failure. If the State determines that the failure is not correctable, then the Contract shall terminate on the date specified in such notice. If the State determines that the failure may be corrected, the State shall give a deadline for the Contractor to make the correction. If the State determines that the failure is not corrected by the deadline, then the State may give additional time for the Contractor to make the corrections or the State may notify the Contractor of the Contract termination date. If the Contractor seeks to terminate the

Contract, the Contractor shall file a complaint with the Chief Procurement Officer under La. R.S. 39:1672.2-1672.4.

**Termination for Convenience**

State may terminate the Contract at any time without penalty by giving thirty (30) days written notice to the Contractor of such termination or negotiating with the Contractor a termination date. Contractor shall be entitled to payment for deliverables in progress, to the extent the State determines that the work is acceptable.

**Remedies for Default**

Any claim or controversy arising out of this agreement shall be resolved by the provisions of LSA - R.S. 39:1672.2 - 1672.4.

**Other Remedies**

If the Contractor fails to perform in accordance with the terms and conditions of this Contract, or if any lien or claim for damages, penalties, costs and the like is asserted by or against the State, then, upon notice to the Contractor, the State may pursue all remedies available to it at law or equity, including retaining monies from amounts due the Contractor and proceeding against any surety of the Contractor.

**Governing Law**

This Contract shall be governed by and interpreted in accordance with the laws of the State of Louisiana, including but not limited to La. R.S. 39:1551-1736; rules and regulations; executive orders; standard terms and conditions, special terms and conditions, and specifications listed in the RFP(if applicable); and this Contract. Venue of any action brought, after exhaustion of administrative remedies, with regard to this Contract shall be in the Nineteenth Judicial District Court, Parish of East Baton Rouge, State of Louisiana.

**Record Ownership**

All records, reports, documents and other material delivered or transmitted to Contractor by State shall remain the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of the Contract. All material related to the Contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of the Contract.

**Commissioner's Statements**

Statements, acts and omissions made by or on behalf of the Commissioner of Administration regarding the RFP or RFP process, this Contract, any Contractor and/or any subcontractor of the Contractor shall not be deemed a conflict of interest when the Commissioner is discharging his/her duties and responsibilities under law, including, but not limited, to the Commissioner of Administration's authority in procurement matters.

**Contractor's Cooperation**

The Contractor has the duty to fully cooperate with the State and provide any and all requested information, documentation, etc. to the state when requested. This applies even if this Contract is terminated and/or a lawsuit is filed. Specifically, the Contractor shall not limit or impede the State's right to audit or shall not withhold State owned documents.

**Assignability**

Contractor shall not assign any interest in this contract and shall not transfer any interest in same (whether by assignment or novation), without prior written consent of the State, provided however, that claims for money due or to become due to the Contractor from the State may be assigned to a bank, trust company or



other financial institution without such prior written consent. Notice of any such assignment or transfer shall be furnished promptly to the State.

**Right to Audit and Record Retention**

Any authorized agency of the State (e.g. Office of the Legislative Auditor, Inspector General's Office, etc.) and of the Federal Government has the right to inspect and review all books and records pertaining to services rendered under this contract for a period of five years from the date of final payment under the prime contract and any subcontract. The Contractor and subcontractor shall maintain such books and records for this five-year period and cooperate fully with the authorized auditing agency. Contractor and subcontractor shall comply with federal and state laws authorizing an audit of their operations as a whole, or of specific program activities.

**Amendments**

Any modification to the provisions of this Contract shall be in writing, signed by all parties, and approved by the required authorities.

**Fiscal Funding**

The continuation of this contract is contingent upon the appropriation of funds to fulfill the requirements of the contract by the legislature. If the legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

**Term of Contract**

This contract shall begin on July 1, 2023 and shall terminate on June 30, 2024.

**Discrimination Clause**

The contractor agrees to abide by the requirements of the following as applicable: Title VI of the Civil Rights Act of 1964 and Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972, Federal Executive Order 11246 as amended, the Rehabilitation Act of 1973, as amended, the Vietnam Era Veteran's Readjustment Assistance Act of 1974, Title IX of the Education Amendments of 1972, the Age Discrimination Act of 1975, the Fair Housing Act of 1968 as amended, and contractor agrees to abide by the requirements of the Americans with Disabilities Act of 1990.

Contractor agrees not to discriminate in its employment practices and will render services under this contract without regard to race, color, religion, sex, sexual orientation, national origin, veteran status, political affiliation, disability, or age in any matter relating to employment. Any act of discrimination committed by Contractor, or failure to comply with these statutory obligations when applicable shall be grounds for termination of this contract.

**Prohibition of Discriminatory Boycotts of Israel**

In accordance with R.S. 39:1602.1, for any contract for \$100,000 or more and for any contractor with five or more employees, Contractor, or any Subcontractor, shall certify it is not engaging in a boycott of Israel, and shall, for the duration of this contract, refrain from a boycott of Israel. The State reserves the right to terminate this contract if the Contractor, or any Subcontractor, engages in a boycott of Israel during the term of the contract.

**Continuing Obligation**

Contractor has a continuing obligation to disclose any suspensions or debarment by any government entity, including but not limited to General Services Administration (GSA). Failure to disclose may constitute grounds for suspension and/or termination of the Contract and debarment from future Contracts.

**Eligibility Status**

Contractor, and each tier of Subcontractors, shall certify that it is not on the List of Parties Excluded from Federal Procurement or Non-procurement Programs promulgated in accordance with E.O.s 12549 and 12689, "Debarment and Suspension," as set forth at 24 CFR part 24.

**Confidentiality**

Contractor shall protect from unauthorized use and disclosure all information relating to the State's operations and data (e.g. financial, statistical, personal, technical, etc.) that becomes available to the Contractor in carrying out this Contract. Contractor shall use protecting measures that are the same or more effective than those used by the State. Contractor is not required to protect information or data that is publicly available outside the scope of this Contract; already rightfully in the Contractor's possession; independently developed by the Contractor outside the scope of this Contract; or rightfully obtained from third parties. Under no circumstance shall the Contractor discuss and/or release information to the media concerning this project without prior express written approval of the State.

**Cybersecurity Training**

In accordance with La. R.S. 42:1267(B)(3) and the State of Louisiana's Information Security Policy, if the Contractor, any of its employees, agents, or subcontractors will have access to State government information technology assets, the Contractor's employees, agents, or subcontractors with such access must complete cybersecurity training annually, and the Contractor must present evidence of such compliance annually and upon request. The Contractor may use the cybersecurity training course offered by the Louisiana Department of State Civil Service without additional cost or may use any alternate course approved in writing by the Office of Technology Services.

For purposes of this Section, "access to State government information technology assets" means the possession of credentials, equipment, or authorization to access the internal workings of State information technology systems or networks. Examples would include but not be limited to State-issued laptops, VPN credentials to credentials to access the State network, badging to access the State's telecommunications closets or systems, or permissions to maintain or modify IT systems used by the State. Final determination of scope inclusions or exclusions relative to access to State government information technology assets will be made by Regents.

**Code of Ethics**

The Contractor acknowledges that Chapter 15 of Title 42 of the Louisiana Revised Statutes (R.S. 42:1101 et. seq., Code of Governmental Ethics) applies to the Contracting Party in the performance of services called for in this Contract. The Contractor agrees to immediately notify the state if potential violations of the Code of Governmental Ethics arise at any time during the term of this Contract.

THUS DONE AND SIGNED ON THE DATES INDICATED BELOW:

WITNESSES:

Southern University System

\_\_\_\_\_ System Head or Authorized Representative \_\_\_\_\_ Date

\_\_\_\_\_ Title \_\_\_\_\_

Board of Regents of the State of Louisiana

\_\_\_\_\_ Commissioner of Higher Education or Designee \_\_\_\_\_ Date

**Appendix A**  
*Academic Year 2023-24*  
*Nurse Capitation Program*

**Payment 1 (Fall 2023 Semester)**

System	Number of Students	Additional Students at \$3,500 per semester
Southern	48	\$168,000.00
LSU	91	\$318,500.00
UL	122	\$427,000.00
Fran U	40	\$140,000.00
<b>TOTAL</b>	<b>301</b>	<b>\$1,053, 500.00</b>

**Payment 2 (Spring 2024 Semester)**

System	Number of Students	Additional Students at \$3,500 per semester
Southern	48	\$168,000.00
LSU	91	\$318,500.00
UL	122	\$427,000.00
Fran U	40	\$140,000.00
<b>TOTAL</b>	<b>301</b>	<b>\$1,053, 500.00</b>

# AY 2023-24 Nurse Capitation Appendix B

2023-24 Enrollment Invoice Report for Nursing Capitation Funds. Please e-mail Mellynn.Baker@laregents.edu for any questions regarding this report.

Capitation Enrollment Report. Please enter the Semester and Year \*

Ex: Fall 2022

College/University: \*

\*

	Semester (Fall 2022 or Spring 2023)	Base (In notification letter)	Initial Capacity (number of students with capitation)	Enrollment
ASN				
BSN				
NP				

**Name of Person Submitting Form: \***

First Name

Last Name

**E-mail of Person Submitting Form: \***

example@example.com

**Dean Signature**

Clear

---

**\*NOT FOR INSTITUTIONAL COMPLETION\* System Office Reviewer Name**

First Name

Last Name

**System Office Reviewer Signature**

Clear

Submit



# Department of Justice (DOJ)

## Office on Violence Against Women (OVW)

Washington, D.C. 20531

<b>Name and Address of Recipient:</b>	SOUTHERN UNIVERSITY AND A & M COLLEGE 730 HARDING BLVD	
<b>City, State and Zip:</b>	BATON ROUGE, LA 70807	
<b>Recipient UEI:</b>	H7CJA7NX9WN3	
<b>Project Title:</b> Southern University Stop the Violence Against Women	<b>Award Number:</b> 15JOVW-23-GG-04467-HBCU	
<b>Solicitation Title:</b> OVW Fiscal Year 2023 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus Program Solicitation		
<b>Federal Award Amount:</b> \$400,000.00	<b>Federal Award Date:</b> 9/26/23	
<b>Awarding Agency:</b>	Office on Violence Against Women	
<b>Funding Instrument Type:</b>	Grant	
<b>Assistance Listing:</b> 16.525 - Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus		
<b>Project Period Start Date:</b> 10/1/23	<b>Project Period End Date:</b> 9/30/26	
<b>Budget Period Start Date:</b> 10/1/23	<b>Budget Period End Date:</b> 9/30/26	
<b>Project Description:</b>		
<p>The Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus Program (Campus Program) is authorized by 34 U.S.C. § 20125. The program provides a unique opportunity for institutions of higher education to establish multidisciplinary approaches to combat domestic violence, dating violence, sexual assault, and stalking on campuses. These comprehensive efforts are designed to enhance victim services (including legal services), implement prevention and education programs, and develop and strengthen security and investigation strategies to prevent, prosecute, and respond to domestic violence, dating violence, sexual assault, and stalking. The Campus Program supports activities that develop campus-based coordinated responses among campus victim services, campus law enforcement, health care providers, housing officials, administrators, student leaders, faith-based organizations, student organizations, and disciplinary boards, and enhance victim safety and assistance and hold offenders accountable. To be effective, these responses must be linked to local law enforcement agencies, prosecutors' offices, courts, and nonprofit, nongovernmental victim advocacy and victim services organizations.</p> <p>Southern University and A &amp; M College is a public, historically black university located in Baton Rouge, Louisiana. With this new award, Southern University and A &amp; M College, in collaboration with the Butterfly Society, Sexual Trauma Awareness Response (STAR) Agency, the Constable's Office, and Baton Rouge Police Department, will: 1) create a coordinated community response team to oversee all planning and implementation activities; 2) provide prevention programming, including bystander intervention and ongoing prevention activities to all students on domestic violence, dating violence, sexual assault, and stalking; 3) provide ongoing training to all campus law enforcement on how to effectively respond to these crimes; 4) provide access to 24-hour confidential victim services and advocacy; and 5) conduct ongoing training to all personnel in the campus resolution process.</p>		



## Award Letter

September 26, 2023

Dear Michael Stubblefield,

On behalf of Attorney General Merrick B. Garland, it is my pleasure to inform you the Office on Violence Against Women (OVW) has approved the application submitted by SOUTHERN UNIVERSITY AND A & M COLLEGE for an award under the funding opportunity entitled 2023 OVW Fiscal Year 2023 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus Program Solicitation. The approved award amount is \$400,000. Review the Award Instrument below carefully and familiarize yourself with all conditions and requirements before accepting your award. The Award Instrument includes the Award Offer (Award Information, Project Information, Financial Information, and Award Conditions) and Award Acceptance. For COPS Office and OVW funding the Award Offer also includes any Other Award Documents.

Please note that award requirements include not only the conditions and limitations set forth in the Award Offer, but also compliance with assurances and certifications that relate to conduct during the period of performance for the award. These requirements encompass financial, administrative, and programmatic matters, as well as other important matters (e.g., specific restrictions on use of funds). Therefore, all key staff should receive the award conditions, the assurances and certifications, and the application as approved by OVW, so that they understand the award requirements. Information on all pertinent award requirements also must be provided to any subrecipient of the award.

Should you accept the award and then fail to comply with an award requirement, DOJ will pursue appropriate remedies for non-compliance, which may include termination of the award and/or a requirement to repay award funds.

Prior to accepting the award, your Entity Administrator must assign a Financial Manager, Grant Award Administrator, and Authorized Representative(s) in the Justice Grants System (JustGrants). The Entity Administrator will need to ensure the assigned Authorized Representative(s) is current and has the legal authority to accept awards and bind the entity to the award terms and conditions. To accept the award, the Authorized Representative(s) must accept all parts of the Award Offer in the Justice Grants System (JustGrants), including by executing the required declaration and certification, within 45 days from the award date.

To access your funds, you will need to enroll in the Automated Standard Application for Payments (ASAP) system, if you haven't already completed the enrollment process in ASAP. The Entity Administrator should have already received an email from ASAP to initiate this process.

Congratulations, and we look forward to working with you.

ROSEMARIE HIDALGO

Director

**Office for Civil Rights Notice for All Recipients**

The Office for Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) has been delegated the responsibility for ensuring that recipients of federal financial assistance from the OJP, the Office of Community Oriented Policing Services (COPS), and the Office on Violence Against Women (OVW) are not engaged in discrimination prohibited by law. Several federal civil rights laws, such as Title VI of the Civil Rights Act of 1964 and Section 504 of the Rehabilitation Act of 1973, require recipients of federal financial assistance to give assurances that they will comply with those laws. Taken together, these civil rights laws prohibit recipients of federal financial assistance from DOJ from discriminating in services and employment because of race, color, national origin, religion, disability, sex, and, for grants authorized under the Violence Against Women Act, sexual orientation and gender identity. Recipients are also prohibited from discriminating in services because of age. For a complete review of these civil rights laws and nondiscrimination requirements, in connection with DOJ awards, see <https://ojp.gov/funding/Explore/LegalOverview/CivilRightsRequirements.htm>.

Under the delegation of authority, the OCR investigates allegations of discrimination against recipients from individuals, entities, or groups. In addition, the OCR conducts limited compliance reviews and audits based on regulatory criteria.

These reviews and audits permit the OCR to evaluate whether recipients of financial assistance from the Department are providing services in a nondiscriminatory manner to their service population or have employment practices that meet equal-opportunity standards.

If you are a recipient of grant awards under the Omnibus Crime Control and Safe Streets Act or the Juvenile Justice and Delinquency Prevention Act and your agency is part of a criminal justice system, there are two additional obligations that may apply in connection with the awards: (1) complying with the regulation relating to Equal Employment Opportunity Programs (EEOs); and (2) submitting findings of discrimination to OCR. For additional information regarding the EEO requirement, see 28 CFR Part 42, subpart E, and for additional information regarding requirements when there is an adverse finding, see 28 C.F.R. §§ 42.204(c), .205(c)(5).

The OCR is available to help you and your organization meet the civil rights requirements that are associated with DOJ grant funding. If you would like the OCR to assist you in fulfilling your organization's civil rights or nondiscrimination responsibilities as a recipient of federal financial assistance, please do not hesitate to contact the OCR at [askOCR@ojp.usdoj.gov](mailto:askOCR@ojp.usdoj.gov).

## **Memorandum Regarding NEPA**

### **NEPA Letter Type**

OVW – Categorical Exclusion – Some Minor Renovations Allowed

### **NEPA Letter**

Certain minor renovations are allowed under the Grants to Reduce Sexual Assault, Domestic Violence, Dating Violence, and Stalking on Campus Program (Campus Program). All recipients of Campus Program funding must assist OVW in complying with the National Environmental Policy Act (NEPA) and other related federal environmental impact analyses requirements in the use of grant funds, whether the funds are used directly by the recipient or by a subrecipient or third party. Accordingly, prior to obligating funds for any of the specified activities, the recipient must first determine if any of the specified activities will be funded by the grant.

The specified activities requiring environmental analysis are:

1. New construction;
2. Any renovation or remodeling of a property located in an environmentally or historically sensitive area, including properties located within a 100-year flood plain, a wetland, or habitat for endangered species, or a property listed on or eligible for listing on the National Register of Historic Places;
3. A renovation, lease, or any proposed use of a building or facility that will either (a) result in a change in its basic prior use or (b) significantly change its size;
4. Implementation of a new program involving the use of chemicals other than chemicals that are (a) purchased as an incidental component of a funded activity and (b) traditionally used, for example, in office, household, recreational, or education environments; and
5. Implementation of a program relating to clandestine methamphetamine laboratory operations, including the identification, seizure, or closure of clandestine methamphetamine laboratories.

Complying with NEPA may require submission of additional information to OVW and cooperating with OVW in additional processes and analyses.

Recipients should carefully review the award grant conditions, as they may contain more specific information about environmental compliance.

**NEPA Coordinator**

**First Name**

Debra

**Middle Name**

**Last Name**

Murphy

**Award Information**

This award is offered subject to the conditions or limitations set forth in the Award Information, Project Information, Financial Information, and Award Conditions.

**Recipient Information**

**Recipient Name**

SOUTHERN UNIVERSITY AND A & M COLLEGE

**UEI**

H7CJA7NX9WN3

**Street 1**

730 HARDING BLVD

**Street 2**

**City**

BATON ROUGE

**State/U.S. Territory**

Louisiana

**Zip/Postal Code**

70807

**Country**

United States

**County/Parish**

**Province**

**Award Details**

**Federal Award Date**

9/26/23

**Award Type**

Initial

**Award Number**

15JOVW-23-GG-04467-HBCU

**Supplement Number**

00

**Federal Award Amount**

\$400,000.00

**Funding Instrument Type**

Grant

**Assistance Listing  
Number**

16.525

**Assistance Listings Program Title**

Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus

**Statutory Authority**

34 U.S.C. 20125

[ ]  
I have read and understand the information presented in this section of the Federal Award Instrument.

**Project Information**

This award is offered subject to the conditions or limitations set forth in the Award Information, Project Information, Financial Information, and Award Conditions.

**Solicitation Title**

**Awarding Agency**

2023 OVW Fiscal Year 2023 Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus Program Solicitation

OVW

**Application Number**

GRANT13869238

**Grant Manager Name**

VERONIKA MURRUT

**Phone Number**

[202-532-3450](tel:202-532-3450)

**E-mail Address**

veronika.murrut@usdoj.gov

**Project Title**

Southern University Stop the Violence Against Women

**Performance Period Start**

**Date**

10/01/2023

**Performance Period End Date**

09/30/2026

**Budget Period Start Date**

10/01/2023

**Budget Period End Date**

09/30/2026

**Project Description**

The Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus Program (Campus Program) is authorized by 34 U.S.C. § 20125. The program provides a unique opportunity for institutions of higher education to establish multidisciplinary approaches to combat domestic violence, dating violence, sexual assault, and stalking on campuses. These comprehensive efforts are designed to enhance victim services (including legal services), implement prevention and education programs, and develop and strengthen security and investigation strategies to prevent, prosecute, and respond to domestic violence, dating violence, sexual assault, and stalking. The Campus Program supports activities that develop campus-based coordinated responses among campus victim services, campus law enforcement, health care providers, housing officials, administrators, student leaders, faith-based organizations, student organizations, and disciplinary boards, and enhance victim safety and assistance and hold offenders accountable. To be effective, these responses must be linked to local law enforcement agencies,

prosecutors' offices, courts, and nonprofit, nongovernmental victim advocacy and victim services organizations.

Southern University and A & M College is a public, historically black university located in Baton Rouge, Louisiana. With this new award, Southern University and A & M College, in collaboration with the Butterfly Society, Sexual Trauma Awareness Response (STAR) Agency, the Constable's Office, and Baton Rouge Police Department, will: 1) create a coordinated community response team to oversee all planning and implementation activities; 2) provide prevention programming, including bystander intervention and ongoing prevention activities to all students on domestic violence, dating violence, sexual assault, and stalking; 3) provide ongoing training to all campus law enforcement on how to effectively respond to these crimes; 4) provide access to 24-hour confidential victim services and advocacy; and 5) conduct ongoing training to all personnel in the campus resolution process.

*I have read and understand the information presented in this section of the Federal Award Instrument.*

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### **Financial Information**

**This award is offered subject to the conditions or limitations set forth in the Award Information, Project Information, Financial Information, and Award Conditions.**

The recipient budget is currently under review.

*I have read and understand the information presented in this section of the Federal Award Instrument.*

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### **Other Award Documents**

*I have read and understand the information presented in this section of the Federal Award Instrument.*

No other award documents have been added.

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### **Award Conditions**

**This award is offered subject to the conditions or limitations set forth in the Award Information, Project Information, Financial Information, and Award Conditions.**

1

Requirements of the award; remedies for non-compliance or for materially false statements

The conditions of this award are material requirements of the award. Compliance with any assurances or certifications submitted by or on behalf of the recipient that relate to conduct during the period of performance also is a material requirement of this award.

By signing and accepting this award on behalf of the recipient, the authorized recipient official accepts all material requirements of the award, and specifically adopts, as if personally executed by the authorized recipient official, all assurances or certifications submitted by or on behalf of the recipient that relate to conduct during the period of performance.

Failure to comply with any one or more of these award requirements -- whether a condition set out in full below, a

condition incorporated by reference below, or an assurance or certification related to conduct during the award period - may result in the Office on Violence Against Women (OVW) taking appropriate action with respect to the recipient and the award. Among other things, OVW may withhold award funds, disallow costs, or suspend or terminate the award. DOJ, including OVW, also may take other legal action as appropriate.

Any materially false, fictitious, or fraudulent statement to the federal government related to this award (or concealment or omission of a material fact) may be the subject of criminal prosecution (including under 18 U.S.C. 1001 and/or 1621, and/or 34 U.S.C. 10271-10273), and also may lead to imposition of civil penalties and administrative remedies for false claims or otherwise (including under 31 U.S.C. 3729-3730 and 3801-3812).

Should any provision of a requirement of this award be held to be invalid or unenforceable by its terms, that provision shall first be applied with a limited construction so as to give it the maximum effect permitted by law. Should it be held, instead, that the provision is utterly invalid or -unenforceable, such provision shall be deemed severable from this award.

## 2

### Applicability of Part 200 Uniform Requirements and DOJ Grants Financial Guide

The recipient agrees to comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements in 2 C.F.R. Part 200, as adopted and supplemented by the Department of Justice (DOJ) in 2 C.F.R. Part 2800 (together, the "Part 200 Uniform Requirements"), and the current edition of the DOJ Grants Financial Guide as posted on the OVW website, including any updated version that may be posted during the period of performance. The recipient also agrees that all financial records pertinent to this award, including the general accounting ledger and all supporting documents, are subject to agency review throughout the life of the award, during the close-out process, and for three years after submission of the final Federal Financial Report (SF-425) or as long as the records are retained, whichever is longer, pursuant to 2 C.F.R. 200.334, 200.337.

## 3

### Requirement to report potentially duplicative funding

If the recipient currently has other active awards of federal funds, or if the recipient receives any other award of federal funds during the period of performance for this award, the recipient promptly must determine whether funds from any of those other federal awards have been, are being, or are to be used (in whole or in part) for one or more of the identical cost items for which funds are provided under this award. If so, the recipient must promptly notify OVW in writing of the potential duplication, and, if so requested by OVW, must seek a budget-modification or change-of-project-scope Grant Award Modification (GAM) to eliminate any inappropriate duplication of funding.

## 4

### Requirements related to System for Award Management and unique entity identifiers

The recipient must comply with applicable requirements regarding the System for Award Management (SAM), currently accessible at <https://www.sam.gov>. This includes applicable requirements regarding registration with SAM, as well as maintaining current information in SAM.

The recipient also must comply with applicable restrictions on subawards (subgrants) to first-tier subrecipients (subgrantees), including restrictions on subawards to entities that do not acquire and provide (to the recipient) the unique entity identifier assigned by SAM.

The details of the recipient's obligations related to SAM and to unique entity identifiers are posted on the OVW website at <https://www.justice.gov/ovw/award-conditions> (Award Condition: Requirements related to System for Award Management (SAM) and unique entity identifiers), and are incorporated by reference here.

## 5

### Requirement to report actual or imminent breach of personally identifiable information (PII)

The recipient (and any subrecipient at any tier) must have written procedures in place to respond in the event of an actual or imminent breach (as defined in OMB M-17-12) if it (or a subrecipient)-- 1) creates, collects, uses, processes,

stores, maintains, disseminates, discloses, or disposes of personally identifiable information (PII) (as defined in 2 C.F.R. 200.1) within the scope of an OVW grant-funded program or activity, or 2) uses or operates a Federal information system (as defined in OMB Circular A-130). The recipient's breach procedures must include a requirement to report actual or imminent breach of PII to an OVW Program Manager no later than 24 hours after an occurrence of an actual breach, or the detection of an imminent breach.

## 6

Requirements pertaining to prohibited conduct related to trafficking in persons (including reporting requirements and OVW authority to terminate award)

The recipient, and any subrecipient (subgrantee) at any tier, must comply with all applicable requirements (including requirements to report allegations) pertaining to prohibited conduct related to the trafficking of persons, whether on the part of recipients, subrecipients (subgrantees), or individuals defined (for purposes of this condition) as "employees" of the recipient or of any subrecipient.

The details of the recipient's obligations related to prohibited conduct related to trafficking in persons are posted on the OVW website at <https://www.justice.gov/ovw/award-conditions> (Award Condition: Prohibited conduct by recipients and subrecipients related to trafficking in persons (including reporting requirements and OVW authority to terminate award)), and are incorporated by reference here.

## 7

Determinations of suitability to interact with participating minors

This condition applies to this award if it is indicated in the application for the award (as approved by DOJ) (or in the application for any subaward at any tier), the DOJ funding announcement (solicitation), or an associated federal statute that a purpose of some or all of the activities to be carried out under the award (whether by the recipient or a subrecipient at any tier) is to benefit a set of individuals under 18 years of age.

The recipient, and any subrecipient at any tier, must make determinations of suitability before certain individuals may interact with participating minors. This requirement applies regardless of an individual's employment status. The details of this requirement are posted on the OVW website at <https://www.justice.gov/ovw/award-conditions> (Award condition: Determination of suitability required, in advance, for certain individuals who may interact with participating minors), and are incorporated by reference here.

## 8

Compliance with applicable rules regarding approval, planning, and reporting of conferences, meetings, trainings, and other events

The recipient, and any subrecipient (subgrantee) at any tier, must comply with all applicable laws, regulations, policies, and official DOJ guidance (including specific cost limits, prior approval and reporting requirements, where applicable) governing the use of federal funds for expenses related to conferences (as that term is defined by DOJ), including the provision of food and/or beverages at such conferences, and costs of attendance at such conferences.

Information on the pertinent DOJ definition of conferences and the rules applicable to this award appears on the OVW website at <https://www.justice.gov/ovw/conference-planning>.

## 9

OVW Training Guiding Principles

The recipient understands and agrees that any training or training materials developed or delivered with funding provided under this award must adhere to the OVW Training Guiding Principles for Grantees and Subgrantees, available at <https://www.justice.gov/ovw/resources-and-faqs-grantees#Discretionary>.

## 10

Effect of failure to address audit issues

The recipient understands and agrees that OVW may withhold award funds, or may impose other related requirements, if (as determined by OVW) the recipient does not satisfactorily and promptly address outstanding issues from audits required by the Part 200 Uniform Requirements (or by the terms of this award), or other outstanding issues that arise in connection with audits, investigations, or reviews of DOJ awards.

## 11

### Potential imposition of additional requirements

The recipient agrees to comply with any additional requirements that may be imposed by OVW during the period of performance for this award, if the recipient is designated as "high-risk" for purposes of the DOJ high-risk grantee list.

## 12

### Compliance with DOJ regulations pertaining to civil rights and nondiscrimination - 28 C.F.R. Part 42

The recipient, and any subrecipient (subgrantee) at any tier, must comply with all applicable requirements of 28 C.F.R. Part 42, specifically including any applicable requirements in Subpart E of 28 C.F.R. Part 42 that relate to an equal employment opportunity program.

## 13

### Compliance with DOJ regulations pertaining to civil rights and nondiscrimination - 28 C.F.R. Part 38

The recipient, and any subrecipient (subgrantee) at any tier, must comply with all applicable requirements of 28 C.F.R. Part 38.

Among other things, 28 C.F.R. Part 38 includes rules that prohibit specific forms of discrimination on the basis of religion, a religious belief, a refusal to hold a religious belief, or refusal to attend or participate in a religious practice. Part 38 also sets out rules and requirements that pertain to recipient and subrecipient (subgrantee) organizations that engage in or conduct explicitly religious activities.

## 14

### Compliance with DOJ regulations pertaining to civil rights and nondiscrimination - 28 C.F.R. Part 54

The recipient, and any subrecipient (subgrantee) at any tier, must comply with all applicable requirements of 28 C.F.R. Part 54, which relates to nondiscrimination on the basis of sex in certain "education programs."

## 15

### Restrictions on "lobbying" and policy development

In general, as a matter of federal law, federal funds may not be used by the recipient, or any subrecipient (subgrantee) at any tier, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government, in order to avoid violation of 18 U.S.C. 1913. The recipient, or any subrecipient (subgrantee) may, however, use federal funds to collaborate with and provide information to federal, state, local, tribal and territorial public officials and agencies to develop and implement policies and develop and promote state, local, or tribal legislation or model codes designed to reduce or eliminate domestic violence, dating violence, sexual assault, and stalking (as those terms are defined in 34 U.S.C. 12291(a)) when such collaboration and provision of information is consistent with the activities otherwise authorized under this grant program.

Another federal law generally prohibits federal funds awarded by OVW from being used by the recipient, or any subrecipient at any tier, to pay any person to influence (or attempt to influence) a federal agency, a Member of Congress, or Congress (or an official or employee of any of them) with respect to the awarding of a federal grant or cooperative agreement, subgrant, contract, subcontract, or loan, or with respect to actions such as renewing, extending, or modifying any such award. See 31 U.S.C. 1352. Certain exceptions to this law apply, including an exception that applies to Indian tribes and tribal organizations.

Should any question arise as to whether a particular use of federal funds by a recipient (or subrecipient) would or might fall within the scope of these prohibitions, the recipient is to contact OVW for guidance, and may not proceed without



the express prior written approval of OVW.

## 16

Compliance with general appropriations-law restrictions on the use of federal funds for this fiscal year

The recipient, and any subrecipient (subgrantee) at any tier, must comply with all applicable restrictions on the use of federal funds set out in federal appropriations statutes. Pertinent restrictions, for each fiscal year, are set out at <https://www.justice.gov/ovw/award-conditions> (Award Condition: General appropriations-law restrictions on use of federal award funds), and are incorporated by reference here. Should a question arise as to whether a particular use of federal funds by a recipient (or a subrecipient) would or might fall within the scope of an appropriations-law restriction, the recipient is to contact OVW for guidance, and may not proceed without the express prior written approval of OVW.

## 17

Reporting potential fraud, waste, and abuse, and similar misconduct

The recipient and any subrecipients (subgrantees) must promptly refer to the DOJ Office of the Inspector General (OIG) any credible evidence that a principal, employee, agent, subrecipient, contractor, subcontractor, or other person has, in connection with funds under this award -- (1) submitted a claim that violates the False Claims Act; or (2) committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct.

Potential fraud, waste, abuse, or misconduct involving or relating to funds under this award should be reported to the OIG by-- (1) online submission accessible via the OIG webpage at <https://oig.justice.gov/hotline/contact-grants.htm> (select "Submit Report Online"); (2) mail directed to: U.S. Department of Justice, Office of the Inspector General, Investigations Division, ATTN: Grantee Reporting, 950 Pennsylvania Ave., NW, Washington, DC 20530; (3) by facsimile directed to the DOJ OIG Fraud Detection Office (Attn: Grantee Reporting) at (202) 616-9881 (fax).

Additional information is available from the DOJ OIG website at <https://oig.justice.gov/hotline>.

## 18

Restrictions and certifications regarding non-disclosure agreements and related matters

No recipient or subrecipient (subgrantee) under this award, or entity that receives a procurement contract or subcontract with any funds under this award, may require any employee or contractor to sign an internal confidentiality agreement or statement that prohibits or otherwise restricts, or purports to prohibit or restrict, the reporting (in accordance with law) of waste, fraud, or abuse to an investigative or law enforcement representative of a federal department or agency authorized to receive such information.

The foregoing is not intended, and shall not be understood by the agency making this award, to contravene requirements applicable to Standard Form 312 (which relates to classified information), Form 4414 (which relates to sensitive compartmented information), or any other form issued by a federal department or agency governing the nondisclosure of classified information.

1. In accepting this award, the recipient--

a. represents that it neither requires nor has required internal confidentiality agreements or statements from employees or contractors that currently prohibit or otherwise currently restrict (or purport to prohibit or restrict) employees or contractors from reporting waste, fraud, or abuse as described above; and

b. certifies that, if it learns or is notified that it is or has been requiring its employees or contractors to execute agreements or statements that prohibit or otherwise restrict (or purport to prohibit or restrict), reporting of waste, fraud, or abuse as described above, it will immediately stop any further obligations of award funds, will provide prompt written notification to the federal agency making this award, and will resume (or permit resumption of) such obligations only if expressly authorized to do so by that agency.

2. If the recipient does or is authorized under this award to make subawards (subgrants), procurement contracts, or both--

a. it represents that--

(1) it has determined that no other entity that the recipient's application proposes may or will receive award funds (whether through a subaward (subgrant), procurement contract, or subcontract under a procurement contract) either requires or has required internal confidentiality agreements or statements from employees or contractors that currently prohibit or otherwise currently restrict (or purport to prohibit or restrict) employees or contractors from reporting waste, fraud, or abuse as described above; and

(2) it has made appropriate inquiry, or otherwise has an adequate factual basis, to support this representation; and

b. it certifies that, if it learns or is notified that any subrecipient, contractor, or subcontractor entity that receives funds under this award is or has been requiring its employees or contractors to execute agreements or statements that prohibit or otherwise restrict (or purport to prohibit or restrict), reporting of waste, fraud, or abuse as described above, it will immediately stop any further obligations of award funds to or by that entity, will provide prompt written notification to the federal agency making this award, and will resume (or permit resumption of) such obligations only if expressly authorized to do so by that agency.

19

Compliance with 41 U.S.C. 4712 (including prohibitions on reprisal; notice to employees)

The recipient (and any subrecipient at any tier) must comply with, and is subject to, all applicable provisions of 41 U.S.C. 4712, including all applicable provisions that prohibit, under specified circumstances, discrimination against an employee as reprisal for the employee's disclosure of information related to gross mismanagement of a federal grant, a gross waste of federal funds, an abuse of authority relating to a federal grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a federal grant.

The recipient also must inform its employees, in writing (and in the predominant native language of the workforce), of employee rights and remedies under 41 U.S.C. 4712.

Should a question arise as to the applicability of the provisions of 41 U.S.C. 4712 to this award, the recipient is to contact OVW for guidance.

20

Encouragement of policies to ban text messaging while driving

Pursuant to Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving," 74 Fed. Reg. 51225 (October 1, 2009), DOJ encourages recipients and subrecipients (subgrantees) to adopt and enforce policies banning employees from text messaging while driving any vehicle during the course of performing work funded by this award, and to establish workplace safety policies and conduct education, awareness, and other outreach to decrease crashes caused by distracted drivers.

21

Requirement to disclose whether recipient is designated high risk by a federal grant-making agency outside of DOJ

If the recipient is designated high risk by a federal grant-making agency outside of DOJ, currently or at any time during the course of the period of performance under this award, the recipient must disclose that fact and certain related information to OVW by email to [OVW.GFMD@usdoj.gov](mailto:OVW.GFMD@usdoj.gov). For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the recipient's past performance, or other programmatic or financial concerns with the recipient. The recipient's disclosure must include the following: (1) the federal awarding agency that currently designates the recipient high risk; (2) the date the recipient was designated high risk; (3) the high-risk point of contact at that federal awarding agency (name, phone number, and email address); and (4) the reasons for the high-risk status, as set out by the federal awarding agency.

22

Availability of general terms and conditions on OVW website

The recipient agrees to follow the applicable set of general terms and conditions that are available at <https://www.justice.gov/ovw/award-conditions>. These do not supersede any specific conditions in this award document.

## 23

### Compliance with statutory and regulatory requirements

The recipient agrees to comply with all relevant statutory and regulatory requirements, which may include, among other relevant authorities, the Violence Against Women Act of 1994, P.L. 103-322, the Violence Against Women Act of 2000, P.L. 106-386, the Violence Against Women and Department of Justice Reauthorization Act of 2005, P.L. 109-162, the Violence Against Women Reauthorization Act of 2013, P.L. 113-4, the Violence Against Women Act Reauthorization Act of 2022, P.L. 117-103, the Omnibus Crime Control and Safe Streets Act of 1968, 34 U.S.C. 10101 et seq., and OVW's implementing regulations at 28 C.F.R. Part 90.

## 24

### Compliance with solicitation requirements

The recipient agrees that it must be in compliance with requirements outlined in the solicitation under which the approved application was submitted, the applicable Solicitation Companion Guide, and any program-specific frequently asked questions (FAQs) on the OVW website (<https://www.justice.gov/ovw/resources-and-faqs-grantees>). The program solicitation, Companion Guide, and any program-specific FAQs are hereby incorporated by reference into this award.

## 25

### VAWA 2013 nondiscrimination condition

The recipient acknowledges that 34 U.S.C. 12291(b)(13) prohibits recipients of OVW awards from excluding, denying benefits to, or discriminating against any person on the basis of actual or perceived race, color, religion, national origin, sex, gender identity, sexual orientation, or disability in any program or activity funded in whole or in part by OVW. Recipients may provide sex-segregated or sex-specific programming if doing so is necessary to the essential operations of the program, so long as the recipient provides comparable services to those who cannot be provided with the sex-segregated or sex-specific programming. The recipient agrees that it will comply with this provision. The recipient also agrees to ensure that any subrecipients (subgrantees) at any tier will comply with this provision.

## 26

### Misuse of award funds

The recipient understands and agrees that misuse of award funds may result in a range of penalties, including suspension of current and future funds, suspension or debarment from federal grants, recoupment of monies provided under an award, and civil and/or criminal penalties.

## 27

### Limitation on use of funds to approved activities

The recipient agrees that grant funds will be used only for the purposes described in the recipient's application, unless OVW determines that any of these activities are out of scope or unallowable. The recipient must not undertake any work or activities that are not described in the recipient's application, award documents, or approved budget, and must not use staff, equipment, or other goods or services paid for with grant funds for such work or activities, without prior written approval, via Grant Award Modification (GAM), from OVW.

## 28

### Non-supplantation

The recipient agrees that grant funds will be used to supplement, not supplant, non-federal funds that would otherwise be available for the activities under this grant.

29

### Confidentiality and information sharing

The recipient agrees to comply with the provisions of 34 U.S.C. 12291(b)(2), nondisclosure of confidential or private information, which includes creating and maintaining documentation of compliance, such as policies and procedures for release of victim information. The recipient also agrees to comply with the regulations implementing this provision at 28 CFR 90.4(b) and "Frequently Asked Questions (FAQs) on the VAWA Confidentiality Provision (34 U.S.C. 12291(b)(2))" on the OVW website at <https://www.justice.gov/ovw/resources-and-faqs-grantees>. The recipient also agrees to ensure that all subrecipients (subgrantees) at any tier meet these requirements.

30

### Activities that compromise victim safety and recovery or undermine offender accountability

The recipient agrees that grant funds will not support activities that compromise victim safety and recovery or undermine offender accountability, such as: procedures or policies that exclude victims from receiving safe shelter, advocacy services, counseling, and other assistance based on their actual or perceived sex, age, immigration status, race, religion, sexual orientation, gender identity, mental health condition, physical health condition, criminal record, work in the sex industry, or the age and/or sex of their children; procedures or policies that compromise the confidentiality of information and privacy of persons receiving OVW-funded services; procedures or policies that impose requirements on victims in order to receive services (e.g., seek an order of protection, receive counseling, participate in couples' counseling or mediation, report to law enforcement, seek civil or criminal remedies, etc.); procedures or policies that fail to ensure service providers conduct safety planning with victims; project design and budgets that fail to account for the access needs of participants with disabilities and participants who have limited English proficiency or are Deaf or hard of hearing; or any other activities outlined in the solicitation or companion guide under which the application was submitted.

31

### Policy for response to workplace-related incidents of sexual misconduct, domestic violence, and dating violence

The recipient, and any subrecipient at any tier, must have a policy, or issue a policy within 270 days of the award date, to address workplace-related incidents of sexual misconduct, domestic violence, and dating violence involving an employee, volunteer, consultant, or contractor. The details of this requirement are posted on the OVW website at <https://www.justice.gov/ovw/award-conditions> (Award Condition: Policy for response to workplace-related sexual misconduct, domestic violence, and dating violence), and are incorporated by reference here.

32

### Termination or suspension

The Director of OVW, upon a finding that there (1) has been substantial failure by the recipient to comply with applicable laws, regulations, and/or the terms and conditions of the award or relevant solicitation, (2) has been failure by the recipient to make satisfactory progress toward the goals, objectives, or strategies set forth in the application, or (3) have been project changes proposed or implemented by the recipient to the extent that, if originally submitted, the application would not have been selected for funding, will terminate or suspend until the Director is satisfied that there is no longer such failure or changes, all or part of the award, in accordance with the provisions of 28 C.F.R. Part 18, as applicable mutatis mutandis. The federal regulation providing uniform rules for termination of grants and cooperative agreements is 2 C.F.R. 200.340.

33

### Semiannual and final performance progress report submission

The recipient agrees to submit semiannual performance progress reports that describe activities conducted during the reporting period, including program effectiveness measures. Reports must be submitted throughout the project period, even if no funds were spent and no activities were conducted in a given reporting period. Delinquent reports may affect future discretionary award decisions and may lead to suspension and/or termination of the award.

The information that must be collected and reported to OVW can be found in the reporting form associated with the

grant program or initiative under which this award was made. Performance progress reports must be submitted within 30 days after the end of the reporting periods, which are January 1 - June 30 and July 1 - December 31. Recipients are required to submit their reports through the Justice Grants System, unless and until OVW issues updated instructions for report submission. The final report is due 90 days after the end of the project period and should be marked "final" in the Report Type field.

34

#### Quarterly financial status reports

The recipient agrees that it will submit quarterly financial status reports (the SF 425 Federal Financial Report) to OVW in the Justice Grants System, not later than 30 days after the end of each calendar quarter. The final report shall be submitted not later than 90 days following the end of the award period. Delinquent reports may affect future discretionary award decisions and may lead to suspension and/or termination of the award.

35

#### Program income

Program income, as defined by 2 C.F.R. 200.1, means gross income earned by the non-federal entity that is directly generated by a supported activity or earned as a result of the federal award during the period of performance. Without prior approval from OVW, program income must be deducted from total allowable costs to determine the net allowable costs. In order to add program income to the OVW award, the recipient must seek approval from its program manager via a budget modification Grant Award Modification (GAM) prior to generating any program income. Any program income added to the federal award must be used to support activities that were approved in the budget and follow the conditions of the OVW award. Any program income approved via budget modification GAM must be reported in the recipient's quarterly Federal Financial Report SF-425 in accordance with the addition alternative. If the program income amount changes (increases or decreases) during the project period, it must be approved via a budget modification GAM by the end of the project period. If the budget modification is not submitted and approved, it could result in audit findings for the recipient.

36

#### FFATA reporting subawards and executive compensation

The recipient agrees to comply with applicable requirements to report first-tier subawards (subgrants) of \$30,000 or more and, in certain circumstances, to report the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients of award funds. Such data will be submitted to the Federal Funding Accountability and Transparency Act of 2006 (FFATA) Subaward Reporting System (FSRS). The details of recipient obligations, which derive from FFATA, are posted on the OVW website at <https://www.justice.gov/ovw/award-conditions> (Award Condition: Reporting Subawards and Executive Compensation), and are incorporated by reference here.

37

#### Changes to MOU and/or IMOA

The recipient agrees to submit for OVW review and approval any anticipated addition of, removal of, or change in collaborating partner agencies or individuals who are signatories of the Memorandum of Understanding and, if applicable, the Internal Memorandum of Agreement.

38

#### Prior approval of all materials and publications

The recipient agrees to submit for OVW review and approval all materials and publications (written, web-based, audio-visual, or any other format) that are funded under this award. OVW must have not less than 20 days to complete review and approval. The recipient may not distribute or publicly release such materials under this award until OVW has approved them.

39

## Publication disclaimer

The recipient agrees that all materials and publications (written, web-based, audio-visual, or any other format) resulting from award activities shall contain the following statement: "This project was supported by Grant No. \_\_\_\_\_ awarded by the Office on Violence Against Women, U.S. Department of Justice. The opinions, findings, conclusions, and recommendations expressed in this publication/program/exhibition are those of the author(s) and do not necessarily reflect the views of the U.S. Department of Justice." The recipient also agrees to ensure that any subrecipient at any tier will comply with this condition.

## 40

### Copyrighted works

Pursuant to 2 C.F.R. 200.315(b), the recipient may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under this award. OVW reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work, in whole or in part (including in the creation of derivative works), for federal purposes, and to authorize others to do so.

OVW also reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use, in whole or in part (including in the creation of derivative works), any work developed by a subrecipient (subgrantee) of this award, for federal purposes, and to authorize others to do so.

In addition, the recipient (or subrecipient, contractor, or subcontractor of this award at any tier) must obtain advance written approval from the OVW program manager assigned to this award, and must comply with all conditions specified by the program manager in connection with that approval, before: 1) using award funds to purchase ownership of, or a license to use, a copyrighted work; or 2) incorporating any copyrighted work, or portion thereof, into a new work developed under this award.

It is the responsibility of the recipient (and of each subrecipient, contractor, or subcontractor as applicable) to ensure that this condition is included in any subaward, contract, or subcontract under this award.

## 41

### Grantee orientation - mandatory attendance

First-time recipients, or continuation recipients if requested, must agree to have key staff members, as identified by OVW, attend the OVW grantee orientation seminar, which may be offered in-person, online, or a combination of both. Additionally, if there is a change in the project director/coordinator during the grant period, the recipient agrees, at the earliest opportunity, to send the new project director/coordinator, regardless of prior experience with this or any other federal award, to an in-person OVW grantee orientation seminar or require completion of the orientation online, whichever is available.

## 42

### Prior approval for non-OVW sponsored technical assistance

The recipient agrees that funds allocated for OVW-sponsored technical assistance may not be used for any other purpose without prior approval by OVW. To request approval, the recipient must submit a copy of the event's brochure, a curriculum and/or agenda, a description of the hosts or trainers, and an estimated breakdown of costs. The request must be submitted to OVW at least 20 days prior to registering for the event. Requests to attend non-OVW sponsored events will be considered on a case-by-case basis. This prior approval process also applies to requests for the use of OVW-designated technical assistance funds to pay a consultant or contractor not designated as an OVW technical assistance provider to develop and/or provide training and/or technical assistance.

## 43

### Participation in OVW-sponsored technical assistance

The recipient agrees to attend and participate in OVW-sponsored technical assistance. Technical assistance includes, but is not limited to, national and regional conferences, audio conferences, webinars, peer-to-peer consultations, and

workshops conducted by OVW-designated technical assistance providers.

44

Consultant compensation rates

The recipient acknowledges that consultants paid with award funds generally may not be paid at a rate in excess of \$81.25 per hour, not to exceed \$650 per day. To exceed this specified maximum rate, recipients must submit to OVW a detailed justification and have such justification approved by OVW, prior to obligation or expenditure of such funds. Issuance of this award or approval of the award budget alone does not indicate approval of any consultant rate in excess of \$81.25 per hour, not to exceed \$650 per day. Although prior approval is not required for consultant rates below this specified maximum rate, recipients are required to maintain documentation to support all daily or hourly consultant rates.

45

Prohibition on educational and prevention programs focused on alcohol or substance abuse

The recipient agrees that education materials and prevention programs developed with grant funds will not promote alcohol or substance abuse as a primary cause of domestic violence, dating violence, sexual assault, and stalking.

46

Compliance with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act, as amended

The recipient acknowledges that it has a continuing obligation to comply with the requirements of 20 U.S.C. 1092(f) and 34 C.F.R. 668.46.

47

Limitation on use of funds for sexual harassment programming

The recipient agrees that grant funds will be used only to support domestic violence, dating violence, sexual assault, and/or stalking initiatives. Grant funds may not be used to address sexual harassment issues that do not involve domestic violence, dating violence, sexual assault, or stalking.

48

On-line prevention education programming

The recipient agrees that it will not contribute more than 20 percent of the total award amount towards the purchase of an on-line violence against women prevention education module. If the recipient makes such a purchase, the purchased on-line module must include specific information on the campus's policies and protocols, student code of conduct, reporting options, state laws, and local resources including legal, advocacy, medical, mental health, and other victim assistance regarding domestic violence, dating violence, sexual assault, and stalking. The recipient acknowledges that, if an on-line prevention education module, whether developed or purchased, is used to meet the mandatory prevention education minimum requirement, then it must be a component of a larger campus-wide prevention education effort. Additionally, the recipient acknowledges that, if it uses a purchased or developed on-line module, then it must receive prior approval from OVW.

49

Primary focus of funded activities

The recipient agrees that grant funds will not be used for programming (including theater productions) that is not primarily focused on and directly related to domestic violence, dating violence, sexual assault, and stalking.

50

Compliance with minimum requirements and standards

The recipient agrees to follow the statutory minimum requirements for the program pursuant to 34 U.S.C. 20125(d)(3). The recipient must develop and implement its grant project in a manner consistent with the OVW Minimum Standards for coordinated community responses, prevention and education programs, and training for campus personnel, available at <https://www.justice.gov/ovw/resources-and-faqs-grantees#Discretionary>. The recipient must submit documentation of compliance for each minimum requirement.

## 51

### Policy submission, review, and approval

Within 30 days after receipt of the award, the recipient agrees to submit to OVW any current campus policies and procedures that address sexual assault, domestic violence, dating violence, and stalking, including any memoranda of understanding or mutual aid agreements between campus and local law enforcement. The recipient also agrees to submit all campus policies and procedures developed or revised with grant funds for OVW review and approval.

## 52

### Compliance with NEPA and related laws

The recipient understands that all OVW awards are subject to the National Environmental Policy Act (NEPA, 42 U.S.C. 4321 et seq.) and other related federal laws (including the National Historic Preservation Act), if applicable. If the recipient plans to undertake any activity that triggers these requirements, such as renovation (however minor), the recipient agrees to assist OVW in complying with NEPA and related laws. (See 28 C.F.R. Part 61, App. D.) Award funds to be used for such activity will be placed on hold until this process is complete, at which point an Award Condition Modification will be processed to release the hold. The recipient also agrees to comply with all federal, state, and local environmental laws and regulations applicable to the development and implementation of the activities to be funded under this award. The recipient understands that this may include renovations that are recommended by OVW to enhance safe outcomes of a project even when those renovations are supported with funds outside of the OVW award.

## 53

### Requirements for recipients and subrecipients providing legal assistance

The recipient agrees that the legal assistance eligibility requirements, as set forth below, are a continuing obligation on the part of the recipient. The legal assistance eligibility requirements are: (1) any person providing legal assistance through a program funded under this grant program (A)(i) is a licensed attorney or is working under the direct supervision of a licensed attorney, (ii) in immigration proceedings, is a Board of Immigration Appeals accredited representative, (iii) in Veterans' Administration claims, is an accredited representative, or (iv) is any person who functions as an attorney or lay advocate in tribal court; and (B)(i) has demonstrated expertise in providing legal assistance to victims of domestic violence, dating violence, sexual assault, or stalking in the targeted population; or (ii) (1) is partnered with an entity or person that has demonstrated expertise described in clause (i) and (II) has completed or will complete training in connection with domestic violence, dating violence, stalking, or sexual assault and related legal issues, including training on evidence-based risk factors for domestic and dating violence homicide; (2) any training program conducted in satisfaction of the requirement of paragraph (1) has been or will be developed with input from and in collaboration with a tribal, state, territorial, local, or culturally specific domestic violence, dating violence, sexual assault, or stalking victim service provider or coalition, as well as appropriate tribal, state, territorial, and local law enforcement officials; (3) any person or organization providing legal assistance through this grant program has informed and will continue to inform state, local, territorial, or tribal domestic violence, dating violence, stalking, or sexual assault programs and coalitions, as well as appropriate state and local law enforcement officials of their work; and (4) the recipient's organizational policies do not require mediation or counseling involving offenders and victims physically together, in cases where sexual assault, dating violence, domestic violence, stalking, or child sexual abuse is an issue. The recipient also agrees to ensure that any subrecipient (subgrantee) at any tier will comply with this condition.

## 54

### Attorney's fees as program income

The recipient agrees that in the following circumstances attorney's fees may be accepted as program income under 2 C.F.R. 200.307(e)(2) and added to the federal award: (1) fees that are issued by a judge in an OVW-supported case



without the request of the OVW-funded attorney; or (2) fees that are sought by the OVW-funded attorney for the purpose of deterring repeated or abusive filings by the perpetrator of the domestic violence, dating violence, sexual assault, or stalking. In any other circumstances, the recipient must seek approval from its program manager. Any program income added to the federal award must be used to support OVW activities that were approved in the budget and follow the conditions of the OVW award. Any program income received through one of the circumstances listed above or approved by the OVW program manager must be reported in the recipient's quarterly Federal Financial Report SF-425 in accordance with the addition alternative. Any program income added to the federal award must also be approved via budget modification Grant Award Modification (GAM) by the end of the project period. If a recipient receives fees that do not fall within one of the circumstances listed above or does not receive prior approval from the OVW program manager, then the resulting program income must be deducted from the OVW award pursuant to 2 C.F.R. 200.307(e)(1) and reported in the recipient's quarterly Federal Financial Report SF-425 in accordance with the deduction alternative.

55

#### Indirect costs

The recipient may not obligate, expend, or draw down any award funds for indirect costs, unless and until either (1) the recipient submits to OVW a current, federally-approved indirect cost rate agreement, or (2) the recipient determines that it is eligible under the Part 200 Uniform Requirements to use the "de minimis" indirect cost rate described in 2 C.F.R. 200.414(f), and advises OVW in writing of both its eligibility and its election.

56

#### Conditional clearance with release of technical assistance and project director funds

The recipient acknowledges that the budget for this award is pending review and approval. Until OVW approves the budget, the recipient may not obligate, expend, or draw down any funds, except up to \$75,000 for participation in or travel-related expenses to attend OVW-sponsored technical assistance events and to hire and support the required full-time project director. Any obligations or expenditures incurred by the recipient prior to the budget being approved are made at the recipient's own risk. If there is another condition on the award prohibiting any obligation, expenditure, and drawdown of any funds, that other condition will control. Remaining funds will not be available for drawdown until OVW's Grants Financial Management Division has approved the budget and budget narrative via a Grant Award Modification (GAM). If applicable, the Indirect Cost Rate will be identified in the GAM when the budget is approved.

[ ]

*I have read and understand the information presented in this section of the Federal Award Instrument.*

## **Award Acceptance**

### **Declaration and Certification to the U.S. Department of Justice as to Acceptance**

By checking the declaration and certification box below, I--

A. Declare to the U.S. Department of Justice (DOJ), under penalty of perjury, that I have authority to make this declaration and certification on behalf of the applicant.

B. Certify to DOJ, under penalty of perjury, on behalf of myself and the applicant, to the best of my knowledge and belief, that the following are true as of the date of this award acceptance: (1) I have conducted or there was conducted (including by applicant's legal counsel as appropriate and made available to me) a diligent review of all terms and conditions of, and all supporting materials submitted in connection with, this award, including any assurances and certifications (including anything submitted in connection therewith by a person on behalf of the applicant before, after, or at the time of the application submission and any materials that accompany this acceptance and certification); and (2) I have the legal authority to accept this award on behalf of the applicant.

C. Accept this award on behalf of the applicant.

D. Declare the following to DOJ, under penalty of perjury, on behalf of myself and the applicant: (1) I understand that, in taking (or not taking) any action pursuant to this declaration and certification, DOJ will rely upon this declaration and certification as a material representation; and (2) I understand that any materially false, fictitious, or fraudulent information or statement in this declaration and certification (or concealment or omission of a material fact as to either) may be the subject of criminal prosecution (including under 18 U.S.C. §§ 1001 and/or 1621, and/or 34 U.S.C. §§ 10271-10273), and also may subject me and the applicant to civil penalties and administrative remedies under the federal False Claims Act (including under 31 U.S.C. §§ 3729-3730 and/or §§ 3801-3812) or otherwise.

**Agency Approval**

**Title of Approving Official**  
Director

**Name of Approving Official**  
ROSEMARIE HIDALGO

**Signed Date And Time**  
9/23/23 4:20 PM

**Authorized Representative**

**Entity Acceptance**

**Title of Authorized Entity Official**  
Vice Chancellor for Research

**Signed Date And Time**



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**SUBRECIPIENT AGREEMENT\***

**AGREEMENT BETWEEN Supreme Rice, LLC  
AND Southern University and A&M College FOR  
Climate- Smart Commodities Federal Grant No.  
NR233A750004G039**

**THIS AGREEMENT is entered this \_\_\_\_\_ day of October 2023 by and between Supreme Rice, LLC (the “Grantee”) and Southern University and A&M College (the “Subrecipient”).**

**I. RECITALS**

**WHEREAS**, Pursuant to Section 2 of federal funds55, the Act of August 17, 1961 (15 U.S.C. 713a-11), and the Federal Register Notice dated March 16, 2021, FR Doc. 2021-21368 Filed 9-29-21; 8:45 am has awarded \$45 million dollars in federal funds to the Grantee for activities authorized under the Natural Resource Conservation Services (NRCS) to support the development of markets and production of agricultural commodities using agricultural (farming, ranching, or forestry) production practices that reduce greenhouse gas emissions or sequester carbon and described in the Grantee’s Action Plan (the “Action Plan”); and

**WHEREAS**, the Grantee wishes to engage the Subrecipient to assist the Grantee in utilizing such funds to carry out a part of the Grantee’s Federal award by committing \$611,537.60 of the Grantee’s Federal award, pursuant to this Subrecipient Agreement will be reference “Agreement” for the remainder of this contract”); and

**WHEREAS**, the United States Department of Agriculture funds made available for use by the Subrecipient under this Agreement constitute a subaward of the Grantee’s Federal award, the use of which must be in accordance with requirements imposed by Federal statutes, regulations, and the terms and conditions of the Grantee’s Federal award; and

**WHEREAS**, THE SUBRECIPIENT is to develop a platform, the grower portal, in which growers will be able to submit field boundaries and irrigation records, upload AWD (Alternate Wetting and Drying) documentation data, and will employ automated intelligence to verify AWD practices actually occurred in enrolled fields (accurate geographic location). This platform will also pull data directly from in-field sensors for verification of practices. End-of-season reports will be generated using Subrecipient’s grower portal to quantify Grantee’s Climate- Smart initiative (the “Program”) metrics such as methane emissions reductions, water savings, grower participation, grower benefit, etc. Subrecipient will be responsible for the development, testing, validation, and deployment of the grower portal in collaboration with Grantee and technical consultants. They will also perform subsequent updates, enhancements, and maintenance of software developed and deployed. Subrecipient will also participate in grower training on website use and recordkeeping submission.

**WHEREAS**, the Subrecipient has legal authority to enter this agreement, and the Subrecipient’s governing body has duly adopted GRANT INITIATIVE, authorizing the Subrecipient to enter this agreement with the Grantee, and by signing this agreement, to assure the Grantee that it will comply with all the requirements of the subaward described herein; and

**NOW, THEREFORE**, in consideration of the need for recovery from agricultural commodity that is produced using farming practices that reduce greenhouse gas (GHG) emissions or sequester carbon and the premises and mutual covenants described herein, the parties mutually agree to the terms described in this Agreement.

52

53 **II. GENERAL AWARD INFORMATION**

54

55 The subaward from the Grantee to the Subrecipient, which is described below, is for the purpose of  
 56 carrying out a portion of a Federal award described in section I of this agreement and creates a Federal  
 57 assistance relationship with the Subrecipient. This agreement must be updated to reflect any changes to  
 58 the federal award and the following award information:

59

60 **Contact information:**

61

62 **GRANTEE** provides the following addresses as the *primary point of contact* in respect to any  
 63 notice which may arise out of or in connection with this Subaward:

64

Name and Title:	Lacye Hamilton, Grant Administrator
Organization:	Supreme Rice, LLC
Street Name and Number:	Address: 530 W MILL ST
City, State and Zip:	CROWLEY LA 70526-5509
Parish/County:	Acadia
Telephone Number:	337.783.9777
E-Mail Address:	<a href="mailto:Lacye.hamilton@supremerice.com">Lacye.hamilton@supremerice.com</a>

65

66 The **Subrecipient** provides the following as the *primary point of contact* in respect to any notice  
 67 that may arise out of or in connection with this Subaward:

68

Name and Title:	Dr. Sudhir Trivedi, Professor
Organization:	Southern University and A&M College
Street Name and Number:	P.O. Box 9221
City, State and Zip:	Baton Rouge, LA 70813
Parish/County:	East Baton Rouge Parish
Telephone Number:	225.771.4385
Email Address	sudhir_trivedi@subr.edu

69

70 **Federal Award Identification Number:** NR233A750004G03971 **USDA Grant Opportunity Name:** Partnership for Climate-Smart Commodities72 **Federal Award Date:** May 08, 2023

73 **Federal award project description:** The objectives of this project are to support the production  
 74 and marketing of climate-smart commodities by providing voluntary incentives to producers and  
 75 landowners, including early adopters, to implement climate-smart agricultural production  
 76 practices, activities, and systems on working lands; measure/quantify, monitor and verify the

77 carbon and greenhouse gas (GHG) benefits associated with those practices; and develop markets  
78 and promote the resulting climate-smart commodities.

79 **Subaward Period of Performance:** Immediately upon execution of signed agreement to April 28,  
80 2028.

81 **Total Amount of Federal Funds Committed to the Subrecipient by the Grantee:** \$611,537.60.

82

83 **III. SCOPE OF SERVICE**

84

85 **A. Eligible Use of Funds**

86 As a condition of receiving this subaward, the Subrecipient shall administer the USDA  
87 Partnerships for Climate-Smart Commodities grant project, which includes performing all the  
88 work described in this section. The Subrecipient shall complete the activities in a manner  
89 satisfactory to the Grantee and consistent with the terms of conditions of this agreement and  
90 applicable Federal statutes and regulations.

91

92 **B. Prohibited Activities**

93 The Subrecipient may only carry out the activities described in this agreement. The Subrecipient  
94 is prohibited from charging to the subaward the costs of ineligible activities, including those  
95 described at 2 CFR 200.31, and from using funds provided herein or personnel employed in the  
96 administration of activities under this agreement for political activities, inherently religious  
97 activities, or lobbying.

98

99 **C. Program Delivery**

100

101 **Activity #1** Provide for the development, testing, validation, and deployment of customized  
102 automated software for the purpose of quantification and verification of AWD  
103 data. Growers will be able to submit records for verifications.

104

105 **Activity #2** Provide for subsequent updates, enhancement, and maintenance of software  
106 developed and deployed in step (1)

107

108 **Activity #3** Participate in general program outreach and training. General program and outreach  
109 will primarily occur pre-season. The Grantee Management Team in partnership  
110 with Subrecipient and other partners will host a yearly series of pre-season  
111 meetings of growers to educate program participants about their responsibilities  
112 relative to AWD practices, recordkeeping, and the use of a water level sensor (if  
113 applicable).

114

115 **Activity #4** Participate in pre-season and in-season training. As the developer of the web-based  
116 verification portal for this program, Subrecipient Team will train growers on website use and  
117 recordkeeping submission.

118

119 **Activity #5** Interact with Grantee and, if necessary, with other partners for the purpose of  
120 planning and assessment activities relative to steps (1) thru (4).

121

122 **D. General Administration of Subaward**

123

124 **a) Levels of Accomplishment –Performance Goals and Timelines**

125

126 The Subrecipient shall complete the activities required under this agreement in accordance with  
127 the following timeframes and performance goals associated with each of the activities:

128

129 **Activity      Performance Goal      Timeframe for Completion of Performance Goal**

130

131 Activity #1      January 31, 2024

132 Activity #2      CONTINIOUSLY, as needed.

133 Activity #3      February 1, 2024. Supreme reserves the right to modify this date according to  
134 project progression.

135 Activity #4      February 1, 2024. Supreme reserves the right to modify this date according to  
136 project progression. This will also be an ongoing and continuous implementation.

137 Activity #5      CONTINIOUSLY, as needed.

138

139 **b) Staffing**

140

141 The Subrecipient shall supervise and direct the completion of all activities under this agreement.  
142 Any changes in the Key Personnel assigned or their responsibilities under the activities are  
143 subject to the prior approval of the Grantee.

144

145 **IV. PERFORMANCE MONITORING & REPORTING**146 **A. Monitoring**

147

148 The Grantee shall monitor the performance of the Subrecipient as necessary and in accordance  
149 with regulations on Subrecipient Monitoring and Management, 2 CFR 200.330 – 2 CFR  
150 200.332, to ensure Subrecipient compliance with all the requirements of this agreement,  
151 including the timeframes and performance goals associated with the activities. **The Statement of  
152 Work (SOW) performance determined the scope of the duties to be executed and the obligations  
153 for performance.** If there is a failure to perform the obligations in accordance with the Statement  
154 of Work, the agreement between the Grantee and the Subrecipient will breach. If action to correct  
155 such Statement of Work performance is not taken by the Subrecipient within **21** days after being  
156 notified by the Grantee, the Grantee may impose additional conditions on the Subrecipient and  
157 its use of USDA funds consistent with 2 CFR 200.207, suspend or terminate this agreement, or  
158 initiate other remedies for noncompliance as appropriate and permitted under 2 CFR 200.338.

159

160 As a part of its ongoing monitoring process, GRANTEE will evaluate Subrecipient progress and  
161 project goal attainment based on monthly reports prepared by Subrecipient and submitted to  
162 GRANTEE, as well as through regular meetings and/or ongoing discussions with Subrecipient  
163 project staff.

164

165

166 In addition, GRANTEE reserves the right to request and conduct an onsite visit as part of its  
 167 monitoring plan. In the event an onsite visit is requested, the GRANTEE will inform the  
 168 Subrecipient in writing, at least two weeks prior to the visit, of the date of the visit, the purpose  
 169 of the visit, the program being monitored, the name of the GRANTEE staff member conducting  
 170 the visit, and the areas or files to be reviewed. Subrecipient shall adhere to any monitoring and  
 171 evaluation plans developed and specifically required by the GRANTEE as a result of all  
 172 monitoring activities.

173  
 174  
 175 GRANTEE reserves the right to require additional monitoring and evaluation measures to ensure  
 176 that the Subrecipient fulfills the identified project goals and objectives and/or addresses any  
 177 findings revealed during monitoring.

178  
 179  
 180 GRANTEE reserves the right to terminate this Subaward Agreement if subrecipient is unwilling  
 181 or unable to achieve and/or complete any portion of or all project goals, or if the Subrecipient  
 182 refuses to cooperate with GRANTEE monitoring requests.

183  
 184  
 185 If action to correct the Statement of Work performance revealed during monitoring is not taken  
 186 by the Subrecipient within a reasonable period of 21 days after being notified by the GRANTEE,  
 187 Subaward suspension or termination measures may be initiated.

188  
 189 **B. Reporting**

190  
 191 **a) Financial Reporting**

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 193  
 194 Subrecipient shall submit financial documents on a monthly basis throughout the project period,  
 195 according to the timetable below:

196  
 197  
 198 a. Subrecipient shall maintain adequate records that clearly support the charges and  
 199 expenditures incurred under this project. If requested by GRANTEE, Subrecipient may  
 200 be required to send the supporting documentation to support claims made on the  
 201 Financial Report. GRANTEE may, at its discretion, request modification of any invoice  
 202 or report when unallowable expenditures are incurred or charged to the Subaward, amend  
 203 the schedule for reporting requirements, and/or require additional supporting  
 204 documentation from the Subrecipient as necessary.

205  
 206  
 207 b. Subrecipient shall prepare financial reports on a Quarterly basis throughout the project  
 208 period, according to the timetable below:

209  
 210

Financial Reporting Period	Due Date to GRANTEE
January 1 – March 31.	April 15
April 1 – June 30	July 15
July 1 – September 30	October 15
October 1 – December 31	January 15

211  
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Financial reports shall include at a minimum the following information:

- a. Expense detail for period (for cost reimbursement arrangements, this amount must equal the payment claim amount);
- b. An accounting of year-to-date expenses, indicating cumulative *actuals versus budget*.



- 218 c. Supporting documentation, upon request
- 219 d. A final financial report under this Subaward must be provided to GRANTEE no
- 220 later than **April 1, 2029**.

221  
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224

**b) Programmatic Reporting**

225 Subrecipient shall prepare written programmatic reports on a quarterly basis throughout the  
226 project period, according to the timetable below:

227  
228

Narrative Reporting Period	Due Date to GRANTEE
January 1 – March 31.	April 15
April 1 – June 30	July 15
July 1 – September 30	October 15
October 1 – December 31	January 15

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Programmatic reports should include the following information:

- a) Major activities, program highlights, and accomplishments during this period.
- b) Challenges faced and issues encountered, including any deviations or departures from the original project plan.
- c) Corrective action planned to resolve implementation problems and the effect of these problems on the
- d) remaining schedule for achieving the project goals.
- e) Significant findings and events.
- f) Planned activities for the following quarter.
- g) Administrative and logistical changes or constraints.

250 A final programmatic report under this Subaward must be provided to GRANTEE no later than  
251 **April 1, 2029**.

252 All required reports should be submitted to the GRANTEE Executive Director, or his/her designee,  
253 Lacye Hamilton, according to the timetables indicated in this Agreement.

254 The GRANTEE may, at its discretion, require other programmatic reports from Subrecipient.

**V. PERIOD OF PERFORMANCE AND TERM**

256 The period of performance for Subrecipient, meaning the time during which the Subrecipient may  
257 incur new obligations to carry out activities under this agreement, shall start Immediately upon  
258 execution of signed agreement to April 28, 2028.

259 **Extension:** Grant award was executed after the original proposed start date, necessitating the  
 260 submission of an extension request to prolong the project for an additional growth season beyond  
 261 the original deadline of April 28, 2028. This extension is essential to adhere to the originally  
 262 specified duration of five growth seasons, as initially outlined in the grant application. As such, all  
 263 subaward participants are required to actively participate in the fifth growth season, scheduled to  
 264 take place after the originally intended conclusion on April 28, 2029. An updated end date will be  
 265 formally communicated well in advance of the deadline.

266 Southern University and A&M College Computer Science Department- Led by Dr. Sudhir Trivedi,  
 267 Subrecipient will develop a web-based automated quantification and verification systems for  
 268 program activities. Dr. Trivedi and a team of approximately 8 undergrad and graduate students per  
 269 year (2-3 students per semester) will be responsible for the grower platform construction and  
 270 maintenance. They will develop a platform, the grower portal, in which growers will be able to  
 271 submit field boundaries and irrigation records, upload AWD documentation data, and will employ  
 272 automated intelligence to verify AWD practices actually occurred in enrolled fields (accurate  
 273 geographic location). This platform will also pull data directly from in-field sensors for  
 274 verification of practices. End-of-season reports will be generated using Subrecipient's grower  
 275 portal to quantify Program metrics such as methane emissions reductions, water savings, grower  
 276 participation, grower benefit, etc for use of Grantee reporting ONLY.

277 Subrecipient will be responsible for the development, testing, validation, and deployment of the  
 278 grower portal in collaboration with Grantee and technical consultants. They will also perform  
 279 subsequent updates, enhancements, and maintenance of software developed and deployed.  
 280 Subrecipient will also participate in grower training on website use and recordkeeping submission.

281 Specific products will be determined once project planning sessions are initiated. The project will  
 282 require use of a webserver, hardware, and software. These may vary to meet the requirements of  
 283 the project and the expense will not exceed the approved funding amount as specified in this  
 284 agreement.

285 **A brief description of necessary hardware and software support is as follows:**

286 Subrecipient will need a high-end webserver, cloud services, software, and hardware to perform  
 287 duties outlined in the Statement of Work. The cost of these services is contingent upon the number  
 288 of users, computational capacity, storage capacity, reporting tools, and duration of the usage of the  
 289 cloud services. The amount and frequency of data sent by sensors, the number of images that  
 290 uploaded, and other elements will be taken into account when determining the computational  
 291 power and storage requirements.

292 Subrecipient uses the term "Participant Support" to categorize graduate and undergraduate student  
 293 stipends. Subrecipient's use of the term does not include subsistence allowances, travel  
 294 allowances, or registration fees paid to or on the behalf of participants or trainees in connection  
 295 with conferences or training projects.

## 296 VI. BUDGET

297 The Subrecipient shall complete all activities in this agreement in accordance with the following  
 298 budget. Any amendments to the budget must be approved in writing by both the Grantee and the  
 299 Subrecipient. The budget reflected in this agreement is reflective of the lifetime of the project and  
 300 funds remaining at the close of each year will roll over into the following year until the program's  
 301 five-year end.

302

303 A. Budget Table

Table 14. Sub-Award 2: Southern University and A&amp;M College Computer Science Department

<b>Personnel</b>				
<u>Title</u>	<u>% of Time Allocated to Project or Hrs/Wk</u>	<u>Duration (Years)</u>	<u>Est. Salaries and Wages/ Year</u>	<u>Funds Requested</u>
Faculty (Dr. Trivedi and Co-Principal Investigator)	25%	5	\$ 31,803.00	\$ 159,015.00
Participant Support (Stipends for Students)	20	5	\$ 55,307.64	\$ 276,538.20
			<b>Personnel Total</b>	<b>\$ 435,553.20</b>
<b>Fringe Benefits</b>				
<u>Personnel Title</u>	<u>% of Salaries &amp; Wages</u>	<u>Est. Salaries and Wages/ Year</u>	<u>Duration (Years)</u>	<u>Funds Requested</u>
Faculty (Dr. Trivedi and Co-Principal Investigator)	28.02%	\$ 31,803.00	5	\$ 44,556.00
			<b>Total Fringe Benefits</b>	<b>\$ 44,556.00</b>
<b>Supplies</b>				
<u>Description</u>	<u>Units</u>	<u>Cost/Unit</u>	<u>Funds Requested</u>	
Hardware and Software Support	1	\$ 10,000.00	\$ 10,000.00	
Hardware and Software Support	1	\$ 10,000.00	\$ 10,000.00	
Hardware and Software Support	1	\$ 10,000.00	\$ 10,000.00	
Hardware and Software Support	1	\$ 10,000.00	\$ 10,000.00	
Hardware and Software Support	1	\$ 10,000.00	\$ 10,000.00	
			<b>Total Supplies</b>	<b>\$ 50,000.00</b>
<b>Sub-Award 2 Direct Costs Total</b>				<b>\$ 530,109.20</b>
<b>Indirect Costs</b>				
<u>Description</u>	<u>Rate</u>	<u>Base</u>	<u>Duration (Years)</u>	<u>Funds Requested</u>
Faculty Wages (Dr. Trivedi and Co-Principal Investigator)	40.00%	\$ 31,803.00	5	\$ 63,606.00

Fringe Benefits	40.00%	\$ 8,911.20	5	\$ 17,822.40
<b>Sub-Award 2 Indirect Costs Total</b>				<b>\$ 81,428.40</b>
<b>Sub-Award 2 Total Project Cost</b>				<b>\$ 611,537.60</b>

304

305

306

307 **VII. PROCUREMENT AND CONTRACTOR OVERSIGHT**

308

309 The Subrecipient shall comply with the procurement standards in 2 CFR §200.318 - §200.326  
310 when procuring property and services under this agreement.

311

312 The Subrecipient shall impose the Subrecipient's obligations under this agreement on its  
313 contractors, specifically or by reference, so that such obligations will be binding upon each of its  
314 contractors.

315

316 The Subrecipient shall maintain oversight of all activities under this agreement and shall ensure  
317 that for any procured contract or agreement, its contractors perform according to the terms and  
318 conditions of the procured contracts or agreements, and the terms and conditions of this agreement.

319

320 Recipients of Federal funds must abide by procurement standards and provisions as defined in 2  
321 CFR Part 215. Subrecipient must seek written approval from Grantee for any expenditure not  
322 included in the approved budget relevant to this agreement.

323

324 All procurement transactions shall be conducted in a manner to provide, to the maximum extent  
325 practical, open, and free competition. The recipient shall be alert to organizational conflict of  
326 interest as well as non-competitive practices among contractors that may restrict or eliminate  
327 competition or otherwise restrain trade. To ensure objective contractor performance and eliminate  
328 unfair competitive advantage, contractors that develop or draft specifications, requirements,  
329 statements of work, invitations for bids and/or requests for proposals shall be excluded from  
330 competing for such procurement. Awards shall be made to the bidder or offer that is bid or offer  
331 is responsive to the solicitation and is most advantageous to the recipient, price, quality, and other  
332 factors considered. Solicitations shall clearly establish all requirements that the bidder or offer  
333 must fulfill for the bid or offer to be evaluated by the recipient.

334

335 All bids or offers may be rejected when it is in the recipients interests to do so. Any expense over  
336 the small purchase threshold of \$500 must undergo a Bidding Process.

337

338 The Subrecipient should seek an approval from GRANTEE for capital expenses, which are not  
339 included in the Subaward budget, worth \$5,000.00 or more. The Subrecipient shall on request  
340 make available to the GRANTEE any pre-award review and procurement documents such as the  
341 Request for Proposal or invitations for bids, independent cost estimates etc., when any of the  
342 following conditions apply:

343 a) Subrecipient failed to comply with the procurement standards.

- 344 b) When procurement is awarded without competition or only one bid or offer is  
345 received in response to a solicitation.
- 346 c) When the procurement which is expected to exceed the small purchase, threshold  
347 specifies a "brand name" product.
- 348 d) The proposal award over the small purchase threshold is awarded to other than the  
349 apparent low bidder under a sealed bid procurement.
- 350 e) A proposed contract modification changes the scope of contract or increases the  
351 contract amount by more than the amount of the small purchase threshold.

352

353 **VIII. PAYMENT**

354 Payment reimbursements can be requested on a quarterly basis. Subrecipient is required to submit  
355 all documentation necessary for payment by within 15 days of the quarterly closing date.

356

357 **IX. REFUND**

358 Subrecipient will be required to submit to GRANTEE within 15 days from the Subaward  
359 completion date all unused funds for forwarding to Federal agency.

360

361 **X. AMENDMENT AND TERMINATION**

362

363 **I. Amendments**

364

365 1.1 The Grantee or Subrecipient may amend this agreement at any time provided that such  
366 amendments make specific reference to this agreement, are approved by the Grantee's governing  
367 body, and are signed in writing by a duly authorized representative of the Grantee and the  
368 Subrecipient. Such amendments shall not invalidate this agreement, nor relieve or release the  
369 Grantee or Subrecipient from its obligations under this agreement. Amendments will generally be  
370 required when any of the following are anticipated: i) revision to the scope or objectives of the  
371 Program, including purpose or beneficiaries; ii) need to extend the availability of Grant Funds; iii)  
372 revision that would result in the need for additional funding; and iv) expenditures on items for  
373 which applicable cost principles require prior approval (see 24 CFR 570.200h for pre-award/pre-  
374 agreement costs).

375 1.2 The Grantee may, in its discretion, amend this agreement to conform with Federal, state, or  
376 local governmental guidelines, policies and available funding amounts, or for other reasons. If  
377 such amendments result in a change in the funding, the scope of services, or schedule of the  
378 activities to be undertaken as part of this agreement, such modifications will be incorporated only  
379 by written amendment signed by both Grantee and Subrecipient.

380

381 **2. Suspension or Termination**

382

383 2.1 The Grantee may terminate this agreement, in whole or in part, upon 21 days' notice,  
384 whenever it determines that the Subrecipient has failed to comply with any term, condition,  
385 requirement, or provision of this agreement. Failure to comply with any terms of this agreement,  
386 include (but are not limited to) the following:

- 387 1. Failure to comply with any of the rules, regulations or provisions referred to herein,  
 388 or such statutes, regulations, executive orders, and USDA guidelines, policies or  
 389 directives as may become applicable at any time;
- 390 2. Failure, for any reason, of the Subrecipient to fulfill in a timely and proper manner  
 391 its obligations under this agreement.
- 392 3. Ineffective or improper use of funds provided under this agreement; or
- 393 4. Submission by the Subrecipient to the Grantee reports that are incorrect or  
 394 incomplete in any material respect.

395 2.2 The Grantee shall promptly notify the Subrecipient, in writing, of its determination and  
 396 the reasons for the termination together with the date on which the termination shall take effect  
 397 and any other notifications required under 2 CFR part 200, subpart D. Upon termination, the  
 398 Grantee retains the right to recover any improper expenditures from the Subrecipient and the  
 399 Subrecipient shall return to the Grantee any improper expenditures no later than thirty (30) days  
 400 after the date of termination. The Grantee may, at its sole discretion, allow Subrecipient to retain  
 401 or be reimbursed for costs reasonably incurred prior to termination, that were not made in  
 402 anticipation of termination and cannot be canceled provided that said costs meet the provisions of  
 403 this agreement, 2 CFR Part 200, Subpart E, Cost Principles, and any other applicable state or  
 404 Federal statutes, regulations, or requirements.

405

406 **XI. OTHER REQUIREMENTS TO COMPLY WITH FEDERAL STATUTES,**  
 407 **REGULATIONS AND THE TERMS AND CONDITIONS OF THE FEDERAL**  
 408 **AWARD**

409

410 **MANDATORY STANDARD PROVISIONS**

411

412 **I. ACCOUNTING, INSPECTION, RECORD RETENTION, AND AUDITING**

413

414 1.1 Subrecipient shall maintain books, records, documents, and other evidence relating to the  
 415 project in accordance with Generally Accepted Accounting Principles (GAAP) to sufficiently  
 416 substantiate expenditures charged to this Subaward, as well as any reported cash or contributions  
 417 in-kind cost share or matching requirement. Accounting records that are supported by  
 418 documentation will at a minimum be adequate to clearly support all transactions incurred under  
 419 the subaward, all cost of the project supplied by other sources, and the overall progress of the  
 420 project.

421 1.2 Subrecipient shall provide GRANTEE, or its duly authorized representative, access to any  
 422 books, documents, papers and records of Subrecipient which are directly pertinent to the specific  
 423 project for the purpose of making audits, examinations, excerpts and transcripts. Records would  
 424 include books of original entry, source documents supporting accounting transactions, the general  
 425 ledger, subsidiary ledgers, personnel and payroll records, time and attendance or time and effort  
 426 reports for personnel charged to the Subaward, cancelled checks, and related documents and  
 427 records.

428 1.3 Federal regulation requires that recipients of federal assistance funds retain financial and  
 429 programmatic records, supporting documents, statistical records, and all other records that are  
 430 required by the terms of a grant, or may reasonably be considered pertinent to a grant, for a **period**  
 431 **of three (3) years** from the date of the final financial statement report that includes expenditures  
 432 from this Subaward. These records may be subject to an audit by the Federal donor agency, Grantee  
 433 and/or their representatives. All records shall be maintained for such longer period, if any, as is  
 434 required to complete an audit, to resolve all questions concerning expenditures unless approval  
 435 has been obtained from Grantee to dispose of the records.

436 1.4 If any litigation, claim, or audit is started before the expiration of the three-year period, the  
437 records shall be retained until litigation, claims or audit findings involving the records has been  
438 resolved.

439 1.5 The Grantee reserves the right to conduct a Subaward project audit (Financial and  
440 Programmatic) every three to six months of the project term. Refusal to participate in an audit  
441 will delay or cancel fund allocations.

442 1.6 The Subrecipient is expected to take reasonable care that systems are in place to ensure  
443 funds expended under this award are used for the purposes described in the sub-award and can be  
444 properly accounted for.

445

## 446 2. PROPERTY

447

448 2.1 Real property acquired by the Subrecipient under this agreement shall be subject to:

449 The Subrecipient shall also comply with the Property Standards at 2 CFR 200.310, 2 CFR 200.312,  
450 2 CFR 200.314 through 2 CFR 200.316. The Subrecipient shall also comply with 2 CFR 200.313  
451 Equipment, except that when the equipment is sold, the proceeds shall be program income, and  
452 equipment not needed by the Subrecipient for activities under this agreement shall be transferred  
453 to the Grantee for its program or shall be retained after compensating the Grantee.”

454 2.2 The Subrecipient shall also comply with the Property Standards in 2 CFR 200.310 through  
455 2 CFR 200.316.

456 2.3 Any property procured through this agreement will remain vested with the Subrecipient,  
457 unless the residual value is greater than or equal to \$5,000, in which case Subrecipient must request  
458 disposition instructions from the Grantee. The Subrecipient may request, in writing, that property  
459 greater than or equal to \$5,000 remain with the Subrecipient, provided that adequate justification  
460 is supplied.

461 2.4 The Subrecipient must take all reasonable actions to protect property purchased through  
462 the Subaward funds from being damaged or stolen. If equipment or supplies are  
463 stolen/damaged, the Subrecipient must report to the Grantee in writing the cause and  
464 circumstances. Grantee reserves the right to hold the Subrecipient responsible.

465 2.5 Subrecipient shall ensure that any related promotional materials will acknowledge  
466 Grantee’s financial contributions with the following statement in the designated acknowledgment  
467 section: “This project was made possible with funding provided by the Grantee.”

468 2.6 The Grantee shall at its discretion have full access to and usage of any materials, in  
469 complete or excerpted form, produced as a result of the funding granted under this Agreement.  
470 Possible uses include publication in Grantee publications, on the Grantee website, and in local and  
471 national events or education tools. Subrecipient shall be accorded acknowledgment for any  
472 materials produced by the Subaward and used by the Grantee.

473

## 474 3. TERMINATION AND SUSPENSION

475

476 3.1 Grantee may suspend or terminate this award at any time, in whole or in part, if and when  
477 it is determined that the Subrecipient has materially failed to comply with the terms and conditions  
478 of the grant.

479 3.2 Grantee may terminate this award at any time if funding is no longer available for the grants  
480 program, or if the federal donor agency unilaterally terminates the program.

481 3.3 In the event of termination and/or suspension of Subaward Agreement, Subrecipient will  
482 be notified in writing by Grantee within 15 days prior to the effective termination or suspension  
483 date. Upon notification, Subrecipient shall take immediate action to minimize all expenditures  
484 against the Subaward.

485 3.4 In the event of termination for non-compliance with the terms of this Agreement, the  
486 Subrecipient may be subject to other legal or administrative remedies, as appropriate.

487 3.5 No expenses can be charged against the grant after the effective date of termination. In the  
488 event of termination, Subrecipient shall submit a final accounting and return to Grantee all unspent  
489 funds provided under the Subaward no later than thirty (30) days after termination.

490 3.6 In the event of withdrawal from or termination of this Subaward Agreement by the  
491 Subrecipient, Subrecipient shall refund all amounts that have been disbursed for purposes which  
492 are or are not in accordance with the terms of this Subaward Agreement.

493 3.7 In the event of suspension, the Subrecipient will return on demand to Grantee any unspent  
494 cash balance. Subrecipient is required to submit a Financial Report as of the date of suspension.  
495 Subrecipient is required to refund all amounts that have been disbursed for purposes that are not  
496 in accordance with the terms of the Subaward Agreement.

497

498 **4. DISPUTES**

499

500 4.1 Grantee Headquarters management staff shall consult with the Federal donor agency to  
501 determine the best course of action regarding any disputes that arise under this Subaward  
502 Agreement.

503 4.2 Subrecipient has the right to appeal to Grantee and shall be given an opportunity to be  
504 heard and to offer evidence in support of its appeal.

505 4.3 Any appeal made under this provision shall be made in writing and addressed to the Grantee.  
506 A copy of the appeal may be provided at the same time to the Federal donor agency Program  
507 Specialist.

508

509 **5. LIMITATION**

510

511 5.1 Grantee and Subrecipient understand and acknowledge that, except as expressly provided  
512 in this Subaward Agreement, there is no other obligation whatsoever to provide additional support  
513 to Subrecipient for the purposes of this or any other project.

514

515 **6. PROHIBITION OF SUPPLANTING**

516

517 6.1 Subrecipient shall use federal funds to supplement existing funds for program activities  
518 and may not replace (supplant) nonfederal funds that have been appropriated for the same purpose.  
519 Violations can result in a range of penalties, including suspension of future funds under this  
520 program, suspension or debarment from federal grants, recoupment of monies provided under this  
521 Agreement, and civil and/or criminal penalties.

522

523



524 **7. INSURANCE AND NON- LIABILITY**

525

526 7.1 The Subrecipient shall maintain all appropriate insurance coverage during the period this  
527 agreement remains in effect.

528 7.2 The Subrecipient shall hold the Grantee harmless for any loss or damage that may occur  
529 during transportation or delivery of project goods or services.

530 7.3 The Subrecipient agrees to release, indemnify, and hold harmless the Grantee, its officers,  
531 directors, employees, agents and its respective heirs, legal representatives, successors and assigns,  
532 from any and all claims, demands, liabilities, expenses (including reasonable attorney's fees and  
533 disbursements, court costs, judgments, settlements and fines) arising out of, resulting from, or in  
534 connection with the performance of this Agreement by the Subrecipient or a partner, agent or client  
535 of the Subrecipient. This paragraph shall survive termination or expiration of this Agreement.

536 7.4 Grantee agrees to indemnify and hold Subrecipient harmless from any and all claims,  
537 losses, debts or judgments, including attorney's fees and costs, if any, for copyright or trademark  
538 infringement in connection with Subrecipient's use of the Grantee approved name and logo in the  
539 performance of this sub-agreement.

540 7.5 Grantee may at any time request the Subrecipient to provide written Proof of Insurance.

541

542 **8. DEBARMENT AND SUSPENSION**

543

544 8.1 By signing this Subaward, the Subrecipient Authorized Official certifies, to the best of  
545 his/her knowledge and belief that neither the Subrecipient nor its principals are presently debarred,  
546 suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation  
547 in this transaction by any federal department or agency, in accordance with 2 CFR 200.213 and 2  
548 CFR 180.

549 8.2 The Subrecipient, as a best practice and in the spirit of due diligence, is within its right to  
550 maintain and may seek records containing identifying information about the Subrecipient and its  
551 representatives in order to demonstrate that it conducted a reasonable search of public information  
552 to determine whether or not the Subrecipient is presently excluded from receiving Federal funds  
553 and is not referenced on the U.S. government *Excluded Parties List Serve*.

554

555 **9. ACCESS TO RECORDS**

556

557 9.1 As required by 2 CFR 200.331(a)(5), the Subrecipient shall permit the Grantee and auditors  
558 to have access to the Subrecipient's records and financial statements as necessary for the Grantee  
559 to meet its audit requirements under the Federal award.

560

561 **10. CLIENT DATA AND OTHER SENSITIVE INFORMATION**

562

563 10.1 The Subrecipient is required to maintain data demonstrating client eligibility for activities  
564 provided under this agreement. Such data may include, but not be limited to, client name, address,  
565 income level or other basis for determining eligibility, and description of activities provided.

566 10.2 The Subrecipient must comply with 2 CFR §200.303 and take reasonable measures to  
567 safeguard protected personally identifiable information, as defined in 2 CFR 200.82, and other  
568 information the Grantee designates as sensitive or the Subrecipient considers sensitive consistent  
569 with applicable Federal, state, local, and tribal laws regarding privacy and obligations of  
570 confidentiality.

571 **11. PUBLICATION**

572

573 11.1 Each Party shall have the right to publish and disseminate information derived from the  
574 performance of work under this Subaward. Subrecipient shall provide PTE with a copy of any  
575 such publication at least thirty (30) days prior to submission for publication in order to review for  
576 confidential information, material which would affect pending patents, and to forward to Federal  
577 Awarding Agency, if applicable. Qualification for authorship shall be in keeping with generally  
578 accepted academic standards.

579 **12. INTELLECTUAL PROPERTY**

580

581 **12.1** The determination of rights in ownership and disposition of inventions resulting from the  
582 performance of the Statement of Work ("Subject Inventions") and the administration of patents  
583 will be in accordance with 2 CFR 200.448 and the terms of this Subaward. Subrecipient agrees to  
584 comply with regulations regarding inventions pursuant to 2 CFR 200.448. Disposition of any  
585 copyrights or any copyrightable material created by Subrecipient in performance of the Statement  
586 of Work will be determined by the policy of the Subrecipient. Any copyrighted materials are  
587 subject to a royalty-free non-exclusive and irrevocable license to the PTE to meet its obligations  
588 under its Federal Award. Any copyrighted materials are subject to a royalty-free non-exclusive and  
589 irrevocable license to the Federal Awarding Agency to reproduce, publish or otherwise use the  
590 copyrighted material and to authorize others to do so for federal purposes. Subrecipient shall own  
591 the data it generates under this Subaward. Subrecipient shall grant to PTE the right to receive  
592 copies of such data and to use data created as provided in the Statement of Work to the extent  
593 required to meet PTE's obligations under its Federal Award. Subrecipient acknowledges the rights  
594 of the Federal Awarding Agency to use such data.

595 **13. CONFIDENTIALITY.**

596

597 13.1 "Confidential Information" shall mean any business or proprietary information provided  
598 by one party to the other and clearly identified and marked as "Confidential" by the transmitting  
599 party at the time of disclosure. If such transmittal occurs orally, the transmitting party will within  
600 thirty (30) days reduce such transmittal to written form, mark and identify it as confidential, and  
601 provide such record to the other party. In the event that a party discloses Confidential Information  
602 to the other during the Project, the receiving party agrees to disclose the Confidential Information  
603 only on a need-to-know basis to its employees, directors or other advisors or representatives who  
604 are subject to confidentiality obligations, to use the Confidential Information only for the purposes  
605 contemplated by this Subaward and to use reasonable efforts to prevent its disclosure to third  
606 parties. However, the receiving party may disclose the Confidential Information if such  
607 information (i) was already in the public domain or becomes publicly available through no  
608 wrongful act of receiving party, (ii) was previously known or developed by the receiving party  
609 without any violation of existing confidentiality obligations, or was known by receiving party prior  
610 to disclosure by disclosing party, as evidenced by tangible records; (iii) is disclosed to the receiving  
611 party by an independent third party who, to the best of the receiving party's knowledge, is not  
612 under an obligation of confidentiality for such

613 **14. CLOSE-OUT**

614

615 14.1 The Subrecipient shall closeout its use of the funds and its obligations under this agreement  
616 by complying with the closeout procedures in 2 CFR § 200.343. Activities during this close-out  
617 period may include, but are not limited to: making final payments, disposing of program assets  
618 (including the return of all unused materials, equipment, unspent cash advances, program income  
619 balances, and accounts receivable to the Grantee), and determining the custodianship of records.

620 14.2 Notwithstanding the terms of 2 CFR 200.343, upon the expiration of this agreement, the  
621 Subrecipient shall transfer to the recipient all real property under the Subrecipient's control that  
622 was acquired or improved in whole or in part with these funds.

623

624 **THE UNDERSIGNED**, as authorized officials on behalf of the parties, have executed this  
625 Contract, which shall be effective as of the date of execution hereof on behalf of the Grantee.

626 GRANTEE

627 By: \_\_\_\_\_  
628 (signature)

629 Name: \_\_\_\_\_

630 Title: \_\_\_\_\_

631 Date: \_\_\_\_\_

632 SUBRECIPIENT

633 By: \_\_\_\_\_  
634 (signature)

635 Name: \_\_\_\_\_

636 Title: \_\_\_\_\_

637 Date: \_\_\_\_\_

## FDP Cost Reimbursement Subaward

**Federal Awarding Agency:** National Science Foundation (NSF)

<b>Pass-Through Entity (PTE):</b> University of Massachusetts Amherst	<b>Subrecipient:</b> SOUTHERN UNIVERSITY AND A&M COLLEGE
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PTE PI: Guoping Zhang	Sub PI: Hang Yin
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PTE Federal Award No: 2328044	Subaward No: 017935-9144
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**Project Title:** FMRG: Eco: Carbon-Inverted Manufacturing of Inverted Cements (CIMIC)

<b>Subaward Budget Period:</b> Start: 01/01/2024      End: 12/31/2027	<b>Amount Funded This Action (USD):</b> \$ 346,168.00
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<b>Estimated Period of Performance:</b> Start: 01/01/2024      End: 12/31/2027	<b>Incrementally Estimated Total (USD):</b> \$ 346,168.00
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### Terms and Conditions

1. PTE hereby awards a cost reimbursable subaward, (as determined by 2 CFR 200.331), to Subrecipient. The Statement of Work and budget for this Subaward are as shown in Attachment 5. In its performance of Subaward work, Subrecipient shall be an independent entity and not an employee or agent of PTE.
2. Subrecipient shall submit invoices not more often than monthly and not less frequently than quarterly for allowable costs incurred. Upon the receipt of proper invoices, the PTE agrees to process payments in accordance with this Subaward and 2 CFR 200.305. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), breakdown by major cost category, Subaward number, and certification, as required in 2 CFR 200.415(a). Invoices that do not reference PTE Subaward number shall be returned to Subrecipient. Invoices and questions concerning invoice receipt or payments shall be directed to the party's **Financial** Contact, shown in Attachment 3A.
3. A final statement of cumulative costs incurred, including cost sharing, marked "FINAL" must be submitted to PTE's **Financial** Contact, as shown in Attachment 3A, not later than 60 days after **the final Budget Period end date**. The final statement of costs shall constitute Subrecipient's final financial report.
4. All payments shall be considered provisional and are subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.
5. Matters concerning the technical performance of this Subaward shall be directed to the appropriate party's Principal Investigator as shown in Attachments 3A and 3B. Technical reports are required as shown in Attachment 4.
6. Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this Subaward, and any changes requiring prior approval, shall be directed to the PTE's **Administrative** Contact and the Subrecipient's **Administrative** Contact shown in Attachments 3A and 3B. Any such change made to this Subaward requires the written approval of each party's Authorized Official as shown in Attachments 3A and 3B.
7. The PTE may issue non-substantive changes to the Budget Period(s) and Budget **Unilaterally**. Unilateral modification shall be considered valid 14 days after receipt unless otherwise indicated by Subrecipient when sent to Subrecipient's **Administrative** Contact, as shown in Attachment 3B.
8. Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.
9. Either party may terminate this Subaward with 30 days written notice. Notwithstanding, if the Awarding Agency terminates the Federal Award, PTE will terminate in accordance with Awarding Agency requirements. PTE notice shall be directed to the **Authorized Official** Contact, and Subrecipient notice shall be directed to the **Authorized Official** Contact as shown in Attachments 3A and 3B. PTE shall pay Subrecipient for termination costs as allowable under Uniform Guidance, 2 CFR 200, or 45 CFR Part 75 Appendix IX, as applicable.
10. By signing this Subaward, including the attachments hereto which are hereby incorporated by reference, Subrecipient certifies that it will perform the Statement of Work in accordance with the terms and conditions of this Subaward and the applicable terms of the Federal Award, including the appropriate Research Terms and Conditions ("RTCs") of the Federal Awarding Agency, as referenced in Attachment 2. The parties further agree that they intend this subaward to comply with all applicable laws, regulations, and requirements.

<p>By an Authorized Official of the PTE:</p> <p style="text-align: right;">_____ Date</p> <p>Name: John Fillio Title: Assistant Director, OPAM</p>	<p>By an Authorized Official of the Subrecipient:</p> <p style="text-align: right;">_____ Date</p> <p>Name: _____ Title: _____</p>
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**Attachment 1**  
**Certifications and Assurances**

Subaward Number:

017935-9144

**Certification Regarding Lobbying (2 CFR 200.450)**

By signing this Subaward, the Subrecipient Authorized Official certifies, to the best of his/her knowledge and belief, that no Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement in accordance with 2 CFR 200.450.

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Subrecipient shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the PTE.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**Debarment, Suspension, and Other Responsibility Matters (2 CFR 200.214 and 2 CFR 180)**

By signing this Subaward, the Subrecipient Authorized Official certifies, to the best of his/her knowledge and belief that neither the Subrecipient nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency, in accordance with 2 CFR 200.213 and 2 CFR 180.

**Audit and Access to Records**

Subrecipient certifies that it will provide PTE with notice of any adverse findings which impact this Subaward. Subrecipient certifies compliance with applicable provisions of 2 CFR 200.501-200.521. If Subrecipient is not required to have a Single Audit as defined by 200.501, Awarding Agency requirements, or the Single Audit Act, then Subrecipient will provide notice of the completion of any required audits and will provide access to such audits upon request. Subrecipient will provide access to records as required by parts 2 CFR 200.337 and 200.338 as applicable.

**Program for Enhancement of Contractor Employee Protections (41 U.S.C 4712)**

Subrecipient is hereby notified that they are required to: inform their employees working on any federal award that they are subject to the whistleblower rights and remedies of the program; inform their employees in writing of employee whistleblower protections under 41 U.S.C §4712 in the predominant native language of the workforce; and include such requirements in any agreement made with a subcontractor or subgrantee.

The Subrecipient shall require that the language of the certifications above in this Attachment 1 be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**Use of Name**

Neither party shall use the other party's name, trademarks, or other logos in any publicity, advertising, or news release without the prior written approval of an authorized representative of that party. The parties agree that each party may use factual information regarding the existence and purpose of the relationship that is the subject of this Subaward for legitimate business purposes, to satisfy any reporting and funding obligations, or as required by applicable law or regulation without written permission from the other party. In any such statement, the relationship of the parties shall be accurately and appropriately described.

**Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment**

Pursuant to 2 CFR 200.216, Subrecipient will not obligate or expend funds received under this Subaward to: (1) procure or obtain; (2) extend or renew a contract to procure or obtain; or (3) enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services (as described in Public Law 115-232, section 889) as a substantial or essential component of any system, or as a critical technology as part of any system.

**Attachment 2**  
**Federal Award Terms and Conditions**

Subaward Number  
**017935-9144**

**Required Data Elements**

The data elements required by Uniform Guidance are incorporated **in the attached Federal Award.**

**This Subaward Is:**

- Research & Development       Subject to FFATA

Awarding Agency Institute (If Applicable)

NATIONAL SCIENCE FOUNDATION		
Federal Award Issue Date	FAIN	Assistance Listing No.
09/13/23	2328044	47.041
Assistance Listing Program Title (ALPT)		
Key Personnel Per NOA		

**General Terms and Conditions**

By signing this Subaward, Subrecipient agrees to the following:

1. To abide by the conditions on activities and restrictions on expenditure of federal funds in appropriations acts that are applicable to this Subaward to the extent those restrictions are pertinent. This includes any recent legislation noted on the Federal Awarding Agency's website:

<https://www.nsf.gov/bfa/dias/policy/>

2. 2 CFR 200 and 2 CFR 2500.

3. The Federal Awarding Agency's grants policy guidance, including addenda in effect as of the beginning date of the period of performance or as amended found at:

<http://www.nsf.gov/bfa/dias/policy/grants.jsp>

4. Research Terms and Conditions, including any Federal Awarding Agency's Specific Requirements found at:

<https://www.nsf.gov/awards/managing/rtc.jsp>

except for the following :

- a. No-cost extensions require the written approval of the PTE. Any requests for a no-cost extension shall be directed to the **Administrative** Contact shown in Attachment 3A, not less than 30 days prior to the desired effective date of the requested change.
- b. Any payment mechanisms and financial reporting requirements described in the applicable Federal Awarding Agency Terms and Conditions and Agency-Specific Requirements are replaced with Terms and Conditions (1) through (4) of this Subaward; and
- c. Any prior approvals are to be sought from the PTE and not the Federal Awarding Agency.
- d. Title to equipment as defined in 2 CFR 200.1 that is purchased or fabricated with research funds or Subrecipient cost sharing funds, as direct costs of the project or program, shall vest in the Subrecipient subject to the conditions specified in 2 CFR 200.313.
- e. Prior approval must be sought for a change in Subrecipient PI or change in Key Personnel (defined as listed on the NOA).

5. Treatment of program income: **Additive**

**Special Terms and Conditions:**

**Data Sharing and Access:**

Subrecipient agrees to comply with the Federal Awarding Agency's data sharing and/or access requirements as reflected in the NOA or the Federal Awarding Agency's standard terms and conditions as referenced in General Terms and Conditions 1-4 above.

**No additional requirements**

**Data Rights:**

Subrecipient grants to PTE the right to use data created in the performance of this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its PTE Federal Award.

**Copyrights:**

**Subrecipient Shall Grant** to PTE an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any copyrights or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its PTE Federal Award.

Subrecipient grants to PTE the right to use any written progress reports and deliverables created under this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its Federal Award.

**Promoting Objectivity in Research (COI):**

Subrecipient must designate herein which entity's Financial Conflicts of Interest policy (COI) will apply: **Subrecipient**

If applying its own COI policy, by execution of this Subaward, **Subrecipient certifies that its policy complies with the requirements of the relevant Federal Awarding Agency as identified herein: NSF - NSF PAPPG Chapter IX.A**

Subrecipient shall report any financial conflict of interest to PTE's Administrative Representative or COI contact, as designated on Attachment 3A. Any financial conflicts of interest identified shall, when applicable, subsequently be reported to Federal Awarding Agency. Such report shall be made before expenditure of funds authorized in this Subaward and within 45 days of any subsequently identified COI.

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**Work Involving Human or Vertebrate Animals (Select Applicable Options)**

No Human or Vertebrate Animals

This section left intentionally blank.

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**Human Subjects Data (Select One)**

Applicable

---

This section left intentionally blank

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**Additional Terms**

**Attachment 3A**  
**Pass-Through Entity (PTE) Contacts**

Subaward Number:  
017935-9144

**PTE Information**

Entity Name: University of Massachusetts Amherst

Legal Address: Office of Research and Engagement  
Venture Way Center, 100 Venture Way, Suite 201  
Hadley MA 01035-9450

Website: www.umass.edu/research/awards

**PTE Contacts**

Central Email: opam@umass.edu

Principal Investigator Name: Guoping Zhang

Email: zhangg@umass.edu Telephone Number: 413-545-3970

Administrative Contact Name: Pamela Lester

Email: plester@umass.edu Telephone Number: 413-545-0442

COI Contact email (if different to above):

Financial Contact Name: Elizabeth Ortiz

Email: rainvoices@admin.umass.edu Telephone Number: 413-545-0806

Email invoices?  Yes  No Invoice email (if different): rainvoices@admin.umass.edu

Authorized Official Name: John Filio

Email: opam@umass.edu Telephone Number: 413-545-0442

**PI Address:**

Civil and Environmental Engineering  
Marston Hall, Room 38  
130 Natural Resources Road  
Amherst, MA 01003

**Administrative Address:**

Office of Post Award Management  
100 Venture Way, Suite 201  
Hadley MA 01035-9450

**Invoice Address:**

Invoices are to be emailed to address noted above



**Attachment 3B**  
Research Subaward Agreement  
Subrecipient Contacts

Subaward Number:  
017935-9144

**Subrecipient Information for FFATA reporting**

Entity's UEI/DUNS Name: SOUTHERN UNIVERSITY AND A&M COLLEGE

EIN No.: [ ] Institution Type:  Other (specify)

UEI / DUNS: [ ] Currently registered in SAM.gov:  Yes  No

Parent UEI / DUNS: [ ] Exempt from reporting executive compensation  Yes  No  
(if no, complete 3B pg2)

**Place of Performance Information for FFATA reporting**

Physical Address, City, State (if U.S.) and Country:  
[ ]

**U.S. Entities only (insert information for Place of Performance):**

Congressional District: [ ] Zip Code+4: [ ] [Zip Code Look-up](#)

**Subrecipient Contacts**

Central Email: [ ]

Website: [ ]

Principal Investigator Name: [ ]

Email: [ ] Telephone Number: [ ]

Administrative Contact Name: [ ]

Email: [ ] Telephone Number: [ ]

Financial Contact Name: [ ]

Email: [ ] Telephone Number: [ ]

Invoice Email: [ ]

Authorized Official Name: [ ]

Email: [ ] Telephone Number: [ ]

**Legal Address:**

[ ]

**Administrative Address:**

[ ]

**Payment Address:**

[ ]

**Attachment 3B-2**  
**Highest Compensated Officers**

Subaward Number:  
017935-9144

**Subrecipient:**

Institution Name: SOUTHERN UNIVERSITY AND A&M COLLEGE  
PI Name: Hang Yin

**Highest Compensated Officers**

The names and total compensation of the five most highly compensated officers of the entity(ies) must be listed if the entity in the preceding fiscal year received 80 percent or more of its annual gross revenues in Federal awards; and \$25,000,000 or more in annual gross revenues from Federal awards; and the public does not have access to this information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. See FFATA § 2(b)(1) Internal Revenue Code of 1986.

Officer 1 Name: \_\_\_\_\_  
Officer 1 Compensation: \_\_\_\_\_  
Officer 2 Name: \_\_\_\_\_  
Officer 2 Compensation: \_\_\_\_\_  
Officer 3 Name: \_\_\_\_\_  
Officer 3 Compensation: \_\_\_\_\_  
Officer 4 Name: \_\_\_\_\_  
Officer 4 Compensation: \_\_\_\_\_  
Officer 5 Name: \_\_\_\_\_  
Officer 5 Compensation: \_\_\_\_\_

**Attachment 4**  
**Reporting and Prior Approval Terms**

Subaward Number:  
017935-9144

Subrecipient agrees to submit the following reports (PTE contacts are identified in Attachment 3A):

**Technical Reports:**

- Monthly technical/progress reports will be submitted to the PTE's  within  days of the end of the month.
- Quarterly technical/progress reports will be submitted within 30 days after the end of each project quarter to the PTE's .
- Annual technical / progress reports will be submitted within  days prior to the end of each budget period to the PTE's . Such report shall also include a detailed budget for the next Budget Period, updated other support for key personnel, certification of appropriate education in the conduct of human subject research of any new key personnel, and annual IRB or IACUC approval, if applicable.
- A Final technical/progress report will be submitted to the PTE's  within  days of the end of the Project Period or after termination of this award, whichever comes first.
- Technical/progress reports on the project as may be required by PTE's  in order for the PTE to satisfy its reporting obligations to the Federal Awarding Agency.

**Prior Approvals:**

Carryover:

**Other Reports:**

- In accordance with 37 CFR 401.14, Subrecipient agrees to notify both the Federal Awarding Agency via iEdison and PTE's  within 60 days after Subrecipient's inventor discloses invention(s) in writing to Subrecipient's personnel responsible for patent matters. The Subrecipient will submit a final invention report using Federal Awarding Agency specific forms to the PTE's  within 60 days of the end of the Project Period to be included as part of the PTE's final invention report to the Federal Awarding Agency.  
A negative report is required:
- Property Inventory Report (only when required by Federal Awarding Agency), specific requirements below.

**Additional Technical and Reporting Requirements:**

**Attachment 5**  
**Statement of Work, Cost Sharing, Indirects & Budget**

Subaward Number:

017935-9144

**Statement of Work**

Below  Attached,  pages

If award is FFATA eligible and SOW exceeds 4000 characters, include a *Subrecipient Federal Award Project Description*

**Budget Information**

<b>Indirect Information</b> Indirect Cost Rate (IDC) Applied <input type="text" value="40.0"/> % Rate Type: <input type="text" value="Modified Total Direct Costs"/>	<b>Cost Sharing</b> <input type="text" value="No"/> If Yes, include Amount: \$ <input type="text"/>
---	--

**Budget Details**  Below  Attached,  pages

**Budget Totals**

Direct Costs	\$ <input type="text" value="253,728.00"/>
Indirect Costs	\$ <input type="text" value="92,440.00"/>
<b>Total Costs</b>	<b>\$ <input type="text" value="346,168.00"/></b>

*All amounts are in United States Dollars*

Office of Pre-Award Services

413-545-0699

pre-award@research.umass.edu

Form must be completed and signed by authorized signatory before a subcontract will be issued

PROPOSAL INFORMATION		
UMass Amherst Principal Investigator	Guoping Zhang	PI Department Civil and Environmental Engineering
Prime Sponsor	NSF	<input type="radio"/> NIH Prime <input checked="" type="radio"/> NSF Prime <input type="radio"/> Other Federal Sponsor <input type="radio"/> Non-Federal Sponsor
Proposal Title FMRG: ECO: Carbon-Inverted Manufacturing of Inverted Cements (CIMIC)		
Period of Performance (Months)	48	Performance Start 01/01/2024 Performance End 12/31/2027

**SUBAWARD PROPOSAL INFORMATION**

Subrecipient Legal Name (must match registered name in SAM): Southern University and A&M College			
EIN	1-726000817-A1	UEI	H7CJA7NX9WN3 DUNS 05-351-5743 Congressional District LA-002
Legal Address Southern University and A&M College, 801 Harding Blvd			
City	Baton Rouge	State	LA Country 70813 ZIP + 4 0000
Performance Site <input type="checkbox"/> Same as legal address PBS Hall, Southern University and A&M College			
Contact Information			
Subrecipient Principal Investigator	Hang Yin	Subrecipient Financial Contact (Institutional Level):	Benjamin Pugh Authorized Signatory - Awards (Institutional Level): Michael A. Stubblefield
Title:	Associate Professor	Title:	Vice Chancellor for Finance and Administration Vice Chancellor for Research
Phone:	(225)771-3790	Phone:	(225) 771-5021 (225) 771-3890
Email:	hang_yin@subr.edu	Email:	Benjamin_Pugh@subr.edu Michael_Stubblefield@subr.edu

Budget Information				
Direct Costs	253,726	Indirect Costs	92,440	F&A Rate 40% F&A Base 231,102 Cost Share Amount
<b>Facilities &amp; Administrative Rates</b> <input checked="" type="checkbox"/> Rates are consistent with our federally negotiated rates. Include link below: <a href="https://www.subr.edu/assets/">https://www.subr.edu/assets/</a> <input type="checkbox"/> 10% De minimis MTDC rate (permitted for institutions or organizations without a federally negotiated indirect cost rate agreement) <input type="checkbox"/> Indirect costs are not separately requested as costs are fully burdened. Provide documentation of approval (e.g. GSA rates or other published organizational document) <input type="checkbox"/> A reduced F&A rate dictated by the prime sponsor published guidance		<b>Fringe Benefit Rates</b> <input checked="" type="checkbox"/> Rates are consistent with our federally negotiated rates. Include link below: <a href="chrome-extension://efaidnbmnnnib">chrome-extension://efaidnbmnnnib</a> <input type="checkbox"/> Other rates (include explanation or link below) <input type="checkbox"/> Fringe Benefits are not separately requested as costs are fully burdened.		<b>Cost Sharing</b> <input type="checkbox"/> Required (Involuntary, must be tracked and reported) (% or amount required) <input checked="" type="checkbox"/> Not Required (If voluntarily committed, must be tracked and reported) <input type="checkbox"/> Not applicable
An explanation of Cost Sharing sources must be included in the subrecipient's budget. Please note that an annual verification of cost share commitment will be required. If federal funding is involved, cost sharing commitment must be in accordance with Uniform Guidance 2 CRF §200.306.				

COMPLIANCE INFORMATION		
Human Subjects <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	Animal Subjects <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	Export Control <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
<input type="checkbox"/> Human Subjects Approval Pending IRB Approval Date _____ Date of Determination of Exemption _____ Federal-wide Assurance Number (FWA) # _____	<input type="checkbox"/> IACUC Approval Pending IACUC Approval Date: _____ IACUC number: _____ PHS/OLAW Animal Welfare Assurance # _____	Documentation of IRB and/or IACUC approval will be required before a subaward can be issued. Please forward IRB and/or IACUC approval to UMass Amherst Office of Post-Award Management, opam@umass.edu

**PROPOSAL DOCUMENT CHECKLIST**

The following documents are included in our sub award proposal submission and covered by the certifications below:

<input checked="" type="checkbox"/> STATEMENT OF WORK	<b>KEY PERSON FORM</b> <b>NSF CURRENT AND PENDING (OTHER) SUPPORT</b> <b>UMASS AMHERST SUBRECIPIENT FORM</b>
<input checked="" type="checkbox"/> BUDGET	
<input checked="" type="checkbox"/> BUDGET JUSTIFICATION	
<input checked="" type="checkbox"/> BIOSKETCHES FOR ALL KEY PERSONNEL	
<input checked="" type="checkbox"/> LETTER OF COMMITMENT/COLLABORATION	
<input type="checkbox"/> OFFICIAL RATE DOCUMENTS (e.g. NICRA)	
<input checked="" type="checkbox"/> OTHER:	

**SUBRECIPIENT INSTITUTIONAL INFORMATION**

Institution Type <i>choose one from each</i>	Experience Level
<input checked="" type="checkbox"/> U.S.-Based	<input type="checkbox"/> First time as a subrecipient organization
<input type="checkbox"/> Non-U.S. Based	<input checked="" type="checkbox"/> Subrecipient organization is currently in receipt of federal funding or has received federal funding in the past
<input type="checkbox"/> Educational	<b>How experienced is your institution with managing federal funding?</b>
<input checked="" type="checkbox"/> HBCU	<input type="checkbox"/> Start Up (less than 1 year experience)
<input type="checkbox"/> Large Business	<input type="checkbox"/> Limited (1-4 years)
<input type="checkbox"/> Small Business	<input type="checkbox"/> Some (5-9 years)
<input type="checkbox"/> Small Disadvantaged Business	<input checked="" type="checkbox"/> Very (10+ years)
<input type="checkbox"/> Non-profit	<input checked="" type="checkbox"/> Member of Federal Demonstration Partnership (FDP Members may skip to page 4)
<div style="border: 1px solid black; padding: 5px; display: inline-block; margin: 0 auto;"> <b>FDP Members may Skip to Page 4</b> </div>	

In order to comply with federal audit requirements and internal risk assessment processes, we request that all questions be completed in the following sections. Members of the Federal Demonstration Partnership Expanded Clearinghouse (<https://fdpclearinghouse.org/>) may provide a pdf of their complete profile materials instead.

**REGISTRATIONS**

Subrecipient currently registered in the System for Award Management (SAM)? ([www.sam.gov](http://www.sam.gov))  YES  NO  
 SAM Expiration Date: 12/16/2023

If **NO** and IF the overall sponsor is prime federal, Subrecipients must register with SAM.gov to obtain a Universal Entity Identifier (UEI). Completing the on-line registration takes approximately one hour to complete and SAM approval will take 3-5 business days.

**CONFLICT OF INTEREST AND ETHICS**

**Conflict of Interest (COI) Policy confirmation**

Subrecipient certifies it has and will follow the Conflict of Interest policy established and enforced by its compliance office or equivalent. Subrecipient also certifies that (1) all financial disclosures have been made, if applicable, related to the activities that may be funded by or through a resulting agreement, and required by its Conflict of Interest policy; and (2) if present, all identified conflicts of interest have or will have been satisfactorily managed, reduced, or eliminated in accordance with subrecipient's Conflict of Interest policy prior to the expenditures of any funds under any resultant agreement.

Subrecipient does not have an active and/or enforced Conflict of Interest policy and agrees to adopt and implement a policy prior to execution of a subaward agreement.

**PHS Financial Conflict of Interest (or other sponsors that have adopted the PHS FCOI requirements):**

Subrecipient Organization/Institution certifies that it has an active and enforced conflict of interest policy that is consistent with the provision of 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research" and 45 CFR Part 94 "Responsible Prospective Contractors." Subrecipient also certifies that, to the best of Institution's knowledge, (1) all financial disclosures will be made related to the activities that may be funded by or through a resulting agreement, and required by its conflict of interest policy, and (2) all identified conflicts of interest have or will have been satisfactorily managed, reduced or eliminated in accordance with subrecipient's conflict of interest policy prior to the expenditures of any funds under any resultant agreement and within a timely manner sufficient to enable timely FCOI reporting.

Subrecipient does not have an active and/or enforced conflict of interest policy and hereby agrees to abide by UMass's policy and related procedures at <https://www.umass.edu/research/policy/umass-coi-policy-nsf-and-other-federal-agencies>

If PHS prime (NIH, etc.), Subrecipient certifies that the required FCOI training will be completed by each investigator prior to engaging in any research related to any PHS funded contract/grant.

Not applicable, as this project is not funded by PHS or any other sponsor that has adopted these financial disclosure requirements.

**Ethics in Research Training (NSF and NIH)**

Subrecipient organization/institution hereby certifies that it will ensure that all undergraduates, graduate students, and postdoctoral researchers who will be supported by this proposal will be trained on the oversight in the responsible and ethical conduct of research.

**UMASS AMHERST SUBRECIPIENT FORM**

DEBARMENT OR SUSPENSION HISTORY	
<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	Has Subrecipient organization had a contract, grant and/or agreement terminated for cause or material breach?
<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO <i>(If YES, please explain in COMMENTS Section.)</i>	Is the PI or any other employee or student participating in this project, debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance programs or activities?
If NO, the Organization certifies that:	1. They <input type="checkbox"/> ARE <input checked="" type="checkbox"/> ARE NOT presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts. 2. They <input type="checkbox"/> ARE <input checked="" type="checkbox"/> ARE NOT presently indicted for, or otherwise criminally or civilly charged by a government agency. 3. They <input type="checkbox"/> HAVE <input checked="" type="checkbox"/> HAVE NOT within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency. 4. They <input type="checkbox"/> HAVE <input checked="" type="checkbox"/> HAVE NOT within three (3) years preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commissions of contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements or receiving stolen property
COMMENTS	
AUDIT STATUS	
<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	Was the Subrecipient required to conduct an annual audit in accordance with the <u>Single Audit Act</u> or Uniform Guidance 2 CFR §200.501 for the most recent Audit year?
If YES, Attach a complete copy of Subrecipient's most recent Single Audit report OR provide the URL for a complete copy:	
If NO, indicate why not:	
	<input type="checkbox"/> The organization is a non-profit that expended less than \$750,000 in U.S. federal funds during our previous fiscal year. <input type="checkbox"/> The organization is a for-profit entity. <input type="checkbox"/> The organization is not a U.S. based entity
Attach a complete copy of Subrecipient's most recent fiscal year audit report for the organization including independent auditor's letters OR provide the URL for a complete copy: <a href="chrome-extension://efaidnbmnnnibpcajpcglclefindmkaj/https://app.lla.state.ma.us/publicreports.nsf/0/f52a40c08228ef5186258870004e3897/\$file/00027409.pdf?openelement&amp;.7773098">chrome-extension://efaidnbmnnnibpcajpcglclefindmkaj/https://app.lla.state.ma.us/publicreports.nsf/0/f52a40c08228ef5186258870004e3897/\$file/00027409.pdf?openelement&amp;.7773098</a>	
Most recent fiscal year completed:	FY End date: 06/30/2021
<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	Were there any audit findings reported?  If Yes, please submit a copy the most recent report that describes the findings, the steps to be taken to correct the findings, and an update on corrective actions taken on any of the findings. Summarize below:  <a href="chrome-extension://efaidnbmnnnibpcajpcglclefindmkaj/https://app.lla.state.ma.us/publicreports.nsf/0/f52a40c08228ef5186258870004e3897/\$file/00027409.pdf?openelement&amp;.7773098">chrome-extension://efaidnbmnnnibpcajpcglclefindmkaj/https://app.lla.state.ma.us/publicreports.nsf/0/f52a40c08228ef5186258870004e3897/\$file/00027409.pdf?openelement&amp;.7773098</a>
FISCAL RESPONSIBILITY	
The Subrecipient certifies that:	
<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	its financial system is in accordance with generally accepted accounting principles
<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	its financial system has the capability to identify, in its accounts, all federal awards received and expended, and the federal programs under which they were received
<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	it maintains internal controls to assure that it is managing federal awards in compliance with applicable laws, regulations and the provision of contracts, grants, and agreements.
<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	it and its financial system comply with applicable laws and regulations.
<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	it can prepare appropriate financial statements, including the schedule of expenditures of federal awards and invoices for reimbursement.

**UMASS AMHERST SUBRECIPIENT FORM**

**SUBRECIPIENT REQUIREMENTS AND RESPONSIBILITIES**

Before submitting a sub award proposal, the Subrecipient must verify that it fits the characteristics of a Subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply.

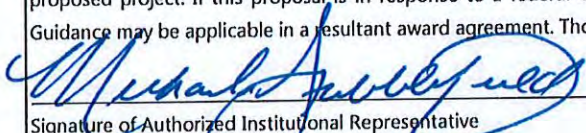
Subrecipient	Contractor
<input checked="" type="checkbox"/> Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the program <input checked="" type="checkbox"/> Use of funds is for a public purpose, as opposed to providing goods or services for the benefit of UMass Amherst <input checked="" type="checkbox"/> Responsible for adhering to applicable program requirements outlined in the terms and conditions negotiated upon award <input checked="" type="checkbox"/> An identified principal investigator (PI) for the Subrecipient who has responsibility for making programmatic decisions	<input type="checkbox"/> Provides goods or services that are ancillary to the operation of the program identified in the prime award <input type="checkbox"/> Provides the goods or services purchased with the funds within normal business operations <input type="checkbox"/> Provides similar goods or services to many different purchasers <input type="checkbox"/> Is not subject to the compliance requirements of the program as a result of the agreement with UMass <input type="checkbox"/> Normally operates in a competitive environment

For the purpose of this proposal, my organization is properly categorized as a Subrecipient as described above.  YES  NO

If "No," please contact the UMass PI about procuring your organization's products and services as a contractor.

**APPROVED FOR SUBRECIPIENT**

The information, certifications and representations contained herein have been read, signed, and made by an authorized official of the Subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of "agency policy" in regard to sub awards and are prepared to enter into a sub award agreement consistent with those policies and the applicable flow-down requirements of the Prime Award. To the best of my knowledge, the enclosed represents a true, complete, and accurate representation of work to be performed and costs to be incurred in the performance of the proposed project. If this proposal is in response to a federal opportunity, the requirements of Federal Executive Order 140421 Covid-19 Workplace Safety Guidance may be applicable in a resultant award agreement. Those requirements would flow to any subrecipient involved in the project.

  
 Signature of Authorized Institutional Representative  
 Michael A. Stubblefield, Ph.D.

Name of Authorized Institutional Representative  
 225-771-3890  
 Phone/Fax

04/04/2023  
 Date  
 Vice Chancellor for Research  
 Title  
 michael\_stubblefield@subr.edu  
 email address

**COMMENTS**



**Title:** *FMRG: Eco: Carbon-Inverted Manufacturing of Inverted Cements (CIMIC)*

**Topic:** *Assessment of Environmental Impact of CIMIC*

**Hang Yin**

Civil and Environmental Engineering, College of Science and Engineering, Southern University and A&M College

**Goals and Objectives:**

To evaluate the environmental impact of carbon-inverted manufacturing of inverted cements as an alternative to ordinary Portland cement.

To involve underrepresented African American students in research to enhance undergraduate STEM education in Civil and Environmental Engineering.

Increase public engagement with modern techniques/equipment and improve the well-being of all individuals in society.

**Research Plan:**

The project will develop a practical technology to facilitate the carbon-inverted manufacturing of inverted cements by examining the environmental impact of the process. Hence will broaden the scale-up/future application of the inverted manufacturing technology. Proposed works include but are not limited to:

Year 1: Perform particle size analysis before and after grinding

Year 1 – 2: Perform chemical, pH, particle size analysis of the slurry and tailwater from the carbonation treatment

Year 2 – 4: Perform chemical, pH, salinity, and particle size analysis of the tailwater from the Ca/Mg leaching treatment

Year 3 - 4: Analyze the residual saline in the tailwater

Year 1 – 4: Perform educational activities and conduct summer schools with other PIs and graduate/undergraduate students;

**Outcomes and Deliverables:**

The project will promote the participation of underrepresented African American students in STEM. All individuals in society, especially those from marginalized African American communities in the deep south, will benefit from the research outcomes of this project.

The research outcomes will be presented at National and/or International Conferences and Journals organized by leading engineering societies of ASCE.

## Cost Reimbursement Subaward Agreement

Pass-through Entity (PTE): The Board of Supervisors of Louisiana State University and A&M College		Subrecipient: Southern University and Agricultural and Mechanical College	
PTE Principal Investigator (PI): Konstantin Kousoulas		Subrecipient Principal Investigator (PI): Patrick Mensah	
PTE Federal Award No: P20GM103424	FAIN: P20GM103424	Federal Awarding Agency: National Institutes of Health	
Federal Award Issue Date: 8/19/2020	Assistance Listing Number No.: 93.859	Assistance Listing Program Title: Biomedical Research and Research Training	
Project Title: Louisiana Biomedical Research Network (LBRN)			
<b>Subaward Budget Period:</b> Start: 10/11/2023    End: 4/30/2024		<b>Amount Funded This Action:</b> \$457,053	<b>Subaward No.</b>
<b>Estimated Subaward Period of Performance</b> Start: NA    End: NA		<b>Incrementally Estimated Total:</b> \$ NA	Is the Award R & D <input checked="" type="checkbox"/> Yes    or <input type="checkbox"/> No
Check all that apply <input type="checkbox"/> Subject to FFATA (Attachment 3) <input type="checkbox"/> Cost Sharing (Attachment 5)			
<b>Terms and Conditions</b>			
<p>1) PTE hereby awards a cost reimbursable subaward, as determined by 2 CFR 200.331, to Subrecipient. The statement of work and budget for this Subaward Agreement are as shown in Attachment 5. In its performance of subaward work, Subrecipient shall be an independent entity and not an employee or agent of PTE.</p> <p>2) Subrecipient shall submit invoices <input checked="" type="checkbox"/> monthly or <input type="checkbox"/> quarterly for allowable costs incurred. Upon the receipt of proper invoices, PTE agrees to process payments in accordance with this Subaward Agreement and 2 CFR 200.305. All invoices shall be emailed using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), breakdown by major cost category, Subaward number, and certification, as required in 2 CFR 200.415 (a). <u>Invoices that do not reference PTE Subaward number shall be returned to Subrecipient.</u> Failure to submit invoices in a timely manner may result in the delay of future amendments for funding. Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Financial Contact, as shown in Attachments 3.</p> <p>3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL" must be emailed to PTE's Financial Contact, as shown in Attachment 3A, NOT LATER THAN 60 days after <input type="checkbox"/> the final Budget Period or <input checked="" type="checkbox"/> each Budget Period end date. Subrecipient must submit the final invoice for the period October 11, 2023 thru April 30, 2024, no later than June 30, 2024. PTE reserves the right to not pay invoices received after this due date. The final statement of costs shall constitute Subrecipient's final financial report.</p> <p>4) All payments shall be considered provisional and are subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.</p> <p>5) Matters concerning the technical performance of this Subaward Agreement should be directed to the appropriate party's Principal Investigator as shown in Attachments 3A and 3B. Technical reports are required as shown in Attachment 4.</p> <p>6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this Subaward Agreement, and any changes requiring prior approval, should be directed to the appropriate party's Administrative Contact as shown in Attachments 3A and 3B. Any such changes made to this Subaward Agreement require the written approval of each party's Authorized Official, as shown in Attachments 3A and 3B.</p> <p>7) Substantive changes made to this Subaward Agreement require the written approval of each party's Authorized Official as shown in Attachments 3A and 3B. The PTE may issue non-substantive changes Unilaterally. Unilateral modifications shall be considered valid 7 days after receipt unless otherwise indicated by Subrecipient.</p> <p>8) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.</p> <p>9) Either party may terminate this Subaward Agreement with thirty (30) days written notice to the appropriate party's Authorized Official Contact as shown in Attachments 3A and 3B. Notwithstanding, if the Awarding Agency terminates the Federal Award, PTE will terminate in accordance with Awarding Agency requirements. PTE shall pay Subrecipient for termination costs as allowable under <u>Uniform Guidance, 2 CFR 200</u> or 45 CFR Part 75 Appendix IX, as applicable.</p> <p>10) By signing this Subaward Agreement, including the attachments hereto which are hereby incorporated by reference, Subrecipient certifies that it will perform the Statement of Work in accordance with the terms and conditions of this Subaward Agreement and the applicable terms of the Federal Award, including the appropriate Research Terms and Conditions ("RTCs") of the Federal Awarding Agency, as referenced in Attachments 2 and 6. The parties further agree that they intend this Subaward Agreement to comply with all applicable laws, regulations, and requirements.</p>			
By an Authorized Official of Pass-through Entity:		By an Authorized Official of Subrecipient:	
Name: Michele M. Montero	Date:	Name: Michael A. Stubblefield	Date:
Title: Assistant Vice President for Procurement & Property Management		Title: Vice Chancellor for Research	

**Attachment 1**  
**Subaward Agreement**  
**Certifications and Assurances**

**Certification Regarding Lobbying (2 CFR 200.450)**

By signing the Subaward Agreement, the Subrecipient Authorized Official certifies, to the best of his/her knowledge and belief, that no Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement in accordance with 2 CFR 200.450.

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Subrecipient shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the PTE.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U. S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**Debarment, Suspension, and Other Responsibility Matters (2 CFR 200.214 and 2 CFR 180)**

By signing this Subaward Agreement and any subsequent amendments, the Subrecipient Authorized Official certifies, to the best of his/her knowledge and belief, that neither the Subrecipient nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency, in accordance with 2 CFR 200.214 and 2 CFR 180. Subrecipient agrees to provide immediate notification to the PTE at any time when it or its principals are debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency.

**Audit and Access to Records**

Subrecipient certifies that it will provide PTE with notice of any adverse findings which impact this Subaward Agreement. Subrecipient certifies compliance with applicable provisions of 2 CFR 200.501-200.521. If Subrecipient is not required to have a Single Audit as defined by 200.501, Awarding Agency requirements, or the Single Audit Act, then Subrecipient will provide notice of the completion of any required audits and will provide access to such audits upon request. Subrecipient will provide access to records as required by parts 2 CFR 200.337 and 200.338 as applicable.

**Program for Enhancement of Contractor Employee Protections (41 U.S.C 4712)**

Subrecipient is hereby notified that they are required to: inform their employees working on any federal award that they are subject to the whistleblower rights and remedies of the program; inform their employees in writing of employee whistleblower protections under 41 U.S.C §4712 in the predominant native language of the workforce; and include such requirements in any agreement made with a lower-tier subcontractor or lower-tier subgrantee.

*The Subrecipient shall require that the language of the certifications above in this Attachment 1 be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.*

**Use of Name**

Neither party shall use the other party's name, trademarks, or other logos in any publicity, advertising, or news release without the prior written approval of an authorized representative of that party. The parties agree that each party may use factual information regarding the existence and purpose of the relationship that is the subject of this Subaward Agreement for legitimate business purposes, to satisfy any reporting and funding obligations, or as required by applicable law or regulation without written permission from the other party. In any such statement, the relationship of the parties shall be accurately and appropriately described. In no circumstances may Subrecipient state or imply that PTE in any way endorses or supports a particular investment, stock purchase, product, or treatment.

**Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment**

Pursuant to 2 CFR 200.216, Subrecipient will not obligate or expend funds received under this Subaward Agreement to: (1) procure or obtain; (2) extend or renew a contract to procure or obtain; or (3) enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services (as described in Public Law 115-232, section 889) as a substantial or essential component of any system, or as critical technology as part of any system.

**[remainder of page intentionally left blank]**

**Attachment 2**  
**Subaward Agreement**  
**Terms and Conditions**

**Prime Award Terms and Conditions:**

Copy of Notice of Award (NOA) and the applicable amendments is hereby incorporated into this Subaward Agreement as Attachment 6.

**General Terms and Conditions:**

1. Conditions on activities and restrictions on expenditure of federal funds in appropriations acts are applicable to this Subaward Agreement to the extent those restrictions are pertinent.
2. Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (Uniform Guidance): 2 CFR § 200 as applicable.
3. The Federal Awarding Agency's grants policy guidance, including addenda in effect as of the beginning date of the Subaward Period of Performance or as amended.
4. Research Terms and Conditions (as required by the Federal Awarding Agency), including any Agency Specific Requirements, except for the following:
  - a. No-cost extensions require the approval of the PTE. Any requests for a no-cost extension shall be directed to PTE's Administrative Contact as shown in Attachment 3A, not less than 60 days prior to the desired effective date of the requested change;
  - b. Any payment mechanism and financial reporting requirements described in the applicable Federal Awarding Agency Terms and Conditions and Agency Specific Requirements are replaced with Terms and Conditions (1) through (4) of this Subaward Agreement;
  - c. Any prior approvals are to be sought from the PTE and not the Federal Awarding Agency; and
  - d. Title to equipment as defined in 2 CFR 200.1 that is purchased or fabricated with federal funds or Subrecipient cost sharing funds, as direct costs of the project or program, shall vest in the Subrecipient subject to the conditions specified in 2 CFR 200.313.
5. Treatment of program income shall be in accordance with the Prime Award.

**Special Terms and Conditions:**

**Data Sharing and Access:**

Subrecipient agrees to comply with the Federal Awarding Agency's data sharing and/or access requirements as reflected in the NOA or the Federal Awarding Agency's standard terms and conditions as referenced in General Terms and Conditions 1-4 above.

**Data Rights:**

Subrecipient grants to PTE the right to use data created in the performance of this Subaward Agreement solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its Prime Award.

**Copyrights:**

Subrecipient grants to PTE an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any copyrights or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward Agreement solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its PTE Federal Award.

Subrecipient grants to PTE the right to use any written progress reports and deliverables created under this Subaward Agreement solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its Federal Award.

**Promoting Objectivity in Research (COI):**

Subrecipient must designate herein which entity's Financial Conflicts of Interest policy (COI) will apply: (check one)  Subrecipient, or  PTE

If applying its own COI policy, by execution of this Subaward Agreement, Subrecipient certifies that its policy complies with the requirements of the relevant Federal Awarding Agency.

Subrecipient shall report any financial conflict of interest to PTE's Authorized Official as designated on Attachment 3A. Any financial conflicts of interest identified shall, when applicable, subsequently be reported to Federal Awarding Agency. Such report shall be made before expenditure of funds authorized in this Subaward Agreement and within 45 days of any subsequently identified COI.

**Work Involving Human or Animal Subjects (select applicable options)**

Human Subjects     Vertebrate Animals     No Human or Vertebrate Animals

Subrecipient agrees that any non-exempt human and/or vertebrate animal research protocol conducted under this Subaward Agreement shall be reviewed and approved by its Institutional Review Board (IRB) and/or its Institutional Animal Care and Use Committee (IACUC), as applicable and that it will maintain current and duly approved research protocols for all periods of the Subaward Agreement involving human and/or vertebrate animal research. Subrecipient certifies that its IRB and/or IACUC are in full compliance with applicable state and federal laws and regulations. The Subrecipient certifies that any submitted IRB / IACUC approval represents a valid, approved protocol that is entirely consistent with the project associated with this Subaward Agreement. In no event shall Subrecipient invoice or be reimbursed for any human or vertebrate animals related expenses incurred in a period where any applicable IRB / IACUC approval is not properly in place.

**Human Subjects Data: Human Subjects Data will be exchanged under this Agreement (select all that apply)**

Not Applicable     Applicable     From Subrecipient to PTE     From PTE to Subrecipient

If applicable, the PTE will set forth the terms of the exchange of human subjects data via a separate data use agreement.

**Automatic Carry Forward:**  Yes     No     N/A

Carry Forward requests must be sent to PTE's Administrative contact, as shown in Attachment 3. Carry forward for the prior years will be awarded contingent upon a request being submitted by Subrecipient to PTE and approval from the Federal Awarding Agency. Any funds unspent at the end of each budget period shall be automatically deobligated.

**eRA Commons accounts**

All postdoctoral researchers, graduate students, and undergraduate students who have effort of one month or more on the Subaward Agreement must have an eRA Commons account. Subrecipient is responsible for setting up these accounts in eRA Commons. Once the accounts are established, Subrecipient will instruct these individuals to update their eRA Commons Profile to include Demographic and Educational information which is required for the annual report

**Additional Special Terms:**

**Audit:** The Comptroller General of the United States or a duly authorized representative from the General Accounting Office or any other appropriate Federal agency, as well as the Legislative Auditor of the State of Louisiana and/or the Office of the Governor, Division of Administration, and/or PTE shall have access to and the right to examine and/or audit any of the Subrecipient's directly pertinent books, documents, papers or other records involving transactions related to this Subaward Agreement.

**Anti-discrimination:** The Subrecipient agrees to abide by the requirements of the following as applicable and amended: Title VI of the Civil Rights Act of 1964 and Title VII of the Civil Rights Act of 1964; Equal Employment Opportunity Act of 1972; Federal Executive Order 11246; the Rehabilitation Act of 1973; the Vietnam Era Veteran's Readjustment Assistance Act of 1974; Title IX of the Education Amendments of 1972; Age Discrimination Act of 1975; Fair Housing Act of 1968; and, Americans with Disabilities Act of 1990.

Subrecipient agrees not to discriminate in its employment practices, and will render services under this Subaward Agreement without regard to race, color, religion, sex, sexual orientation, national origin, veteran status, political affiliation, disability, or age in any matter relating to employment. Any act of discrimination committed by Subrecipient, or failure to comply with these statutory obligations when applicable shall be grounds for termination of this Subaward Agreement.

Invoice Documentation: The subrecipient may be required to submit backup documentation to support its invoices upon request by PTE.

Other Requirements: PTE may impose additional requirements as may be necessary and in accordance with 2 CFR 200.

Accounting: The Subrecipient shall separately account for, report and invoice **monthly** each Individual Project (administration and research), as identified in Attachment 5. Transferring funds between Administration and/or Individual Research Projects is not allowed without prior approval of PTE. Invoices should be sent to [spa@lsu.edu](mailto:spa@lsu.edu) with copy to [jessieg@lsu.edu](mailto:jessieg@lsu.edu).

Personnel: Prior written approval is required for any reduction in effort from the required 6.0 person months for Full Project Principal Investigators of the Individual Full Projects in the Developmental Research Project Program.

Prior Approval: Expanded Authorities apply, except for the right to initiate an automatic one-time extension of the end date, which is replaced by the need to obtain prior written approval from the PTE. Any prior approvals are to be sent to the PTE's Administrative Contact and not the Federal Awarding Agency.

LBRN Website Membership: All Louisiana Biomedical Research Network (LBRN) INBRE funded faculty are required to participate as registered members of the LBRN website (<http://lbrn.lsu.edu>) specifically to utilize forms found in the LBRN Professional Activities section of the website to update information on LBRN/NIH supported presentations, publications, grants submitted and grants funded.

Statutory Employee: If and to the extent that the provisions of Louisiana Worker's Compensation laws might apply to any injury involving one of the Subrecipient's employees, then solely for that purpose, PTE and Subrecipient, as direct employer, mutually agree that it is their intention to recognize PTE as the statutory employer of Subrecipient's employees, to include direct employees or statutory employees of Subrecipient, while Subrecipient's employees are providing work and/or services to PTE under this Subaward Agreement.

Insurance:

Subrecipient shall maintain at all times during this Subaward Agreement insurance with insurers authorized and licensed to do business in the State of Louisiana as follows:

Worker's compensation - Statutory Limits.

Comprehensive General Liability, including Personal Injury Liability coverage - \$1,000,000.

Assignment: The Subrecipient shall not assign any interest in this Subaward Agreement and shall not transfer any interest in the same (whether by assignment or novation) without the prior written consent of PTE thereto; provided, however, that all claims for money due or to become due to the Subrecipient under this Subaward Agreement may be assigned to its bank, trust company, or other financial institution without such approval. Notice of any such assignment or transfer shall be furnished promptly to PTE.

Successors and Assigns: This Subaward Agreement shall be binding upon the successors and assigns of the respective parties hereto.

**[remainder of page intentionally left blank]**

**Attachment 3A**  
**Subaward Agreement**  
**Pass-through Entity ( PTE) Contacts**

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**PTE Information**

Name: The Board of Supervisors of Louisiana State University and Agricultural & Mechanical College  
Address: 202 Himes Hall  
  
City: Baton Rouge State: LA Zip Code: 70803

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**PTE's Administrative Contact**

Name: Lacy Inmon  
Address: Office of Sponsored Programs  
202 Himes Hall  
Louisiana State University  
City: Baton Rouge State: LA Zip Code: 70803  
Telephone: 225-578-2760 Fax: 225-578-2751  
E-mail: [subs@lsu.edu](mailto:subs@lsu.edu)

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**PTE's Principal Investigator**

Name: Konstantin Kousoulas  
Address: LSU School of Veterinary Medicine  
Skip Bertman Drive  
  
City: Baton Rouge State: LA Zip Code: 70803  
Telephone: 225-578-9683 Fax: 225-578-9655  
E-mail: [vtgusk@lsu.edu](mailto:vtgusk@lsu.edu)

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**PTE's Financial Contact**

Name: Jaime Estave, Director  
Address: Sponsored Program Accounting  
Office of Accounting Services  
Louisiana State University  
City: Baton Rouge State: LA Zip Code: 70803  
Telephone: 225-578-5337 Fax: 225-578-7217  
E-mail: [spa@lsu.edu](mailto:spa@lsu.edu)

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**PTE's Authorized Official**

Name: Michele M. Montero, Assistant Vice President for Procurement & Property Management  
Address: 213 Thomas Boyd Hall  
Louisiana State University  
City: Baton Rouge State: LA Zip Code: 70803  
Telephone: 225-578-2176 Fax: 225-578-2292  
E-mail: [mmorr12@lsu.edu](mailto:mmorr12@lsu.edu)

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**Attachment 3B**  
Research Subaward Agreement  
**Subrecipient Contacts**

Subaward Number:

**Subrecipient Place of Performance**

Name: Southern University and A&M College  
Address: 801 Harding Blvd.

City: Baton Rouge

State: LA

Zip Code + 4: 70807-0000  
(Look up)

EIN No.: 72-6000817

Institution Type: Public/State Controlled Inst. of Higher Education

Is Subrecipient currently registered in SAM?  Yes  No

Is Subrecipient exempt from reporting compensation?  Yes  No

If no, please complete 3B page 2

UEI No.:  
H7CJA7NX9WN3

Parent UEI No.:

Congressional District:  
LA-002

Congressional District:  
LA-002

**Subrecipient Administrative Contact**

Name: Norma J. Frank, Executive Director  
Address: Office of Sponsored Programs

PO Box 12596

City: Baton Rouge

State: LA

Zip Code: 70813-2596

Telephone: (225) 771-2809

Fax:

E-mail: OSP@subr.edu

**Subrecipient Principal Investigator (PI)**

Name: Patrick Mensah  
Address: P.B.S. Pinchback Room 212

City: Baton Rouge

State: LA

Zip Code: 70813

Telephone: (225) 771-5290

Fax: (225) 771-5721

E-mail: patrick\_mensah@subr.edu

**Subrecipient Financial Contact**

Name: Benjamin Pugh  
Address: J.S. Clark Administration Bldg.  
3rd Floor

City: Baton Rouge

State: LA

Zip Code: 70813-0000

Telephone: (225) 771-5021

Fax:

E-mail: Benjamin\_Pugh@subr.edu

**Subrecipient Authorized Official**

Name: Michael A. Stubblefield, Ph.D., Vice Chancellor for Research  
Address: PO Box 9272

City: Baton Rouge

State: LA

Zip Code: 70813-9272

Telephone: (225) 771-3890

Fax:

E-mail: Michael\_Stubblefield@subr.edu

**Attachment 4**  
**Subaward Agreement**  
**Reporting Requirements**

Subrecipient agrees to submit the following reports:

- Monthly technical/progress reports will be submitted to the PTE's Principal Investigator identified in Attachment 3A, within 15 days of the end of the month.
- Quarterly technical/progress reports will be submitted within thirty (30) days after the end of each project quarter to the PTE's Principal Investigator identified in Attachment 3A.
- Annual technical /progress reports will be submitted within 90 days prior to the end of each budget period to the PTE's Principal Investigator identified in Attachment 3A. Such report shall also include as applicable, a detailed budget for the next budget period, updated Other Support for key personnel, certification of appropriate education in the conduct of human subject research of any new key personnel, and annual IRB or IACUC approval, if applicable.
- A final technical/progress report will be submitted to the PTE's Principal Investigator identified in Attachment 3A within 60 days after the end of the Subaward Period of Performance or termination of this Subaward Agreement, whichever comes first.
- Technical/progress reports on the project as may be required by PTE's Principal Investigator in order that PTE may be able to satisfy its reporting obligations to the Federal Awarding Agency.
- In accordance with 37 CFR 401.14, Subrecipient agrees to notify both the Federal Awarding Agency via iEdison and PTE's Financial Contact identified in Attachment 3A within 45 days after Subrecipient's inventor discloses invention(s) in writing to Subrecipient's personnel responsible for patent matters. The Subrecipient will submit a final invention report using Federal Awarding Agency specific forms to the PTE's Financial Contact identified in Attachment 3A within 60 days of the end of the Subaward Period of Performance to be included as part of the PTE's final invention report to the Federal Awarding Agency. A negative report  is  is not (check one) required.
- Property Inventory Report (only when required by Federal Awarding Agency) The Final Inventory Report is due within 15 days after the end of the Subaward Period of Performance to the PTE's Financial Contact identified in Attachment 3A, when applicable.

**Other Special Reporting Requirements**

**Performance Indicators**

Performance will be measured by timely submission of Reporting Requirements/Deliverables as well as other informal reports such as telephone conferences or emails with the PTE's Principal Investigator.

**Monitoring Plan**

The Subrecipient's performance will be monitored by the PTE's Principal Investigator as needed.

**Goals**

The overall goal of this Subaward Agreement is to perform research and/or services to support PTE's obligations to the Federal Awarding Agency, which will support the Instructional, Research and Public Service missions of an institute of higher education.

**Main Objectives**

1. To adhere to the terms and conditions of the Subaward Agreement.
2. To accomplish the activities outlined in the Statement of Work.
3. To submit timely reports and deliverables as described in this Attachment 4.
4. To submit timely and accurate invoices.

**Attachment 5**  
**Subaward Agreement**  
**Statement of Work (SOW), Cost Sharing and Budget**

**Statement of Work and Budget Information**

Below  or  Attached 86 pages

If award is FFATA eligible and SOW exceeds 4000 characters, include a Subrecipient *Federal Award Project Description*

Cost Sharing:	<input type="checkbox"/> Yes, Amount \$	<input checked="" type="checkbox"/> No
---------------	---	--

Indirect Cost Rate (IDC) Applied 40.00% on  TDC,  MTDC, or  other

Check here is using 10% de minimis rate according to 2 CFR 200.

**Louisiana Biomedical Research Network (LBRN) Carry forward Funds**

- Patrick Mensah (PI) (OBLIGATED \$331,053) (COST SHARE \$0)  
*Enhancement of Research Infrastructure at SUBR\_LBRN Carryforward*

**Projects funded with Carry forward funds**

- Rao Uppu (PI) (OBLIGATED \$70,000) (COST SHARE \$0)  
*Pilot project: Oxidized Cholesterol in Amyloid Aggregation and Neuronal Cell Apoptosis*
- Subramanyam Murthy (PI) (OBLIGATED \$56,000) (COST SHARE \$0)  
*Translational Project: Studies on the beneficial role of methionine in countering the initiation and progression of NAFLD*

Direct Costs    \$411,035  
 Indirect Costs    \$46,018  
 Total Costs       \$457,053

*All amounts are in United States Dollars*

Department of Health and Human Services Public Health Services <h3 style="margin: 0;">Grant Application</h3> <p style="font-size: small; margin: 0;">Do not exceed the character length restrictions indicated.</p>	<b>LEAVE BLANK—FOR PHS USE ONLY.</b> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:33%;">Type</td> <td style="width:33%;">Activity</td> <td style="width:33%;">Number</td> </tr> <tr> <td>Review Group</td> <td></td> <td>Formerly</td> </tr> <tr> <td>Council/Board (Month, Year)</td> <td></td> <td>Date Received</td> </tr> </table>	Type	Activity	Number	Review Group		Formerly	Council/Board (Month, Year)		Date Received
Type	Activity	Number								
Review Group		Formerly								
Council/Board (Month, Year)		Date Received								

1. TITLE OF PROJECT (Do not exceed 81 characters, including spaces and punctuation.)  
**Enhancement of Research Infrastructure at SUBR\_LBRN Carryforward**

2. RESPONSE TO SPECIFIC REQUEST FOR APPLICATIONS OR PROGRAM ANNOUNCEMENT OR SOLICITATION  NO  YES  
 (If "Yes," state number and title)  
 Number: \_\_\_\_\_ Title: **LBRN Carry Forward Funds**

**3. PROGRAM DIRECTOR/PRINCIPAL INVESTIGATOR**

3a. NAME (Last, first, middle) <b>Mensah, Patrick, F.</b>	3b. DEGREE(S) BS.    MS    Ph.D.	3h. eRA Commons User Name <b>Patrick_Mensah</b>
3c. POSITION TITLE <b>Associate Dean for Research and Graduate Programs</b>	3d. MAILING ADDRESS (Street, city, state, zip code) <b>College of Sciences and Engineering                  Southern University and A&amp;M College                  PBS Pinchback Rm 212                  Baton Rouge, LA 70813</b>	
3e. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT <b>Biological Sciences &amp; Chemistry/Environmental Toxicology</b>	E-MAIL ADDRESS: <b>patrick_mensah@subr.edu</b>	
3f. MAJOR SUBDIVISION <b>College of Sciences and Engineering</b>		
3g. TELEPHONE AND FAX (Area code, number and extension) TEL: <b>225 771-2975</b> FAX: <b>225 771-5721</b>		

4. HUMAN SUBJECTS RESEARCH <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes	4a. Research Exempt <input type="checkbox"/> No <input type="checkbox"/> Yes	If "Yes," Exemption No.
4b. Federal-Wide Assurance No. <b>N/A</b>	4c. Clinical Trial <input type="checkbox"/> No <input type="checkbox"/> Yes	4d. NIH-defined Phase III Clinical Trial <input type="checkbox"/> No <input type="checkbox"/> Yes

5. VERTEBRATE ANIMALS  No  Yes      5a. Animal Welfare Assurance No.

6. DATES OF PROPOSED PERIOD OF SUPPORT (month, day, year—MM/DD/YY) From <b>05/01/2023</b> Through <b>04/30/2024</b>	7. COSTS REQUESTED FOR INITIAL BUDGET PERIOD 7a. Direct Costs (\$) <b>\$321,035</b>	8. COSTS REQUESTED FOR PROPOSED PERIOD OF SUPPORT 7b. Total Costs (\$) <b>\$331,053</b> 8a. Direct Costs (\$) <b>\$321,035</b> 8b. Total Costs (\$) <b>\$331,053</b>
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9. APPLICANT ORGANIZATION Name <b>Southern University and A&amp;M College</b> Address <b>730 Harding Boulevard                  Baton Rouge, LA 70807-5304</b>	10. TYPE OF ORGANIZATION Public: → <input type="checkbox"/> Federal <input checked="" type="checkbox"/> State <input type="checkbox"/> Local Private: → <input type="checkbox"/> Private Nonprofit For-profit: → <input type="checkbox"/> General <input type="checkbox"/> Small Business <input type="checkbox"/> Woman-owned <input type="checkbox"/> Socially and Economically Disadvantaged
11. ENTITY IDENTIFICATION NUMBER <b>1-726000817-A1</b> DUNS NO. <b>05-351-5743</b> Cong. District <b>LA-002</b>	

12. ADMINISTRATIVE OFFICIAL TO BE NOTIFIED IF AWARD IS MADE Name <b>Norma J. Frank</b> Title <b>Director, Office of Sponsored Programs</b> Address <b>Southern University and A&amp;M College                  P O Box 12596                  Baton Rouge, LA 70813</b> Tel: <b>(225) 771 2809</b> FAX: <b>(225) 771 5231</b> E-Mail: <b>norma_frank@subr.edu</b>	13. OFFICIAL SIGNING FOR APPLICANT ORGANIZATION Name <b>Michael Stubblefield</b> Title <b>Vice Chancellor for Research</b> Address <b>Office of Research and Strategic Initiatives                  Southern University and A&amp;M College Post                  Office Box 9272                  Baton Rouge, LA 70813-9272</b> Tel: <b>(225) 771 3890</b> FAX: <b>(225) 771 5231</b> E-Mail: <b>Michael_Stubblefield@subr.edu</b>
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14. APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE: I certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.	SIGNATURE OF OFFICIAL NAMED IN 13. (In ink. "Per" signature not acceptable.) 
DATE <b>05/15/2023</b>	

<b>DETAILED BUDGET FOR INITIAL BUDGET PERIOD DIRECT COSTS ONLY</b>	FROM <b>05/01/2023</b>	THROUGH <b>04/30/2024</b>
--	---------------------------	------------------------------

List PERSONNEL (*Applicant organization only*)  
 Use Cal, Acad, or Summer to Enter Months Devoted to Project  
 Enter Dollar Amounts Requested (*omit cents*) for Salary Requested and Fringe Benefits

NAME	ROLE ON PROJECT	Cal. Mnths	Acad. Mnths	Summer Mnths	INST.BASE SALARY	SALARY REQUESTED	FRINGE BENEFITS	TOTAL
Patrick Mensah	PD/PI							0
Sanjay Batra	Sr. Key Person							0
S. N. Murthy	Sr. Key Person							0
Uppu Rao	Sr. Key Person							0
E. Martinez	Sr. Key Person							0
								0
								0
<b>SUBTOTALS</b> →						0	0	0

CONSULTANT COSTS 0.0

EQUIPMENT (*Itemize*)  
 ImageExpress, BDFlow Cytometer, CFX OPUS, GelDoc, Freezer, Centrifuge, Nanodrop, Thermocycler, Free Radical Analyzer, HPLC, Biosafety Cabinet, Keyence Microscope 295991

SUPPLIES (*Itemize by category*)  
 Operating Licences for ImageExpress PICO, Software for CFX OPUS, Accessories for GelDoc GO, Filter Cartridges for Water Purification System, PH Meter electrodes, Water Purification System Cartridges, Probes and Buffers for Instrument calibration 10000

TRAVEL

INPATIENT CARE COSTS

OUTPATIENT CARE COSTS

ALTERATIONS AND RENOVATIONS (*Itemize by category*)

OTHER EXPENSES (*Itemize by category*)  
 Shipping and Handling + Installation Charges; Equipment <\$4,999 15044

CONSORTIUM/CONTRACTUAL COSTS	DIRECT COSTS	
<b>SUBTOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD</b> ( <i>Item 7a, Face Page</i> )		<b>\$ 321035</b>
CONSORTIUM/CONTRACTUAL COSTS	FACILITIES AND ADMINISTRATIVE COSTS	
<b>TOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD</b>		<b>\$ 321035</b>

**BUDGET FOR ENTIRE PROPOSED PROJECT PERIOD  
DIRECT COSTS ONLY**

BUDGET CATEGORY TOTALS	INITIAL BUDGET PERIOD <i>(from Form Page 4)</i>	2nd ADDITIONAL YEAR OF SUPPORT REQUESTED	3rd ADDITIONAL YEAR OF SUPPORT REQUESTED	4th ADDITIONAL YEAR OF SUPPORT REQUESTED	5th ADDITIONAL YEAR OF SUPPORT REQUESTED
PERSONNEL: <i>Salary and fringe benefits. Applicant organization only.</i>	0				
CONSULTANT COSTS	0				
EQUIPMENT	295991				
SUPPLIES	10000				
TRAVEL	0				
INPATIENT CARE COSTS	0				
OUTPATIENT CARE COSTS	0				
ALTERATIONS AND RENOVATIONS	0				
OTHER EXPENSES	15044				
DIRECT CONSORTIUM/ CONTRACTUAL COSTS	0				
<b>SUBTOTAL DIRECT COSTS</b> <i>(Sum = Item 8a, Face Page)</i>	321035	0	0	0	0
F&A CONSORTIUM/ CONTRACTUAL COSTS	0				
<b>TOTAL DIRECT COSTS</b>	321035	0	0	0	0
<b>TOTAL DIRECT COSTS FOR ENTIRE PROPOSED PROJECT PERIOD</b>					<b>\$ 321035</b>

JUSTIFICATION. Follow the budget justification instructions exactly. Use continuation pages as needed.

Procurement of Sophisticated Equipments for Research Faculty of Environmental Toxicology and Biology Department at Southern University and A&M College, Baton Rouge to improve the research infrastructure for undergraduate, masters and PhD students.

## **BUDGET JUSTIFICATION**

### **“Enhancement of Research Infrastructure at SUBR\_LBRN Carryforward”**

***PD/PI: Dr. Patrick Mensah (SUBR)***

**Senior Key Person: Drs. Sanjay Batra, S.N. Murthy, Uppu Rao, E. Martinez**

#### **C. Equipment (Individual items exceeding \$5,000):**

- 1) ImageXpress Pico EC System with CellReporterXpress Automated Image Acquisition and Analysis Software. Includes: FLUOTAR 4X/NA 0.13 and 10x/NA 0.32 objectives, transmitted light capability, and FITC filter cube for fluorescence imaging. Equipped with a solid-state light source and optical train, a large imaging field of view is possible. Capable of incubation up to 40°C, CO<sub>2</sub> control between ambient and 15%, O<sub>2</sub> control between 1 and 15% and ambient O<sub>2</sub>, and humidity control for minimizing evaporation. Includes microtiter plate adapter and 4-slide adapter. CellReporterXpress Software license is included which enables 5 concurrent logins from a desktop or laptop with up to 2 logins from a tablet device per desktop login. The license allows up to 10 computer cores to be run for distributed image analysis. Standard image analysis algorithms include cell counting, cell scoring, apoptosis, and other analysis modules for a total of 17 analysis modules. License for Z-stack acquisition is included. The system includes 1-year MDCare Ph.D. Technical Support Plan, and 1-year warranty covering parts & labor.

The environmental Toxicology Department does not have any imaging instrument currently. This instrument will be used by 8-10 Ph.D. students and several undergraduates who receive summer and regular training in Environmental Toxicology Department. The undergraduates recruited for training are from Grambling State University, SU Ag Center, and Computer Sciences Department. The instrument has the capability to determine the Granularity Analysis Algorithm which enables the user to work on Autophagy, Endocytosis, Internalization, Lysosomal degradation, Mitochondria, Phagocytosis, and Pits and Vesicles analysis protocols. Overall, this instrument will be highly useful for the dissertation work of Ph.D. students and also for training purposes in Environmental Toxicology Department.

**Cost of ImageXpress Pico**

**\$66,950.24**

- 2) BD Accuri Plus Flow Cytometer System. The Flow Cytometer will be used for several ongoing projects in Environmental Toxicology. The Ph.D. graduate students from Environmental Toxicology will use this piece of instrument extensively for their dissertation work and for the grant-related work of their advisors. Additionally, the undergraduates from Computer Sciences Department (SUBR), Southern University Agriculture Research & Extension Center (SUAREC), and Grambling State University (GSU-summer training) will be trained by Ph.D. students under the supervision of PI and collaborators. This is low priced sturdy equipment and will serve the department need for several years.

**Cost of FLOW CYTOMETER-**

**\$51,606**

- 3) CFX OPUS 384 system-Real Time PCR designed to determine up to four targets per well (**Multiplex Data Acquisition**) with Software- CFX OPUS will be used for multiple ongoing projects in Environmental Toxicology. The Ph.D. graduate students from Environmental

Toxicology will use this piece of instrument extensively for their dissertation work and for the grant-related work of their advisors. Additionally, the undergraduates from Computer Sciences Department (SUBR), Southern University Agriculture Research & Extension Center (SUAREC), and Grambling State University (GSU-summer training) will be trained by Ph.D. students under the supervision of PI and collaborators. Due to the multiplexing facility, the inclusion of this instrument will significantly cut down time in obtaining results and will be cost-effective in the long run.

**Cost of CFX OPUS- \$26,999**

- 4) GelDoc Go Gel Imaging System including Image Lab Touch Software and UV/Stain-Free Imaging Tray (**Capable of analyzing Protein, RNA, and DNA Gels**)

GelDoc Go will also be used for multiple ongoing projects in Environmental Toxicology. In brief, about 12 Ph.D. Students, 6-8 undergraduates, and one master's student will be using the instrument for their projects.

**Cost of Gel Doc Go \$9,000.00**

- 5) Haier Biomedical DW-86L490JA Ultra Low -86°C Freezer 17.3CuFt

Two Investigators in ENTX department share one -80 degree freezer and need an additional -80 degree freezer. This is because of several ongoing collaborative proposals and the number of Ph.D. students being trained in their collaboration who are using it for the storage of samples. It is extremely important to preserve the experimental samples appropriately for each student. Approval of this support will help in allocating independent sample storage space to each student working with ENTX faculty and collaborators and will help them focus on their projects instead of spending time finding appropriate sample storage space. Additionally, we will be able to provide some storage space to external collaborators/undergraduate students (summer trainees) during the training program. In brief, about 6 Ph.D. Students, 2-4 undergraduates, and one master's student will be using the freezer to store the samples.

**TOTAL COST OF -86 degree Freezer- \$8,000.00**

- 6) Beckman Coulter B30148 Microfuge 20R Refrigerated Microcentrifuge, FA241.5 Fixed-Angle Rotor, 1 Centrifuge/Unit.

Currently, there is one functional refrigerated Eppendorf centrifuge between three ENTX faculty supporting 12 Ph.D. students and 4 rotating undergraduates and master's students. We are requesting one refrigerated centrifuge so as to reduce the workload on one centrifuge and cut down the waiting time for processing the samples.

**TOTAL COST OF Refrigerated Centrifuge- \$5,553.00**

- 7) Accuris NS1000 SmartDrop™ L Nano Spectrophotometer, 115V, US Plug, 1 spectrophotometer/Unit 115V, US Plug.

We are requesting one nanodrop so as to reduce the workload on the main spectrometer in the department. About 12 Ph.D. students and 4 rotating undergraduates and master's student will be using nanodrop for their projects. Dr. Murthy, Dr. Batra, and Dr. Uppu's group will regularly use this equipment.

**TOTAL COST OF Nanodrop- \$6,821.00**



- 8) Benchmark Scientific T5000-96 Gradient Thermal Cycler

Currently, Environmental Toxicology faculty are in critical need of a Gradient Thermal Cycler which will be used by several graduate and undergraduate students for their research projects.

**TOTAL COST OF Thermal Cycler- \$5,877.00**

- 9) Four-Channel Free Radical Analyzer with probes for NO, O<sub>2</sub>, H<sub>2</sub>S, and H<sub>2</sub>O<sub>2</sub>.  
Dr. Uppu's group in Environmental Toxicology Department is requesting this piece of instrument.

**TOTAL COST OF Free Radical Analyzer- \$12,460.64**

- 10) BUCHI Pure Chromatography System for Academic Research, Flash Chromatography, Column Type: Flash cartridge or column, For Use With: Purification, Height: 680 mm, Hertz: 50-60 Hz, Length: 570 mm, Max. Pressure: 725 psi, Voltage: 100/240 V, Width: 365 mm.

**TOTAL COST OF Chromatography System- \$20,588.43**

- 11) 1300 Series A2 Class II, Type A2 Bio Safety Cabinets (without accessories) PROMO, Width Cabinet: 4 ft., Chamber Material: Stainless Steel, Sash Opening: 10 in., 25 cm, Electrical Requirements: 120 V, 50/60 Hz, Certifications/Compliance: NSF/ANSI 49, Model: 1300 Series.

**TOTAL COST OF Biosafety Cabinet- \$9,135.00**

- 12) Funds are requested for the purchase of a Keyence BZ-X800 all-in-one Fluorescence Microscope. It can image in bright field, phase contrast, and 4-channel fluorescence from 2x-100x on well plates, slides, dishes, and up to T-75 flasks. The system has full electronic control, autofocus and has a motorized stage, lens turret, and filter turret, which makes the system last longer due to minimized physical contact. The BZ-X800 has a built-in darkroom and small footprint for benchtop observation, making it easy to put either in an incubation room or in a more collaborative space in the lab. Because of the full electronic integration, the interface can be shared virtually for collaborative sessions, or remote control to help abide by lab capacity protocols. The Keyence BZ-X800 comes with lifetime service and imaging consultation. Biology Department currently lacks an inverted microscope with these capabilities, which are needed by the various externally-supported Biology researchers. This instrument is requested by Dr. Eduardo Martinez from Biology Department.

**Cost of BZ-X800 all-in-one Fluorescence Microscope \$73,000.00**

**TOTAL EQUIPMENT (Individual items exceeding \$5,000) \$295,991.00**

**F. Other Direct Costs:**

**1. Materials and Supplies**

- a) Cell Reporter Express Licence for multi-wavelength cell scoring facilitates nuclear staining and 2-3 additional markers. Cost \$1,765.50
- b) License for the Granularity Analysis Algorithm which enables the Autophagy, Endocytosis, Internalization, Lysosomal degradation, Mitochondria, Phagocytosis, and Pits and Vesicles analysis protocols Cost \$1,499.50
- c) CFX Maestro Software 2.3 for Windows PC; 1 license, CFX Maestro 2.3, software for real-time PCR plate setup, data collection, statistics, and graphing of results; for Windows PCs. This software will be used with CFX Opus 384-well Real-Time PCR. The software is essential for the use of Real-Time PCR. Cost \$902.30.
- d) Blue Sample Tray for GelDoc Go Gel Imaging System- Cost \$468.50
- e) UV Shield for GelDoc Go Gel Imaging System- Cost \$295.00
- f) White Sample Tray for GelDoc Go Gel Imaging System- Cost \$468.50
- g) MilliporeSigma Simplicity Cartridges 2 Kits Cost \$1,372.62
- h) Cole Parmer P200-02 pH Meter with Two pH Electrodes-Dr. Uppu Cost \$553.50
- i) MilliporeSigma Simplicity Cartridges 2 Kits-Dr. Uppu Lab Cost \$1,372.62
- j) Miscellaneous items related to equipment (Probes/buffers etc) Cost \$1,302.00

**TOTAL SUPPLIES \$10,000.00**

**9. Other**

**(1) Equipment (Individual items < \$4,999)**

- a. Jenway 7205 UV/Vis Diode Array Scanning Spectrophotometer Cost \$3,228.00
- b. Cole-Parmer Digital Melting Point Apparatus Cost \$1,438.24
- c. MilliporeSigma Simplicity Water Purification System- Cost \$4800.28

**TOTAL EQUIPMENT (<\$4,999) \$9,467.00**

**(2) Shipping & Handling**

- Estimated Shipping & Handling for PICO Instrument Cost \$735.00
- Estimated Shipping & Handling for -86 degree Freezer Cost \$775.00
- Keyence BZ-X800 all-in-one Fluorescence Microscope Cost \$449.00

<b>TOTAL Shipping and Handling</b>	<b>\$1,959.00</b>
<b>(3) Installation</b>	
PICO Instrument Installation Onsite	Cost \$3,618.00
<b>TOTAL Installation</b>	<b>\$3,618.00</b>
<b>TOTAL OTHER</b>	<b>\$15,044.00</b>
<b>TOTAL OTHER DIRECT COSTS</b>	<b>\$25,044.00</b>
<b>TOTAL DIRECT PROJECT COSTS</b>	<b>\$321,035.00</b>
<b>Total Indirect Cost (40% on Base--\$25,044)</b>	<b>\$10,018.00</b>
<b>TOTAL PROJECT COST</b>	<b>\$331,053.00</b>



3860 North 1st street  
 San Jose CA, 95134  
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 Southern university and A&M college  
 BATON ROUGE, LA 70813, US  
 sanjay\_batra@subr.edu

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 Email: mridula.vishwanath@moldev.com

Quote #: Q-00202235  
 Date: 9-May-2023  
 Expiration Date: 14-Jul-2023

Line #	Part Number	Description	Qty	List Price (USD)	Discount (USD)	Net Price (USD)
1.00	IMAGEXPRESS PICO EC	ImageXpress Pico EC System with CellReporterXpress Automated Image Acquisition and Analysis Software. Includes: FLUOTAR 4X/NA 0.13 and 10x/NA 0.32 objectives, transmitted light capability, and FITC filter cube for fluorescence imaging. Equipped with a solid state light source and optical train, a large imaging field of view is possible. Capable of incubation up to 40°C, CO2 control between ambient and 15%, O2 control between 1 and 15% and ambient O2, and humidity control for minimizing evaporation. Includes microtiter plate adapter and 4-slide adapter. CellReporterXpress Software license is included which enables 5 concurrent logins from a desktop or laptop with up to 2 logins from a tablet device per desktop login. License allows up to 10 computer cores to be run for distributed image analysis. Standard image analysis algorithms include cell counting, cell scoring, apoptosis, and other analysis modules for a total of 17 analysis modules. License for Z-stack acquisition is included. System includes 1 year MDCare PhD Technical Support Plan, and 1-year warranty covering parts & labor.	1	119,554.00	52,603.76	66,950.24
1.01	5058414	ImageXpress Pico CellReporterXpress Small Form-Factor Workstation and Touchscreen Monitor: includes Windows 10 Pro workstation with 10 Core CPU, 32GB RAM, 1TB Solid State Drive, 2 network (NIC) ports, and a 24 inch touchscreen monitor.	1			Included
1.02	GU 03 826 01	DAPI Filter Cube	1			Included

Line #	Part Number	Description	Qty	List Price (USD)	Discount (USD)	Net Price (USD)	
1.03	GU 03 826 04	Cy5 Filter Cube	1			Included	
1.04	GU 03 826 03	TRITC Filter Cube	1			Included	
1.05	GU 03 827 03	FLUOTAR 20x/NA 0.40 Objective	1			Included	
1.06	5076399	PERPETUAL LICENSE FOR DIGITAL CONFOCAL 2-D ON-THE-FLY DECONVOLUTION FOR USE WITH THE CELLREPORTER EXPRESS SOFTWARE AND THE IMAGEEXPRESS PICO	1			Included	
1.07	GU 03 826 05	TEXAS RED FILTER CUBE	1			Included	
1.08	5089752	2.5x/0.07 NA N PLAN OBJECTIVE	1			Included	
1.09	GU 03 827 04	FLUOTAR 40x/NA 0.60 Objective	1			Included	
2.00	5068888	Product Description: CELLREPORTERXPRESS LICENSE FOR MULTIWAVELENGTH CELL SCORING. LICENSE FACILITATES SCORING CELLS BASED UPON A NUCLEAR STAIN AND EITHER TWO OR THREE ADDITIONAL MARKERS.	1	3,531.00	1,765.50	1,765.50	
3.00	5063661	License for the Granularity Analysis Algorithm which enables the Autophagy, Endocytosis, Internalization, Lysosomal degradation, Mitochondria, Phagocytosis, and Pits and Vesicles analysis protocols	1	2,999.00	1,499.50	1,499.50	
4.00	PICO-INSTALL-05	PICO INSTRUMENT INSTALLATION, ONSITE	1	3,618.00	0.00	3,618.00	
5.00	9200-0016	Estimated Shipping & Handling ***Charges are determined at the time of order processing and could vary****	1	735.00	0.00	735.00	
						<b>List Price (USD)</b>	130,437.00
						<b>Discount (USD)</b>	55,868.76
						<b>Net Price (USD)</b>	74,568.24

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Nbr	Qty	UN	Catalog Number	Description	Unit Price	Extended Price
1	1	EA	BDB661311	BD ACCURI C6 PLUS BD Accuri C6 Plus Flow Cytometer System, Product Line: BD Accuri C6 Plus Vendor Catalog # 661311 Hazardous Material This item is being sold as 1 per each Product - Non-Returnable	51,606.38	51,606.38

**MERCHANDISE TOTAL** 51,606.38

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Date: 04/14/2023

Quote Expiration Date: 07/13/2023

Payment Terms: within 30 days Due net

Sales Rep: Animesh Nandi  
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Part Number	Qty	Description	List Price	Unit Discount	Extended Discount	Extended Price	
1	12011452	1	CFX Opus 384 Real-Time PCR System 384-well, 4-color plus FRET, network-connected real-time PCR detection system, includes CFX Opus 384 base unit, cables	\$57,933.00	\$30,934.00	\$30,934.00	\$26,999.00
2	12013758	1	CFX Maestro Software 2.3 for Windows PC 1 license, CFX Maestro 2.3, software for real-time PCR plate setup, data collection, statistics, and graphing of results; for Windows PCs	\$1,289.00	\$386.70	\$386.70	\$902.30
3	12009077	1	GelDoc Go Gel Imaging System with Image Lab Touch Software Gel imaging system, includes Image Lab Touch Software and UV/Stain-Free Imaging Tray; additional imaging trays available separately	\$15,038.00	\$6,038.00	\$6,038.00	\$9,000.00
4	12012160	1	Blue Sample Tray for GelDoc Go Gel Imaging System Pkg of 1, blue sample tray, for nucleic acid applications with GelGreen or any SYBR Stain, includes Gel Alignment Kit (12012190) and XcitaBlue goggles (1708185), for use with GelDoc Go Gel Imaging System	\$937.00	\$468.50	\$468.50	\$468.50
5	12012164	1	UV Shield for GelDoc Go Gel Imaging System Pkg of 1, UV safety shield, to protect users from UV light exposure during band excision, for use with the GelDoc Go Gel Imaging System	\$590.00	\$295.00	\$295.00	\$295.00



6	12012165	1	White Sample Tray for GelDoc Go Gel Imaging System Pkg of 1, white sample tray, for gels and blots stained with Coomassie Blue, copper, silver, or zinc stains, includes Gel Alignment Kit (12012190), for use with GelDoc Go Gel Imaging System	\$937.00	\$468.50	\$468.50	\$468.50
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<b>Total Discount:</b>	\$38,590.70
<b>Sub Total:</b>	\$38,133.30
<b>Estimated Packaging:</b>	\$0.00
<b>Estimated Freight:</b>	\$300.00
<b>Estimated Total:</b>	\$38,433.30

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---

**Notes**

All items include a one year warranty included in the price.

Must purchase all items to receive this discounted pricing

Please mention the quotation number QQ376559-CPQ23 when placing an order.





Subramanyam Murthy

Phone: 504-214-0213

Customer #: 10-0031490

**Billing Address**

Southern University and A&M college  
 Room 206, Health Research Center Lee Hall  
 Extn Baton Rouge, LA 70813-70813

**Shipping Address**

Southern University and A&M college  
 Room 206 Health Research Centre Lee hall  
 Extn Baton Rouge, LA 70813-70813

**ORDER FORM**

Toll-Free Phone: 800.789.5550

www.geneseesci.com

Your local Genesee sales representative:

Whitney Downs

858-357-2057

wdowns@geneseesci.com

Print Date: 05/09/2023

LINE #	PRODUCT	LIST PRICE	YOUR PRICE	QTY	TOTAL PRICE
1	Cat #: 95-106 Beckman Coulter B30148 Microfuge 20R Refrigerated Microcentrifuge, FA241.5 Fixed-Angle Rotor, 1 Centrifuge/Unit FA241.5 Fixed-Angle Rotor 1 Centrifuge/Unit	\$9,384.75	\$5,552.85	1	\$5,552.85
2	Cat #: 33-790L Accuris NS1000 SmartDrop™ L Nano Spectrophotometer, 115V, US Plug, 1 Spectrophotometer/Unit 115V, US Plug 1 Spectrophotometer/Unit	\$7,438.60	\$6,820.80	1	\$6,820.80
3	Cat #: 31-605 Benchmark Scientific T5000-96 Gradient Thermal Cycler, 96 x 0.2ml or 39 x 0.5ml Tubes, 1 Thermal Cycler/Unit 96 x 0.2ml or 39 x 0.5ml Tubes 1 Thermal Cycler/Unit	\$6,418.55	\$5,877.25	1	\$5,877.25
<b>Total:</b>					<b>\$18,250.90</b>

For questions concerning this order, please call 800.789.5550  
 www.geneseesci.com

Subramanyam Murthy  
Phone: 504-214-0213  
Customer #: 10-0031490



Shipping Address  
Southern University and A&M college  
Room 206 Health Research Centre Lee hall Extn  
Baton Rouge, LA 70813-70813

# OFFLINE PRICE QUOTE

## QUOTE #: OFQ-22055606

Toll-Free Phone: 800.789.5550  
[www.geneseesci.com](http://www.geneseesci.com)

Your local Genesee sales representative:  
Whitney Downs  
858-357-2057  
[wdowns@geneseesci.com](mailto:wdowns@geneseesci.com)

Print Date: 05/09/2023

Expiration Date: 08/31/2023

LINE #	PRODUCT	LIST PRICE	YOUR PRICE	QTY	TOTAL PRICE
1	Cat #: 79-204 Haier Biomedical DW-86L490JA Ultra Low -86°C Freezer 17.3CuFt, Double Door, 490L, 220V, 1 Upright Freezer/Unit Double Door, 490L, 220V 1 Upright Freezer/Unit	\$15,349.05	\$8,000.00	1	\$8,000.00
Freight:					\$775.00
Total:					\$8,775.00

Shipping charge is for Will Call White Glove Service

**THIS IS ONLY A QUOTE.** Must reference offline price quote # at time of order to receive discounted pricing.  
A purchase order must be generated and placed with Genesee Scientific.

For questions concerning this order, please call 800.789.5550  
[www.geneseesci.com](http://www.geneseesci.com)

# Sales Quotation

*Quote Nbr	Creation Date	Due Date	Page
3130-7907-12	05/10/2023		1 of 1
Payment Terms		Delivery Terms	
NET 30 DAYS		DEST	
Valid To		Prepared By	
09/07/2023		LAPALOMBELLA, GIANLU	
Customer Reference		Sales Representative	
RFQ 5/10/23		GIANLUCA LAPALOMBELLA	
To place an order	Ph: 800-955-1177	Fx: 800-955-0740	
Submitted To:		Customer Account: 783584-001	
RAO UPPU		SOUTHERN UNIVERSITY A&M COLLEGE JAMES L HUNT ST THEODORE/CENTRAL RCVNG BATON ROUGE LA 70813-0001	



Part of Thermo Fisher Scientific

FISHER SCIENCE EDUCATION  
4500 TURNBERRY DRIVE  
HANOVER PARK IL 60133-5491



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**\*Please reference this Quote Number on all correspondence.**

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For complete Terms and Conditions, please [click here](#).

Nbr	Qty	UN	Catalog Number	Description	Unit Price	Extended Price
1	1	EA	11C80500ACA	PURE SCHOLAR CHROMATOGRAPHY BUCHI Pure Chromatography System for Academic Research, Flash Chromatography, Column Type: Flash cartridge or column, For Use With: Purification, Height: 680 mm, Hertz: 50-60 Hz, Length: 570 mm, Max. Pressure: 725 psi, Voltage: 100/240 V, Width: 365 mm Vendor Catalog # 11C80500ACA Hazardous Material This item is being sold as 1 per each	20,588.43	20,588.43



MERCHANDISE TOTAL

20,588.43

**NOTES:**

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Tell us about your recent customer service experience by completing a short survey. This should take no longer than three minutes. Enter the link into your browser and enter the passcode: USA-PGH-CS2

<http://survey.medallia.com/fishersci>

# Sales Quotation

*Quote Nbr	Creation Date	Due Date	Page
3130-7908-45	05/10/2023		1 of 1
Payment Terms		Delivery Terms	
NET 30 DAYS		DEST	
Valid To		Prepared By	
09/07/2023		LAPALOMBELLA, GIANLU	
Customer Reference		Sales Representative	
RFQ 5/10/23		GIANLUCA LAPALOMBELLA	
To place an order	Ph: 800-955-1177	Fx: 800-955-0740	
Submitted To:		Customer Account: 783584-001	
RAO UPPU		SOUTHERN UNIVERSITY A&M COLLEGE JAMES L HUNT ST THEODORE/CENTRAL RCVNG BATON ROUGE LA 70813-0001	



FISHER SCIENCE EDUCATION  
4500 TURNBERRY DRIVE  
HANOVER PARK IL 60133-5491

[Review and Place Order](#)

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**\*Please reference this Quote Number on all correspondence.**

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Nbr	Qty	UN	Catalog Number	Description	Unit Price	Extended Price
1	1	EA	13261222CON	1300 A2 SS 4FTPKG 120V CONV PM Thermo Scientific 1300 Series A2 Class II, Type A2 Bio Safety Cabinets (without accessories) PROMO, Width Cabinet: 4 ft., Chamber Material: Stainless Steel, Sash Opening: 10 in., 25 cm, Electrical Requirements: 120 V, 50/60 Hz, Certifications/Compliance: NSF/ANSI 49, Model: 1300 Series Vendor Catalog # 1375CONV This item is being sold as 1 per each Product - Non-Returnable	9,135.00	9,135.00
<b>MERCHANDISE TOTAL</b>						<b>9,135.00</b>

**NOTES:**

We now offer highly competitive financing with low monthly payments. Please contact your local sales representative for more information.

Tell us about your recent customer service experience by completing a short survey. This should take no longer than three minutes. Enter the link into your browser and enter the passcode: USA-PGH-CS2

<http://survey.medallia.com/fishersci>



# World Precision Instruments, LLC

175 Sarasota Center Boulevard \* Sarasota, FL 34240 USA

Order toll-free 866-606-1974

Toll-free Fax: (888) 322-0993

http://www.wpiinc.com

**Quote # WPIQ28191**

**Sold To:** Southern University and A&M College  
 Rao Uppu  
 154 Lee Hall Road  
 James L Hunt St  
 Baton Rouge, LA 70813

**Phone:**  
**Fax:**  
**E-mail:** rao\_oppu@subr.edu

**Ship To:**  
 Rao Uppu  
 154 Lee Hall Road  
 James L Hunt St  
 Baton Rouge, LA 70813  
 United States

To assure correct pricing, please refer to quote # WPIQ28191 when placing your order.

Rep	Date	Quote #
Neil Derridinger	5/9/2023	WPIQ28191

Ln #	Qty	Stock Code	Description	Unit Price	Ext. Price
1	1	TBR4100-416	TBR4100 W/ LAB-TRAX-4	\$11,860.00	\$11,860.00
2			<b>120V</b>		
3	1	ISO-HPO-2	2mm SHIELDED HPO SENSOR	\$1,362.00	\$1,362.00
4			100.0% Discount (Free W/ TBR4100)		-\$1,362.00
5	1	ISO-OXY-2	2mm O2 SENSOR, SHIELD W/CABLE	\$716.00	\$716.00
6			100.0% Discount (Free W/ TBR4100)		-\$716.00
7	1	ISO-H2S-2	2mm SHIELDED H2S SENSOR	\$1,396.00	\$1,396.00
8	1	600011	ISO-HPO START-UP KIT	\$281.00	\$281.00
9			100.0% Discount (Free W/ TBR4100)		-\$281.00
10	1	5377	KIT START-UP OXEL-1	\$135.00	\$135.00
11			100.0% Discount (Free W/ TBR4100)		-\$135.00
12			SubTotal		\$13,256.00
13			6.0% Discount (May Discount)		-\$795.36

Ln #	Qty	Stock Code	Description	Unit Price	Ext. Price
				SubTotal	\$12,460.64
				<b>Total</b>	<b>\$12,460.64</b>

Please do not hesitate to contact me directly, via e-mail, phone or fax, if you require further assistance on any product in our latest catalog or website. Thank you for your interest in WPI products.

Sales Coordinator

QUOTE IS VALID FOR 30 DAYS FROM DATE OF RECEIPT AND INCLUDES ALL ITEMS WITH THE EXCEPTION OF SHIPPING CHARGES, WHICH ARE PREPAID AND ADDED TO THE INVOICE. ALL ORDERS ARE SHIPPED UPS GROUND.

Unless otherwise noted equipment is warranted for 12 months parts & labor  
 Items in new condition may be accepted for exchange or credit within 30 days of receipt.  
 See complete Return Policy at [www.wpiinc.com/returns](http://www.wpiinc.com/returns)



**Fisher Science Education**

Part of Thermo Fisher Scientific

To: RAO UPPU

Date: 05/09/2023

Message: FREE SHIPPING INCLUDED

# Sales Quotation

*Quote Nbr	Creation Date	Due Date	Page
3129-7864-77	05/09/2023		1 of 4
Payment Terms		Delivery Terms	
NET 30 DAYS		DEST	
Valid To		Prepared By	
09/06/2023		LAPALOMBELLA, GIANLU	
Customer Reference		Sales Representative	
RFQ 5/9/23		GIANLUCA LAPALOMBELLA	
To place an order	Ph: 800-955-1177	Fx: 800-955-0740	
Submitted To:		Customer Account: 783584-006	
RAO UPPU 225-771-4525		SOUTHERN UNIVERSITY & A&M COLLEGE 210 LEE HALL CHEMISTRY DEPT BATON ROUGE LA 70813	



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FISHER SCIENCE EDUCATION  
4500 TURNBERRY DRIVE  
HANOVER PARK IL 60133-5491



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Nbr	Qty	UN	Catalog Number	Description	Unit Price	Extended Price
1	2	EA	SIMPAK2	SIMPAK 2 KIT MilliporeSigma Simplicity Ultrapure Water System: Simpak 2 Kit, For Use With: Simplicity 185 ultrapure water system, Cartridge Kit, Feedwater Source: Deionized, Includes: One Simpak two purification pack, one reservoir vent filter and one 0.05um Simfilter final filter, Model: SimPak 2 Vendor Catalog # SIMPAK2 Shelf Life 1Y This item is being sold as 1 per each	686.31	1,372.62
2	1	EA	13300138	ELECTRODE 12MM DIRECT CONNECT Oakton Waterproof pHTestr BNC Electrodes and Accessories, Junction: Single, pH electrode, Connector Types: BNC, Epoxy, Applications: For clean water, low ionic strength solutions, Diameter: 0.47 in., 12mm, For Use With: Oakton pHTestr, pH Range: 0 to 14.99, pH Relative Accuracy: +/-0.02 Vendor Catalog # 35804-00 This item is being sold as 1 per each	78.89	78.89
3	1	EA	13300165	ELECTRODE DC DJ APOXY SEAL Oakton Waterproof pHTestr BNC Electrodes and Accessories, Junction: Double, pH electrode, Connector Types: BNC, Epoxy, Applications: For dirty water, high-strength solutions, life sciences, Tris buffers, Diameter: 0.47 in., 12mm, For Use With: Oakton pHTestr, pH Range: 0 to 14.99 Vendor Catalog # 35804-02X This item is being sold as 1 per each	91.38	91.38





# Sales Quotation




Quote Nbr	Customer Reference	Page
3129-7864-77	RFQ 5/9/23	2 of 4

Nbr	Qty	UN	Catalog Number	Description	Unit Price	Extended Price
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4	1	EA	NC1594405	<b>P200-02 PH METER KIT 3IN1 ELEC</b>  <p>The P200 series of benchtop meters provides accurate, reliable results with the benefit of convenient accessories to make your lab run smoothly. Large color TFT display is easily visible, and features a stability icon to alert you when your readings are ready to be recorded and an electrode health icon indicating when you need to refill or replace your electrode.                      Vendor Catalog # 5925005                      Hazardous Material</p>	553.50	553.50
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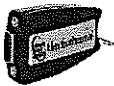

5	1	EA	501961213	<b>SCAN SPEC DIODE UV-VIS 90-240V</b>  <p>The multi-element detectors on these scanning spectrophotometers measures the entire wavelength range at once, reducing wait times. Plus, each dataset contains readings from the complete spectrum, making the data readily available for future analysis. The USB port on the rear connects with a printer (order separately), while the USB on the front accepts flash drives for data storage, quantitation curve uploads, and firmware updates. Measurement modes include photometrics, concentration, optical density (O.D. at 600 nm), quantitation, spectrum scanning, and kinetics. Incl: 10 x 10 mm cuvette holder, USB memory stick, and power adapter with three plugs (US, Euro, and UK). Fast scan speed? as short as 3 seconds. Wavelength range: 198 to 800 nm. Spectral bandwidth of 5 nm. Wavelength Accuracy □2.0 nm                      Vendor Catalog # 8305602                      Hazardous Material                      This item is being sold as 1 per each</p>	3,228.33	3,228.33
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6	1	EA	NC2226730	<b>MP-250D-F STD DIGITAL MELTING</b>  <p>The MP-250D series digital melting point apparatus allows you to easily view three capillary tube samples simultaneously through the 8x magnifying lens. The adjustable extension arm can be set to different viewing heights making it ideal for multiple users. A rotating viewing head and safety eye piece eliminate glare on the lens and protect you against hot zone. A 13-key membrane keypad offers easy-to-use menus. The conveniently located push button controls allow temperature recording without looking away from the sample. A digital microprocessor with 0.1C resolution provides fast warm-up and accurate temperature control. Units can be calibrated by on site or by the manufacturer/service organization. A calibration kit is required if you choose to calibrate on site.</p>	1,438.24	1,438.24
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# Sales Quotation



Quote Nbr	Customer Reference	Page
3129-7864-77	RFQ 5/9/23	3 of 4

Nbr	Qty	UN	Catalog Number	Description	Unit Price	Extended Price
				Vendor Catalog # 0301051 Hazardous Material Original Catalog Number 0301051 Product - Non-Returnable		
7	1	EA	NC0437679	AZ9253 CALIBRATION KEY  This calibration key is compatible with Electrothermal's digital melting point meters. Vendor Catalog # 0301065 Hazardous Material	344.11	344.11
8	1	EA	SIMSV00US	SIMPLICITY UV 1/PK  MilliporeSigma Simplicity Water Purification System, Total Organic Carbon: Less than5, Weight: 11.9 lb., 5.4kg, Bacterial Content: Less than0.1cfu/mL, Endotoxin Concentration: Less than0.001, Flow Rate: Greater than0.5, Water purification system, Product Water Type: Type 1, Resistivity: 18.2 Vendor Catalog # SIMSV00US This item is being sold as 1 per each	4,800.28	4,800.28
9	1	EA	15200900	PH ELEC. STORAGE SOL. 475ML 475 mL (1 pint), Colorless, pH Electrode Storage Solution, 1 pint (475 mL) Bottle, pH electrode, Ensures that the pH electrode works properly after prolonged storage, overnight storage and between samples, 6.6, 6.3 to 6.9, Liquid, Storage solution, pH electrode solution Vendor Catalog # 910001FS This item is being sold as 1 per each	57.07	57.07
10	1	EA	15200901	PH 7.00 BUFFER YELLOW 475ML 475 mL, pH 7.00 (Yellow) Buffer, pH Meter and Electrode, For accurate, reproducible pH calibrations, Yes, Bottle, Buffer solution, pH Buffer, bottles Vendor Catalog # 910107FS This item is being sold as 1 per each	19.26	19.26
11	1	EA	15200902	PH 4.01 BUFFER RED 475ML 475 mL, pH 4.01 (Red) Buffer, pH Meter and Electrode, For accurate, reproducible pH calibrations, Yes, Bottle, Buffer solution, pH Buffer, bottles Vendor Catalog # 910104FS This item is being sold as 1 per each	19.26	19.26

# Sales Quotation



Quote Nbr	Customer Reference	Page
3129-7864-77	RFQ 5/9/23	4 of 4

Nbr	Qty	UN	Catalog Number	Description	Unit Price	Extended Price
12	1	EA	15200903	PH 10.01 BUFFER BLUE 475ML 475 mL, pH 10.01 (Blue) Buffer, pH Meter and Electrode, For accurate, reproducible pH calibrations, Yes, Bottle, Buffer solution, pH Buffer, bottles Vendor Catalog # 910110FS This item is being sold as 1 per each	19.26	19.26
13	3	CS	1496129	TUBE CULT DSP 16X100MM 1000/CS Fisherbrand Disposable Borosilicate Glass Tubes with Plain End, O.D. x L: 16 x 100mm, Diameter Outer: 16mm, Length: 100mm, Capacity: 15mL, Closure: KIM-KAP, Non-sterile, Autoclavable: Yes, Clear, Design Type: Plain, Disposable: Yes, For Use With: For tissue culture and clinical chemistry Vendor Catalog # 60E14-961-29 This item is being sold as 1000 each per case Product - Non-Returnable	114.30	342.90

**MERCHANDISE TOTAL**

**12,365.10**

**NOTES:**

Returns are subject to manufacturer terms and conditions.

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Tell us about your recent customer service experience by completing a short survey. This should take no longer than three minutes. Enter the link into your browser and enter the passcode: USA-PGH-CS2

<http://survey.medallia.com/fishersci>



## Quotation

Attn : Eduardo Martinez  
 Dept :  
 Fax :  
 Email : eduardo\_martinez@subr.edu  
 Quoted to : Southern University  
 Mechanical Engineering Dept.  
 BATON ROUGE, Louisiana 70813

Quotation : 12735038  
 Quote Date : 5/09/23

Your Reference :

Thank you for the opportunity to provide you a quotation for the following product(s).  
 \*\*\*Please reference the Keyence Quotation number 12735038 when placing your order!

Reference : \*\*\*Please Note: Pallet/LTL Shipping Required\*\*\*

Sales Contact : THOMPSON, DYLAN  
 Tel : 1-888-KEYENCE Ext :  
 Fax : 855-539-0123  
 Email : Dylan.Thompson@keyence.com

Line	Item	Item Description	Taxable	Unit Price	Qty	Ext Price
			Unit			
1	BZ-X810	BZX Fluorescence Microscope BZX Microscope Head	pcs	36,400.00	1	36,400.00
	HS Code:	9011800000				
2	BZ-X800LE	BZX Fluorescence Microscope BZX Microscope Controller	pcs	12,500.00	1	12,500.00
	HS Code:	8471801000				
3	BZ-H4A	BZX Software BZX Analyzer Software	pcs	7,500.00	1	7,500.00
	HS Code:	8523492010				
4	OP-87763	BZX Accessory BZX GFP Filter	pcs	1,850.00	1	1,850.00
	HS Code:	9002208000				
5	OP-87765	BZX Accessory BZX Texas Red Filter	pcs	1,850.00	1	1,850.00
	HS Code:	9002208000				
6	OP-87762	BZX Accessory BZX DAPI Filter	pcs	1,850.00	1	1,850.00
	HS Code:	9002208000				
7	BZ-PF10P	BZ Objective Lens (10x Phase) Plan Fluorite 10x PH	pcs	1,000.00	1	1,000.00
	HS Code:	9002909500				
8	BZ-PF40LP	BZ Objective Lens (40x Phase) Plan Fluorite 40x LD PH	pcs	2,500.00	1	2,500.00
	HS Code:	9002909500				
9	BZ-PA60	BZ Objective Lens (60x Oil) Plan Achromat 60x Oil	pcs	6,900.00	1	6,900.00
	HS Code:	9002909500				

Keyence Corporation of America Terms & Conditions apply. <https://www.keyence.com/terms-conditions/>



# Quotation

Attn : Eduardo Martinez  
 Dept :  
 Fax :  
 Email : eduardo\_martinez@subr.edu  
 Quoted to : Southern University  
 Mechanical Engineering Dept.  
 BATON ROUGE, Louisiana 70813

Quotation : 12735038  
 Quote Date : 5/09/23

Your Reference :

Thank you for the opportunity to provide you a quotation for the following product(s).

\*\*\*Please reference the Keyence Quotation number 12735038 when placing your order!

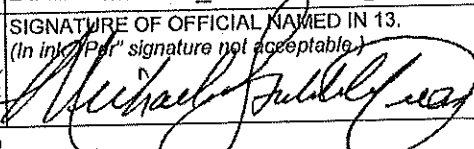
Reference : \*\*\*Please Note: Pallet/LTL Shipping Required\*\*\*

Sales Contact : THOMPSON, DYLAN  
 Tel : 1-888-KEYENCE Ext :  
 Fax : 855-539-0123  
 Email : Dylan.Thompson@keyence.com

Line	Item	Item Description	Taxable	Unit Price	Qty	Ext Price	
			Unit				
10	972326	Win10 PC for BZ-X800	pcs	2,300.00	1	2,300.00	
	HS Code: 8471500150						
11	972072B	23" MONITOR 23" Monitor	pcs	700.00	1	700.00	
	HS Code: 8528520000						
**Your company's tax status is currently pending. State sales tax may apply. If you are tax exempt, please provide us with your State Tax Exemption Certificate, Resale Certificate, or Direct Pay Permit. Send certificate to the Fax or Email listed below.** **HS Codes provided for general information purposes only. Keyence is not responsible for any custom clearance issues if HS codes used by a third party for import purposes.**						Sub Total	75,350.00
						Discount Amount	2,350.00
						Misc. Charges	0.00
						Shipping & Handling	449.00
						Tax	Pending
						Total (USD)	73,449.00

AVAILABILITY : Limited Qty In Stock  
 Shipping : SEKO LTL Ground  
 F.O.B Point : Itasca, IL  
 Terms : Terms Pending  
 Quote Expires: 05/22/23  
 Quoted shipping & handling cost is an estimate based on quantities and method of delivery. Prices, Availability and Terms are subject to Change.

FOR ORDERS & CUSTOMER SUPPORT,  
 PLEASE CONTACT:  
 CUSTOMER SERVICE  
 TEL: 1-888-KEYENCE(539-3623) EXT.28761  
 FAX: 855-539-0123  
 EMAIL: CustomerService@Keyence.com

Department of Health and Human Services Public Health Services <h3 style="margin: 0;">Grant Application</h3> <p style="font-size: small; margin: 0;">Do not exceed character length restrictions indicated.</p>		<b>LEAVE BLANK—FOR PHS USE ONLY.</b> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Type</td> <td style="width: 30%;">Activity</td> <td style="width: 20%;">Number</td> <td colspan="2"></td> </tr> <tr> <td>Review Group</td> <td></td> <td>Formerly</td> <td colspan="2"></td> </tr> <tr> <td>Council/Board (Month, Year)</td> <td></td> <td>Date Received</td> <td colspan="2"></td> </tr> </table>				Type	Activity	Number			Review Group		Formerly			Council/Board (Month, Year)		Date Received		
Type	Activity	Number																		
Review Group		Formerly																		
Council/Board (Month, Year)		Date Received																		
1. TITLE OF PROJECT (Do not exceed 81 characters, including spaces and punctuation.) Oxidized Cholesterol in Amyloid Aggregation and Neuronal Cell Apoptosis																				
2. RESPONSE TO SPECIFIC REQUEST FOR APPLICATIONS OR PROGRAM ANNOUNCEMENT OR SOLICITATION <input checked="" type="checkbox"/> NO <input type="checkbox"/> YES (If "Yes," state number and title) Number: Title: LBRN Pilot Research Project - 2023-2024																				
3. PROGRAM DIRECTOR/PRINCIPAL INVESTIGATOR																				
3a. NAME (Last, first, middle) Uppu, Rao M		3b. DEGREE(S) BS MS PhD		3h. eRA Commons User Name Rao Uppu																
3c. POSITION TITLE Professor		3d. MAILING ADDRESS (Street, city, state, zip code) Department of Environmental Toxicology 154 Lee Hall Elton C. Harrison Drive Southern University and A&M College Baton Rouge, LA 70813																		
3e. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT Health Research Center																				
3f. MAJOR SUBDIVISION Environmental Toxicology PhD Program																				
3g. TELEPHONE AND FAX (Area code, number and extension) TEL: (225) 771 4525 FAX: (225) 771 5350		E-MAIL ADDRESS: rao_uppu@subr.edu																		
4. HUMAN SUBJECTS RESEARCH <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes		4a. Research Exempt <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes		If "Yes," Exemption No.																
4b. Federal-Wide Assurance No.		4c. Clinical Trial <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes		4d. NIH-defined Phase III Clinical Trial <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes																
5. VERTEBRATE ANIMALS <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			5a. Animal Welfare Assurance No.																	
6. DATES OF PROPOSED PERIOD OF SUPPORT (month, day, year—MM/DD/YY) From 05/01/2023 Through 04/30/2024		7. COSTS REQUESTED FOR INITIAL BUDGET PERIOD 7a. Direct Costs (\$) \$50,000		8. COSTS REQUESTED FOR PROPOSED PERIOD OF SUPPORT 7b. Total Costs (\$) \$70,000																
		8a. Direct Costs (\$) \$50,000		8b. Total Costs (\$) \$70,000																
9. APPLICANT ORGANIZATION Name Southern University and A&M College Address Office of Sponsored Programs, P.O. Box 1 2596 Southern University and A&M College Baton Rouge, LA 70813-2596		10. TYPE OF ORGANIZATION Public: → <input type="checkbox"/> Federal <input type="checkbox"/> State <input type="checkbox"/> Local Private: → <input type="checkbox"/> Private Nonprofit For-profit: → <input type="checkbox"/> General <input type="checkbox"/> Small Business <input type="checkbox"/> Woman-owned <input type="checkbox"/> Socially and Economically Disadvantaged																		
		11. ENTITY IDENTIFICATION NUMBER 1-72600081 7-A1 DUNS NO. 05-351-5743 Cong. District Six																		
12. ADMINISTRATIVE OFFICIAL TO BE NOTIFIED IF AWARD IS MADE Name Norma J. Frank Title Director Address Office of Research and Strategic Initiatives Southern University and A&M College Baton Rouge, LA 70813-2596 Tel: (225) 771-2809 FAX: (225) 771-5231 E-Mail: Norma_Frank@subr.edu		13. OFFICIAL SIGNING FOR APPLICANT ORGANIZATION Name Dr. Michael A. Stubblefield, Vice Chancellor for Title Research and Strategic Initiatives Address Office of Research and Strategic Initiatives Southern University and A&M College Baton Rouge, LA 70813-2596 Tel: (225) 771-3890 FAX: (225) 771-5231 E-Mail: michael_stubblefield@subr.edu																		
14. APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE: I certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.		SIGNATURE OF OFFICIAL NAMED IN 13. (In ink. "For" signature not acceptable.) 		DATE 11/22/2022																

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## Application Summary

### Competition Details

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**Competition Title:** Louisiana Biomedical Research Network – Requesting Proposals for LBRN Pilot Research Project - 2023-2024

**Category:**

**Cycle:**

**Submission Deadline:** 11/25/2022 4:30 PM

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### Application Information

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**Submitted By:** Rao Uppu

**Application ID:** 316

**Application Title:** Oxidized Cholesterol in Amyloid Aggregation and Neuronal Cell Apoptosis

**Date Submitted:** 11/25/2022 1:10 PM

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### Personal Details

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**Applicant First Name:** Rao

**Applicant Last Name:** Uppu

**Applicant Degree(s):** BS, MS, PhD

**Email Address:** rao\_uppu815@subr.edu

**Phone Number:** (225) 402-3217

**Primary Appointment Title:** Professor

**Contact Person's Name:** Rao M Uppu

**Contact Person's Email Address:** rao\_uppu@subr.edu

**Contact Person's Phone Number:** 2254023217

**Applicant's Primary Institution:** Southern University at Baton Rouge

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### Mentor

Dr. Sanjay Batra, professor and chair of the Environmental Toxicology Department at SUBR, is an accomplished researcher in cellular and molecular biology. While the focus of research in his laboratory is primarily on molecular mechanisms associated with innate immunity in response to pulmonary bacterial infections, Dr. Batra has been very active in areas of environmental molecular toxicology of air pollutants such as pentachlorophenol. Related to the experimental work proposed in the current project, Dr. Batra's laboratory is well equipped with state-of-the-art equipment to carry out intracellular misfolded proteins, western blot analysis, measurement of antioxidant activity, and cytotoxicity (including autophagy). Currently, the laboratory is into bioinformatics, computational modeling, and machine learning (AI) tools to identify possible molecular targets for focusing in vitro approaches. Additionally, Dr. Batra has several doctoral students, postdoctoral researchers; medical residents; medical technicians; and junior faculty.

Contact Information: Department of Environmental Toxicology, Southern University and A&M College, Baton Rouge, LA 70813; Tel: +1 225 771-4303 (Office); +1 614 806-4064 (Cell); E-mail: sanjay\_batra@subr.edu.



**Mentor's Primary Institution:**

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**Co-Investigator(s)**

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Name	Email	Affiliation	Professional Title	Specific Expertise	College	Department
No Co-Investigator(s)						

**Application Details**

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**Proposal Title**

Oxidized Cholesterol in Amyloid Aggregation and Neuronal Cell Apoptosis

**Proposal Abstract**

This study aims at understanding the role of aldehydic and non-aldehydic cholesterol oxidation products (COPs) in the formation and consequences of amyloid- $\beta$  ( $A\beta$ ) aggregation in neuronal cells. Previous studies from our laboratory have demonstrated that 3 $\beta$ -hydroxy-5-oxo-5,6-secocholestan-6-al (ChSeco; a representative, aldehydic COP formed in ozone and/or singlet oxygen-mediated oxidation of cholesterol) induces  $A\beta$  aggregation and apoptosis with an increase in oxidative stress status (OSS) in GT1-7 hypothalamic neurons. Studies from other laboratories have demonstrated the presence of ChSeco in the human brain samples of Alzheimer's disease (AD) and Lewy body dementia, meaning that COPs may have a role in the etiology of neuronal disease. Based on our preliminary results, and the fact that OSS has been suggested to be the primary mechanism by which  $A\beta$  aggregates induce cytotoxicity, **we hypothesize that COPs induce  $A\beta$  aggregation in situ which, in turn, mediates the cytotoxicity via increased production of cellular oxidants and lipid peroxidation.** In this study, we focus on studying  $A\beta$  aggregation, OSS, and cytotoxicity in murine GT1-7 hypothalamic neurons and SH-SY5Y neuroblastoma cells (collectively referred to as neuronal cells in this proposal) by four COPs (ChSeco, 9-oxononanoylcholesterol, 5-oxovaleroylcholesterol, and 5 $\beta$ ,6 $\beta$ -epoxy-cholesterol). The two neuronal cells, which represent mouse and human cell types, have been extensively used in studies of the pathogenesis of AD mediated through  $A\beta$  aggregates. The three specific aims (SAs) we wish to study to understand the complex interaction of OSS,  $A\beta$  aggregation, and cytotoxicity are 1) determine if  $A\beta$  aggregation in neuronal cells occurs in response to exposure to COPs; 2) determine if OSS the cytotoxicity in neuronal cells exposed to COPs; and 3) determine if prevention of  $A\beta$  aggregation alters cytotoxicity of COPs. We will test  $\beta$ -sheet breakers, low molecular weight chaperons, HMG CoA reductase inhibitors, non-steroidal anti-inflammatory drugs (NSAIDs), and amines (semicarbazone, pyridoxamine, and polyamines) for their effect on the reversal of  $A\beta$  aggregation and associated cytotoxicity. The results from SAs 1 and 2 are anticipated to advance our understanding of  $A\beta$  aggregation and downstream signaling in COP-exposed neuronal cells. The information on the modulation of  $A\beta$  aggregation by pharmaceutical agents (SA 3) is expected to promote further research leading to improved therapeutic intervention and appropriate medical management in neuronal diseases associated with protein misfolding.

**Proposed Project Start Date**

05/1/2023

**Proposed Project End Date**

04/30/2024

**Estimated Project Funding Requested**

50,000

**Are Human Subjects Involved**

No

**Clinical Trial**

No

**Are Vertebrate Animals Used**

No

**Are Vertebrate Animals Euthanized**

**If yes to Euthanasia, is method consistent with American Veterinary Medical Association Guidelines?**

**If not AVMA guidelines, describe method and provide scientific justification**

Not applicable

**Does the project involve use of Human Embryonic Cells?**

No

**If the proposed project involves human embryonic stem cells, list below the registration number of the specific cell line(s) from the following list: [https://grants.nih.gov/stem\\_cells/registry/](https://grants.nih.gov/stem_cells/registry/)**

Not applicable

**Specific stem cell cannot be referenced at this time. One from the registry will be used**

No

PROJECT SUMMARY (See instructions):

This study aims at understanding the role of aldehydic and non-aldehydic cholesterol oxidation products (COPs) in the formation and consequences of amyloid- $\beta$  ( $A\beta$ ) aggregation in neuronal cells. Previous studies from our laboratory have demonstrated that 3 $\beta$ -hydroxy-5-oxo-5,6-secocholestan-6-al (ChSeco; a representative, aldehydic COP formed in ozone and/or singlet oxygen-mediated oxidation of cholesterol) induces  $A\beta$  aggregation and apoptosis with an increase in oxidative stress status (OSS) in GT1-7 hypothalamic neurons. Studies from other laboratories have demonstrated the presence of ChSeco in the human brain samples of Alzheimer's disease (AD) and Lewy body dementia, meaning that COPs may have a role in the etiology of neuronal disease. Based on our preliminary results, and the fact that OSS has been suggested to be the primary mechanism by which  $A\beta$  aggregates induce cytotoxicity, **we hypothesize that COPs induce  $A\beta$  aggregation in situ which, in turn, mediates the cytotoxicity via increased production of cellular oxidants and lipid peroxidation.** In this study, we focus on studying  $A\beta$  aggregation, OSS, and cytotoxicity in murine GT1-7 hypothalamic neurons and SH-SY5Y neuroblastoma cells (collectively referred to as neuronal cells in this proposal) by four COPs (ChSeco, 9-oxononanoylcholesterol, 5-oxovaleroylcholesterol, and 5 $\beta$ ,6 $\beta$ -epoxy-cholesterol). The two neuronal cells, which represent mouse and human cell types, have been extensively used in studies of the pathogenesis of AD mediated through  $A\beta$  aggregates. The three specific aims (SAs) we wish to study to understand the complex interaction of OSS,  $A\beta$  aggregation, and cytotoxicity are 1) determine if  $A\beta$  aggregation in neuronal cells occurs in response to exposure to COPs; 2) determine if OSS the cytotoxicity in neuronal cells exposed to COPs; and 3) determine if prevention of  $A\beta$  aggregation alters cytotoxicity of COPs. We will test  $\beta$ -sheet breakers, low molecular weight chaperons, HMG CoA reductase inhibitors, non-steroidal anti-inflammatory drugs (NSAIDs), and amines (semicarbazone, pyridoxamine, and polyamines) for their effect on the reversal of  $A\beta$  aggregation and associated cytotoxicity. The results from SAs 1 and 2 are anticipated to advance our understanding of  $A\beta$  aggregation and downstream signaling in COP-exposed neuronal cells. The information on the modulation of  $A\beta$  aggregation by pharmaceutical agents (SA 3) is expected to promote further research leading to improved therapeutic intervention and appropriate medical management in neuronal diseases associated with protein misfolding.

RELEVANCE (See instructions):

Cholesterol oxidation products (COPs) formed during ozone and/or singlet oxygen mediated reactions have been increasingly recognized to play crucial roles neuronal cell metabolism. A thorough understanding of the complex interplay between oxidative stress status, amyloid aggregation, and cytotoxicity is anticipated to advance towards improved therapeutic intervention and appropriate medical management in Alzheimer's and other neuronal diseases.

PROJECT/PERFORMANCE SITE(S) (If additional space is needed, use Project/Performance Site Format Page)

<b>Project/Performance Site Primary Location</b>			
Organizational Name: Southern University and A&M College			
DUNS: 05-351-5743			
Street 1: 154 Lee Hall (Health Research Center)		Street 2: Elton C. Harrison Drive	
City: Baton Rouge		County: EBR	State: LA
Province:	Country: USA	Zip/Postal Code: 70813	
Project/Performance Site Congressional Districts: SIX			
<b>Additional Project/Performance Site Location</b>			
Organizational Name:			
DUNS:			
Street 1:		Street 2:	
City:		County:	State:
Province:	Country:	Zip/Postal Code:	
Project/Performance Site Congressional Districts:			

Program Director/Principal Investigator (Last, First, Middle): Uppu, Rao, Mallikarjuna

SENIOR/KEY PERSONNEL. See instructions. Use continuation pages as needed to provide the required information in the format shown below. Start with Program Director(s)/Principal Investigator(s). List all other senior/key personnel in alphabetical order, last name first.

Name	eRA Commons User Name	Organization	Role on Project
Uppu, Rao, Mallikarjuna	Rao Uppu	SUBR	PI
TBA	N/A	SUBR	Graduate Student

OTHER SIGNIFICANT CONTRIBUTORS

Name	Organization	Role on Project
Batra, Sanjay	SUBR	Mentor

Human Embryonic Stem Cells  No  Yes

If the proposed project involves human embryonic stem cells, list below the registration number of the specific cell line(s) from the following list: [https://grants.nih.gov/stem\\_cells/registry/current.htm](https://grants.nih.gov/stem_cells/registry/current.htm). Use continuation pages as needed.

If a specific line cannot be referenced at this time, include a statement that one from the Registry will be used.

Cell Line

The name of the program director/principal investigator must be provided at the top of each printed page and each continuation page.

**RESEARCH GRANT  
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8. Consortium/Contractual Arrangements.....	
9. Letters of Support (e.g., Consultants) .....	
10. Resource Sharing Plan(s) .....	
11. Authentication of Key Biological and/or Chemical Resources.....	
12. PHS Human Subjects and Clinical Trials Information.....	
<b>Appendix</b> ( <i>Two identical CDs.</i> )	<input type="checkbox"/> Check if Appendix is Included

\* Follow the page limits for these sections indicated in the application instructions, unless the Funding Opportunity Announcement specifies otherwise.

<b>DETAILED BUDGET FOR INITIAL BUDGET PERIOD DIRECT COSTS ONLY</b>	FROM 05/01/2023	THROUGH 04/30/2022
--	--------------------	-----------------------

List PERSONNEL (*Applicant organization only*)  
 Use Cal, Acad, or Summer to Enter Months Devoted to Project  
 Enter Dollar Amounts Requested (*omit cents*) for Salary Requested and Fringe Benefits

NAME	ROLE ON PROJECT	Cal. Mnths	Acad. Mnths	Summer Mnths	INST.BASE SALARY	SALARY REQUESTED	FRINGE BENEFITS	TOTAL
Uppu, Rao, Mallikarjuna	PD/PI			1.5	85473	14246	3992	18238
TBA	GA		9			18000		18000
<b>SUBTOTALS</b>						32246	3992	36238

CONSULTANT COSTS

EQUIPMENT (*Itemize*)

SUPPLIES (*Itemize by category*): \$11,762  
 Cell lines (GT1-7 hypothalamic neurons and SHSY-5Y neuroblastoma cells) - \$2,000; cell culture flasks and plastic ware - \$2,000; culture media, FBS, and micronutrients - \$2,500; chemicals and enzymes for measurements of TAC, lipid hydroperoxides, GSH, and ROS - \$3,000; HPLC columns HPLC-grade solvents (methanol and acetonitrile) - \$1,500; and office supplies - \$762 (paper, printer cartridges, flash drives, and external hard drives)

TRAVEL: \$1,000  
 Funds are requested to cover the cost of meeting registrations and travel within in in the US

INPATIENT CARE COSTS

OUTPATIENT CARE COSTS

ALTERATIONS AND RENOVATIONS (*Itemize by category*)

OTHER EXPENSES (*Itemize by category*): \$1,000  
 Funds are requested to meet publication costs for dissemination of research findings.

CONSORTIUM/CONTRACTUAL COSTS	DIRECT COSTS
------------------------------	--------------

<b>SUBTOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD</b> ( <i>Item 7a, Face Page</i> )	<b>\$ 50000</b>
--	-----------------

CONSORTIUM/CONTRACTUAL COSTS	FACILITIES AND ADMINISTRATIVE COSTS
------------------------------	-------------------------------------

<b>TOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD</b>	<b>\$ 50000</b>
---	-----------------

**BUDGET FOR ENTIRE PROPOSED PROJECT PERIOD  
DIRECT COSTS ONLY**

BUDGET CATEGORY TOTALS	INITIAL BUDGET PERIOD <i>(from Form Page 4)</i>	2nd ADDITIONAL YEAR OF SUPPORT REQUESTED	3rd ADDITIONAL YEAR OF SUPPORT REQUESTED	4th ADDITIONAL YEAR OF SUPPORT REQUESTED	5th ADDITIONAL YEAR OF SUPPORT REQUESTED
PERSONNEL: <i>Salary and fringe benefits. Applicant organization only.</i>	36238				
CONSULTANT COSTS					
EQUIPMENT					
SUPPLIES	11762				
TRAVEL	1000				
INPATIENT CARE COSTS					
OUTPATIENT CARE COSTS					
ALTERATIONS AND RENOVATIONS					
OTHER EXPENSES	1000				
DIRECT CONSORTIUM/ CONTRACTUAL COSTS					
<b>SUBTOTAL DIRECT COSTS</b> <i>(Sum = Item 8a, Face Page)</i>					
F&A CONSORTIUM/ CONTRACTUAL COSTS					
<b>TOTAL DIRECT COSTS</b>	50000				
<b>TOTAL DIRECT COSTS FOR ENTIRE PROPOSED PROJECT PERIOD</b>					<b>\$ 50000</b>

JUSTIFICATION. Follow the budget justification instructions exactly. Use continuation pages as needed.

Rao Uppu (PI) will devote 75% for two summer months (June and July; salary requested for this period only). The salary component of PI was calculated based on the base 9-month salary of \$85,473 and using the currently approved fringe benefits of 28.02%. The monthly salary of PI is \$9,497, and with the applicable fringe benefits of \$3,992, the total salary would amount to \$18,238. The PI supervised nine Ph.D. works and is currently the major advisor for five doctoral students. The PI will be responsible for the project's overall operation, including planning and execution of the research work proposed in the application, analysis of data collected, preparation of project reports, submission of manuscripts, and presentation of results at scientific meetings. A sum of \$18,000.00 is requested for the graduate student who will be working on the project for a total of 9 months (fall and spring; \$2,000/month). The student will carry out the work related to cell culture, cytotoxicity testing and analysis of intracellular amyloid deposits, assays of antioxidant enzymes and lipid peroxidation, synthesis and purification of cholesterol oxidation products, literature collection, and preparation of preliminary reports pertaining to the experimental work performed.

**BIOGRAPHICAL SKETCH**

Provide the following information for the Senior/key personnel and other significant contributors.  
Follow this format for each person. DO NOT EXCEED FIVE PAGES.

NAME: Uppu, Rao M

eRA COMMONS USER NAME (credential, e.g., agency login): RAO UPPU

POSITION TITLE: Professor, Department of Environmental Toxicology, College of Agriculture, SUBR

EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)

INSTITUTION AND LOCATION	DEGREE (if applicable)	END DATE MM/YYYY	FIELD OF STUDY
The Hindu College, Machilipatnam, AP, India.	B.S.	05/1975	Chemistry
Andhra University, Waltair, AP, India	M.S.	05/1977	Biochemistry
Osmania University, Hyderabad, AP, India	Ph.D.	07/1988	Biochemistry
Eppley Institute for Cancer Res., Omaha, NE	Postdoc	07/1989	Chemical Carcinogenesis
Biodynamics Institute, LSU, Baton Rouge, LA	Postdoc/Sr	08/1990	Oxidative Chemistry & Biology

**A. Personal Statement**

After obtaining my PhD in biochemistry (1988), I undertook a postdoctoral assignment at the Eppley Institute, an NCI-designated chemical carcinogenesis laboratory at UNMC in Omaha, NE. Subsequently, at the Biodynamics Institute at Louisiana State University, LSU (world renowned for its research in oxidative and free radical reactions in biological systems), I worked on several NIH funded projects. These assignments enabled me to obtain extensive academic and research training in the fields of oxidative and free radical reactions of ozone and nitrogen oxides, mechanisms of enzymatic hydrogen transfer, biological nitration, and bioanalytical method development. Subsequently, in 2002, I joined the then newly established PhD Program in Environmental Toxicology (ENTX; currently the Department of Environmental Toxicology) at the Southern University-Baton Rouge (SUBR). At SUBR, I diversified my research interests to 'ozone-specific' oxysterols and their role in mammalian cell signaling. Additionally, I worked on the development of analytical methods for biological reactive intermediates (epoxides,  $\alpha,\beta$ -unsaturated carbonyls, and alloxan) and semi-persistent organic pollutants (bisphenols), biomedical applications of core/shell nanoparticles of magnetite (especially SPIONs tagged to LHRH), molecular docking and dynamic studies of environmental estrogen binding to estrogen receptor proteins, and more recently, molecular epidemiology of SARS-COVs. **All these efforts are consistent with the needs of ENTX program to train highly competent biomedical scientists who take pride in their career choice of environmental/ molecular toxicology.** While at SUBR, I have trained several MS and PhD students, postdoctoral fellows, and junior faculty and served on the adjudication committees of DSc/PhD graduates from Indian universities, i.e., in addition to publishing extensively in peer-reviewed journals. Over the years, I received several recognitions including election as Fellow of the Royal Society of Chemistry (FRSC), Fellow of the American Association for the Advancement of Science (AAAS Fellow) and Fellow of the Academy of Toxicological Sciences (Fellow ATS), certifications as Diplomate of the American Board of Toxicology (DABT), Registered Environmental Health Specialist/Registered Sanitarian (REHS/RS) and Board Certified Environmental Scientist (BCES), and invitations to edit books for Springer Press, Gruyter Academic Publishing, and Cambridge Scholars Publishing. Apart from this, I also received numerous awards from both within and outside the Southern University system, namely, SUBR-wide Outstanding Research Investigator (2007; received commendations from the US Senate), Distinguished Researcher of Louisiana Biomedical Research (LBRN, 2009; supported by NIH), SUBR Business and Industry Cluster (BIC) Quality Award (2011), Telugu Association of North America (TANA) Excellence in Science Award (2011), SUBR Chancellor's Award for Excellence in Teaching (2013), James & Ruth Smith Endowed Professorship in the College of Sciences and Engineering (SUBR, 2016), and Becoming Everything You Are (BEYA) Science, Technology, Engineering and Mathematics (STEM) Innovators Award (2017).

1. J. E. Hines, III, C. J. Deere, F. R. Fronczek, and R. M. Uppu (2022). N-(4-Hydroxy-2-nitrophenyl)acetamide. *IUCrData* **7** (2), x220201. <https://doi.org/10.1107/S241431>.
2. V. Gopinath, M. A. Shamsitha, V. P. Nair, P. Seenaa, R. M. Uppu, A. C. Raghavamenon (2021). Thermally oxidized coconut oil as fat source in high-fat diet induces hepatic fibrosis in diabetic rat model. *Cell Biochem. Biophys.* **79**, 629-639. doi: 10.1007/s12013-021-01009-5.



3. X. Gao, A. C. Raghavamenon, and **R. M. Uppu** (2020). Atherogenic oxidized cholesterol induces innate immune response in monocytes and macrophages. *Cell Biochem. Biophys.* **79**, 649-658. DOI: 10.1007/s12013-021-01004-w.
4. F. Mohammad, A. C. Raghavamenon, M. O. Claville, C. S. Kumar, and **R. M. Uppu** (2014). Targeted hyperthermia-induced cancer cell death by superparamagnetic iron oxide nanoparticles conjugated luteinizing hormone-releasing hormone. *Nanotechnol. Rev.* **3**, 389-400; doi: 10.1515/ntrev-2013-0041
5. S. Babu, S. Uppu, M. O. Claville, and **R. M. Uppu** (2013). Prooxidant actions of bisphenol A (BPA) phenoxyl radicals: implications to BPA-related oxidative stress and toxicity. *Toxicol. Mech. Methods* **23**, 273-80; doi: 10.3109/15376516.2012.753969

## B. Positions, Scientific Appointments, and Honors

### Positions and Scientific Appointments

2007-	Tenured Professor, Department of Environmental Toxicology, SUBR
2016 - 2019	James & Ruth Smith Endowed Professor, College of Sciences & Engineering, SUBR
2013 - 2016	Director, Health Research Center, SUBR
2013 - 2016	Chair, Department of Environmental Toxicology, SUBR
2010 -	Graduate/Doctoral Research Faculty-Level 2, Graduate School, SUBR
2008 -	Adjunct Professor, Pathobiological Sciences, LSU School of Veterinary Medicine
2007 -	Adjunct Professor, Department of Chemistry, SUBR
2002 - 2007	Associate Professor (Tenure-Track), Environmental Toxicology PhD program, SUBR
2003 - 2010	Graduate/Doctoral Research Faculty-Level 1, Graduate School, SUBR
2000 - 2001	Patent Examiner, US Patent & Trademark Office, Alexandria, VA
1996 - 2000	Research Assistant Professor, Louisiana State University (LSU), Baton Rouge, LA
1990 - 1996	Postdoctoral Fellow/Sr., Biodynamics Institute, LSU, Baton Rouge, LA
1989 - 1990	Postdoctoral Research Associate, Eppley Institute for Research in Cancer and Allied Diseases, University of Nebraska Medical Center (UNMC), Omaha, NE
1987 - 1989	Lecturer in Biochemistry, Nizam's Institute of Medical Sciences (NIMS), Hyderabad, India
1984 - 1987	Assistant Research Officer, National Institute of Nutrition (NIN), Indian Council of Medical Research (ICMR), Hyderabad, India
1982 - 1983	Senior Research Fellow, Laboratory of Cell and Molecular Biology, Department of Zoology, Osmania University, Hyderabad, India
1977 - 1981	Junior Research Fellow/Research Assistant, Division of Endocrinology and Metabolism, NIN, Hyderabad, India

### Honors

2022	Nomination to serve on the <b>NASEM Standing Committee on Toxicology</b> (Nominator: Roger O. McClellan, member NAM)
2022 -	Elected Member, <b>Editorial Board of The Open Covid Journal</b> (Publisher: BENTHAM Open)
2021	Nominated (and shortlisted) to the <b>Board of Directors (BoD) of the American Board of Toxicology</b> (Nominator: Dr. Gunda Reddy; not awarded)
2021	Featured in the July 5 <sup>th</sup> issue of USBE Magazine (Vol. 44, Issue 3, Pages 50-51, Year 2020): <b>People to Know for COVID-19 Research</b> (Epidemiology) (one of ten people recognized)
2018 -	Elected <b>Fellow of the Royal Society of Chemistry</b> (FRSC; elected on September 21, 2018).
2018 -	<b>Board Certified Environmental Scientist</b> (BECS, through eminence from American Academy of Environmental Engineers and Scientists, AEES; elected in October 2018)
2017	Career Communications Group's <b>Becoming Everything You Are (BEYA) STEM Innovators Award</b> (one of the 1st ten inaugural recipients: US-wide selection)
2017	Nomination to the <b>EPA Board of Scientific Counselors</b> (nominator: Academy of Toxicological Sciences; not selected)
2017 -	<b>Registered Environmental Health Specialist/Registered Sanitarian</b> (REHS/RS; certified on April 1, 2017 and renewed for two successive terms of two years each))
2015 -	Elected <b>Fellow of the American Association for the Advancement of Science (AAAS)</b> Fellow, section on Chemistry; date of election: October 21, 2015).
2015 -	Elected <b>Member of CyHABs Research Consortium</b> (Ames, IA; multidisciplinary, multi-institutional collaborative team to research on Cyanobacterial Harmful Algal Blooms in fresh water and their impact animal and human health).

- 2014 - **Diplomate of the American Board of Toxicology** (DABT; board certified on October 30, 2014; recertified in October 2019).
- 2013 – 2016 Member, **Chancellor's Advisory Committee on Intellectual Property**, SUBR (one of six members; SUBR-wide selection)
- 2013 - Elected **Fellow of the Academy of Toxicological Sciences** (Fellow ATS; elected in November 2013 and recertified in October 2018).
- 2013 **Chancellor's Award for Excellence in Teaching** (SUBR-wide; one award in any given year)
- 2011 Recipient of **Southern University Business and Industry Cluster (BIC) Quality Award**
- 2011 Recipient of **Telugu Association of North America (TANA) Excellence in Science Award** (one award every two years; presented at the 18th TANA Conference in Santa Clara, CA; July 1-3, 2011)
- 2009 **Distinguished Researcher**, LBRN/NIH
- 2007 **Outstanding Research Investigator** (SUBR-wide; one award in any given year; received commendations from the U.S. Senate)
- 2007 **Faculty Researcher of the Year** (Natural Sciences), College of Sciences, SUBR
- 2006 **Outstanding Researcher** (Natural Sciences), College of Sciences, SUBR

## C. Contribution to Science

**i. Selective Tumoricidal Activities of SPIONs Tagged to LHRH** –Taking advantage of the possibility of generating heat locally, we have recently demonstrated a marked increase (4-5 fold) in the amount of heat released with Au-SPIONs and LHRH-SPIONs when compared to SPIONs on application of low frequency magnetic fields (44-430 Hz). In addition to this dramatic increase in hyperthermia, the gold shell provides biocompatibility and opportunities for targeted hyperthermia, the latter being achieved by covalently linking biomolecules such as LHRH to Au-SPIONs through the gold surface. When subjected to a low frequency magnetic field (44 Hz for 15 min), GT1-7 cells (non-cancerous but express receptors for LHRH), previously exposed to LHRH-SPIONs, responded differently from those of LNCaP cells (cancerous and express LHRH receptors; pre-exposed to LHRH-SPIONs) in terms of cell viability and proliferation, release of heat shock protein-70, decrease in mitochondrial transmembrane potential, activity of caspases and eventual cell death by apoptosis and/or necrosis, all of which indicate a step forward for promising applications of LHRH-SPIONs for therapeutic and/or imaging purposes.

1. F. Mohammad, G. Balaji, A. Weber, R.M. Uppu, and C.S. Kumar (2010). Influence of gold nanoshell on hyperthermia of super paramagnetic iron oxide nanoparticles (SPIONs). *J. Phys. Chem. C* **114**, 19194–19201.
2. F. Mohammad, A.C. Raghavamenon, M.O. Claville, C.S. Kumar, and R.M. Uppu (2014). Targeted hyperthermia-induced cancer cell death by superparamagnetic iron oxide nanoparticles conjugated luteinizing hormone-releasing hormone. *Nanotech. Rev.* **3**, 389-400.

### **ii. Analytical Methods for Synthesis and Quantitation of Biological Reactive Intermediates** –

Successfully developed several different robust methods for the synthesis of peroxy nitrite in high yields based on ozonation of azide and the reaction of hydroperoxide anion with isoamyl nitrite in homogeneous and heterogeneous solvent systems. These methods have been subsequently adapted by leading scientific chemical supply companies like CalBiochem, Alex Corporation and Caymen Chemicals for synthesis and distribution to the research community. Additionally, over the years, developed analytical methods for the determination of electrophilic intermediates of interest to molecular toxicology (epoxides, alpha-beta-unsaturated carbonyl compounds, and di- and tri-carbonyl compounds). Several of these methods were not only original but involved determination of the same at ultralow concentrations in cell and tissue cultures and tissue homogenates as applicable.

1. W.A. Pryor, R. Cueto, X. Jin, W.H. Koppenol, M. Ngu-Schwemlein, G.L. Squadrito, P.L. Uppu, and R.M. Uppu (1995). A practical method for preparing peroxy nitrite solutions of low ionic strength and free of hydrogen peroxide. *Free Radic. Biol. Med.* **18**, 75-83
2. R.M. Uppu (2006). Synthesis of peroxy nitrite using isoamyl nitrite and hydrogen peroxide in a homogeneous solvent system. *Anal. Biochem.* **354**, 165-8.
3. C.-J. Dupard, B. Kandlakunta, and R.M. Uppu (2007). A reversed phase HPLC method for the determination of epoxides of 1,3-butadiene and other petrochemical alkenes. *Anal. Bioanal. Chem.* **387**, 1027-1032.
4. A.C. Raghavamenon, C.J. Dupard, B. Kandlakunta, and R.M. Uppu (2009). Determination of alloxan by fluorometric, reversed phase HPLC. *Toxicol. Mech. Meth.* **19**, 498-502.
5. S. Babu, S.N. Uppu, B. Martin, O.A. Agu, and R.M. Uppu (2015). Unusually high levels of bisphenol A (BPA) in thermal paper cash register receipts (CRs); development and application of a robust LC-UV method to quantify BPA in CRs. *Toxicol. Mech. Meth.* **29**, 1-7.

**iii. Cell Signaling by 'Ozone-Specific' Oxysterols** – $\beta$ -Hydroxy-5-oxo-5,6-secocholestan-6-al (cholesterol seco aldehyde or ChSeco) is a newly discovered oxysterol, hitherto, known to be formed in ozone and/or singlet oxygen-mediated oxidations of cholesterol. Recent demonstration of ChSeco in the brain specimens of Uppu, Rao - #316

Alzheimer's disease and in the arterial plaque indicate that ChSeco can be formed naturally in the body and, like other oxysterols, could be involved in various signaling cascades. It was found that ChSeco is cytotoxic to several mammalian cell types of both immune and non-immune origin. The cell death in non-immune but not immune cells involved extensive formation of reactive oxygen species (ROS). In both cell types, ChSeco at low concentrations appeared to promote apoptosis as evidenced by DNA fragmentation, acridine orange/ethidium bromide dual staining, and activation of caspases 3, 3/7, 8, and 9. 4

1. K. Sathishkumar, X. Xi, R.J. Martin, and R.M. Uppu (2007). Cholesterol secoaldehyde induces amyloidogenesis and apoptosis in murine GT1-7 hypothalamic neuronal cells. *J. Alz. Dis.* **11**, 261-274.
2. K. Sathishkumar, X. Gao, A.C. Raghavamenon, N.L. Parinandi, W.A. Pryor, and R.M. Uppu (2009). Cholesterol secoaldehyde induces apoptosis in cardiomyocytes through reactive oxygen species involving mitochondrial and death receptor pathways. *Free Radic. Biol. Med.* **47**, 548-558.
3. A.C. Raghavamenon, R. Gernapudi, S. Babu, O. Auvergne, S.N. Murthy, P.J. Kadowitz, and R.M. Uppu (2009). Intracellular oxidative stress and cytotoxicity in rat primary cortical neurons exposed to cholesterol secoaldehyde. *Biochem. Biophys. Res. Commun.* **386**, 170-4.
4. K. Sathishkumar, A.C. Raghavamenon, K. Ganeshkumar, R. Telaprolu, N.L. Parinandi, and R.M. Uppu (2010). Simultaneous analysis of multiple redox-sensitive and apoptotic gene expression in hypothalamic neurons exposed to cholesterol ozonation products. *Methods Mol. Biol.* **610**, 263-84.
5. L. Laynes, A.C. Raghavamenon, O. D'Auvergne, V. Achuthan, and R.M. Uppu (2011). MAPK signaling in H9c2 cardiomyoblasts exposed to cholesterol secoaldehyde – Role of hydrogen peroxide. *Biochem. Biophys. Res. Commun.* **404**, 90-95.

**iv. Oxidative and Free Radical Reactions of Ozone** – As postdoctoral researcher at the Biodynamics Institute at LSU, for about three years I was involved in developing models for ozone oxidations at the air-lung interface. As part of this, I studied oxidation of lipids, proteins and antioxidants in model systems of different architectural organizations: reverse micelles, unilamellar liposomes, and red blood cell membranes. It was our contention that none of these models is, in itself, perfect; however, the knowledge accumulated from this study of these models systems provide a comprehensive and systematic view of the reactions of ozone with biotargets in vivo. Accordingly, the study was instrumental in developing some of the foremost concepts of how ozone partitions (in terms of its reactions) between various susceptible targets in a range of microenvironments, in particular at the air-lung interface.

1. G.L. Squadrito, R.M. Uppu, R. Cueto, and W.A. Pryor (1992). Production of the Criegee ozonide during the ozonation of 1-palmitoyl-2-oleoyl-sn-glycero-3-phosphatidylcholine liposomes. *Lipids* **27**, 955-958.
2. R.M. Uppu and W.A. Pryor (1994). Ozonation of lysosome in the presence of oleate in reverse micelles of sodium di-2-ethylhexylsulfosuccinate. *Biochem. Biophys. Res. Commun.* **187**, 473-9.
3. R.M. Uppu and W.A. Pryor (1994). The reactions of ozone with proteins and unsaturated fatty acids in reverse micelles. *Chem. Res. Toxicol.* **7**, 47-55.
4. R.M. Uppu, R. Cueto, G.L. Squadrito, and W.A. Pryor (1995). What does ozone react with at the air lung interface-model studies using human red-blood cell membranes. *Arch. Biochem. Biophys.* **319**, 257-66.
5. W.A. Pryor and R.M. Uppu (1993). A kinetic model for the competitive reactions of ozone with amino acid residues in proteins in reverse micelles. *J. Biol. Chem.* **268**, 3120-3126.

**v. Mechanisms of Nitration and Nitrosation in Nitric Oxide-Producing Biological Systems** - For the first time proposed the existence of nitrocarbonate as an intermediate in the downregulation of nitric oxide mediated through peroxy-nitrite-carbon dioxide pathway and provided experimental evidence for aliphatic (electrophilic) nitration in peroxy-nitrite-carbon dioxide reactions. Deciphered various model systems that can explain free radical mechanisms of nitration and nitrosation in nitric oxide-producing biological systems. Also, postulated a continuum in these diverse reactions with some common intermediates resulting from 1-electron oxidations.

1. R.M. Uppu and W.A. Pryor (1996). Carbon dioxide catalysis of the reaction of peroxy-nitrite with ethyl acetoacetate. An example of aliphatic nitration by peroxy-nitrite. *Biochem. Biophys. Res. Commun.* **229**, 764-769.
2. R.M. Uppu, G.W. Winston, and W.A. Pryor (1997). Reactions of peroxy-nitrite with aldehydes as probes for the reactive intermediates responsible for biological nitration. *Chem. Res. Toxicol.* **10**, 1331-1337.
3. R.M. Uppu, J.-N. Lemercier, G.L. Squadrito, H. Zhang, R.M. Bolzan, and W.A. Pryor (1998). Nitrosation by peroxy-nitrite: Use of phenol as a probe. *Arch. Biochem. Biophys.* **358**, 1-16.
4. R.M. Uppu, G.L. Squadrito, R.M. Bolzan, and W.A. Pryor (2000). Nitration and nitrosation by peroxy-nitrite: Role of CO<sub>2</sub> and evidence for common intermediates. *J. Am. Chem. Soc.* **122**, 6911- 6916.
5. R.M. Uppu and W.A. Pryor (1999). Nitrosation of 1,2-phenylenediamine by peroxy-nitrite/CO<sub>2</sub>. Evidence for a free radical mechanism. *J. Am. Chem. Soc.* **121**, 9738-9739.

**Complete List of Published Work:** <https://orcid.org/0000-0003-1940-7161>

Google Sch: <https://scholar.google.com/citations?user=DFJhSvGAAAJ&hl=en&oi=ao>

ResearchGate: <https://www.researchgate.net/profile/Rao-Uppu>

**BIOGRAPHICAL SKETCH**

Provide the following information for the Senior/key personnel and other significant contributors.  
Follow this format for each person. DO NOT EXCEED FIVE PAGES.

NAME: Batra, Sanjay

eRA COMMONS USER NAME (credential, e.g., agency login): SANJAY\_BATRA

POSITION TITLE: Chair, Environmental Toxicology Department

EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)

INSTITUTION AND LOCATION	DEGREE (if applicable)	END DATE MM/YYYY	FIELD OF STUDY
Lucknow University , Lucknow, Uttar Pradesh	BS	06/1984	Physics, Chemistry, Mathematics
Lucknow University, Lucknow, Uttar Pradesh	MS	06/1986	Biochemistry
Central Drug Research Institute/Kanpur University, Lucknow, Uttar Pradesh	PHD	03/1993	Chemistry (Biochemistry emphasis)
The Ohio State University, Columbus, Ohio	Postdoctoral Fellow	01/2004	Molecular Biology, Immunology, Biochemistry
The Ohio State University, Columbus, Ohio	Postdoctoral Fellow	07/2007	Molecular Biology, Immunology, Biochemistry
Texas Tech University , Amarillo, Texas	Postdoctoral Fellow	12/2008	Molecular Biology, Immunology, Biochemistry
Louisiana State University and A&M College, Baton Rouge, Louisiana	Other training	06/2012	Molecular Biology, Immunology, Biochemistry

**A. Personal Statement**

Professor and Chair, Environmental Toxicology Department, Southern University and A&M College, Baton Rouge, LA (2018-Contd): I have a longstanding interest in immunology specifically in innate immunity, immunotoxicology and cancer biology using human and murine cell systems, de-identified samples and murine models. My focus is to delineate the molecular mechanisms associated with innate immunity in response to pulmonary bacterial infections, cigarette smoke/E-Cigs aerosol exposure or Pentachlorophenol challenge. Formation of protein-protein complexes, subcellular localization and post-translational modification of proteins and transcription factors have always intrigued me to probe more and my expertise in pulmonary innate immunity and inflammation have uniquely poised me to make headway in this direction. My research group is interested in determining the changes in macrophage polarization and functional dynamics response to e-cigarette vapor exposure. We also focus on immunoproteasomes and autophagy mechanisms which play a critical role in maintaining protein homeostasis in stress/infection models. Currently, we are using bioinformatics, computational modeling, and machine learning (AI) tools to identify the possible molecular targets for focusing in vitro approaches. As an intervention strategy, we focus on targeting histone deacetylases, epigenetic changes, and lipid rafts assembly which play important role in our study models. One of the approaches we use to mitigate stress-induced inflammation is to regulate the assembly of lipid rafts by enriching them with poly-unsaturated fatty acids. We have successfully used this technique earlier and published our findings using cigarette smoke extract-challenged cells. These approaches have the potential to be translated to a broad spectrum of diseases caused or complicated by bacterial infections, environmental toxins, cancer microenvironment or nutritional habits. Regarding my mentoring ability, I have trained several undergraduate, graduate (MS), Ph.D., and postdoctoral researchers; medical residents; medical technicians; and junior faculty. **The focus is to build a much-required scientific curiosity among minority students and develop the technical knowledge and skills necessary to navigate them toward successful scientific careers.**

1. Begum, R., Thota, S., Abdulkadir, A., Kaur, G., Bagam, P., and Batra, S. (2022) Signaling dynamics to disease management. Cellular & Thota, S., Begum, R., Kaur, G., Bagam, P., Dorsey, W. and Batra, S. (2022)

2. Pentachlorophenol mediated regulation of DAMPs and inflammation: in vitro study. Toxicology
3. Singh DP, Begum R, Kaur G, Bagam P, Kambiranda D, Singh R, Batra S. Altered proteome and lipid profiles of membrane rafts: impact on inflammatory responses in A549 cells. PMID: xxxxxx.
4. Kaur G, Batra S. Regulation of DNA methylation signatures on NF- $\kappa$ B and STAT3 pathway genes and TET activity in cigarette smoke extract-challenged cells/COPD exacerbation model in vitro. Cell Biol.

## B. Positions, Scientific Appointments and Honors

### Positions and Scientific Appointments

2019 -	Chair, Environmental Toxicology Department, Southern University and A&M College, Baton Rouge, LA
2018 -	Professor, Environmental Toxicology Department, Southern University and A&M College, Baton Rouge, LA
2015 -	Adjunct Associate Professor, Department of Pathobiological Sciences, Louisiana State University and A&M College, Baton Rouge, LA
2014 - 2018	Associate Professor, Environmental Toxicology Department, Southern University and A&M College, Baton Rouge, LA
2012 - 2014	Assistant Professor, Department of Pathobiological Sciences, Louisiana State University, Louisiana, LA
2001 - 2006	Biochemist (Senior Grade)/Incharge Biochemistry Department, Kalawati Saran Children's Hospital, Bangla Sahib Marg, New Delhi
1993 - 2000	Biochemist (Junior Grade)/InCharge Biochemistry Department, Kalawati Saran Children's Hospital, Bangla Sahib Marg, New Delhi

### Honors

2020 - 2023	BASF Corporation Endowed Professor Award, Southern University and A&M College, Baton Rouge
2018 - 2021	Adhoc Reviewer, National Institutes of Health
2018 - 2019	Outstanding Researcher of the Year, Southern University System
2014 - 2018	Member-Grant Review Panel, Flight Attendant Medical Research Institute
2021	Grant Reviewer, Neurological Foundation, New Zealand
2021	Grant Reviewer, Dutch Research Council (Health Research and Development)
2020	Grant Reviewer, National Science Foundation
2019	Chair, IRB Recombinant DNA Committee
2019	Grant Reviewer, American University of Beirut
2018	Member Grant Panel, French National Cancer Institute
2015	Rising Star of Southern University System, Southern University System
2014	Level II Graduate Faculty, Southern University and A&M College, Baton Rouge
2012	Young Investigator Award and Highlighted Presentation, IDeA Meeting, Washington DC
2007	Oral Presentation Winner, The Ohio State University, Columbus, Ohio
1999	Bursary Award (Contributions in Clinical Biochemistry), XVII IFCC- World Lab, Firenze, Italy.
1998	Regional Service Award (Contribution in the field of Clinical Biochemistry), 8th Asian Pacific Congress of Clinical Biochemistry, Kuala Lumpur, Malaysia

## C. Contribution to Science

1. Biochemist/Incharge Biochemistry Department, Kalawati Saran Children's Hospital (KSCH), New Delhi (1993-2006): In 1993, I was appointed as a Biochemist/Incharge of Biochemistry Department of prestigious Children's Hospital in New Delhi, India. My job responsibilities included administration, research, training and routine clinical biochemistry investigations. During my tenure from 1993-2006, I collaborated with several clinician colleagues and the focus of my research was to determine the role of reactive oxygen/nitrogen intermediates in pediatric diseases. My laboratory which included 11 personnel in 1993 was gradually upgraded to 23 personnel functioning 24/7 from 2004. During my tenure as a Biochemist at KSCH, I trained 15 medical laboratory technicians, 8 clinician residents and two faculty members in clinical

biochemistry techniques and/or administrative skills. I also served on MD thesis for five medical residents and one PhD student. The first authors of all the four listed citations include 3 Clinician Residents and one PhD student who conducted their research projects in my supervision at the Department of Biochemistry, KSCH, New Delhi.

- a. Ojha RK, Singh SK, Batra S, Sreenivas V, Puliye J. Lactate: creatinine ratio in babies with thin meconium staining of amniotic fluid. *BMC Pediatr.* 2006 Apr 20;6:13. PubMed Central PMCID: PMC1524754.
  - b. Arora P, Kumar V, Batra S. Vitamin A status in children with asthma. *Pediatr Allergy Immunol.* 2002 Jun;13(3):223-6. PubMed PMID: 12144646.
  - c. Ray G, Aneja S, Jain M, Batra S. Evaluation of free radical status in CSF in childhood meningitis. *Ann Trop Paediatr.* 2000 Jun;20(2):115-20. PubMed PMID: 10945061.
  - d. Singh SK, Dua T, Tandon A, Kumari S, Ray G, Batra S. Status of lipid peroxidation and antioxidant enzymes in hypoxic ischemic encephalopathy. *Indian Pediatr.* 1999 Jun;36(6):561-6. PubMed PMID: 10736583.
2. Visiting Scientist at The Ohio State University, Columbus, Ohio: In cancer, the homeostatic balance between cell proliferation and cell death is disturbed and unwanted cells accumulate due in part to inefficient apoptosis. The failure to eliminate cancer cells is due to the inability to activate the apoptotic machinery. Apoptosis, or programmed cell death, is an important biological activity for normal development and as defense mechanisms against pathogens. Improper regulation of apoptosis leads to diseases such as Alzheimer's disease, atherosclerosis, and cancer. Despite the clinical significance of apoptosis, the signaling pathways that regulate it are not completely understood. Monocytes are white blood cells required for innate immunity. Normally, monocytes undergo spontaneous apoptosis within 24-48 hrs. In leukemia, cancer affecting white blood cells, uncontrolled proliferation and inhibition of monocyte apoptosis leads to an excess of unwanted malignant cells. Upon stimulation monocytes undergo differentiation into macrophages and can survive for 2-3 months. Macrophage stimulation involves the production and release of inflammatory cytokines. Inflammatory and differentiation stimuli induce prolonged monocyte survival by blocking the activation of the apoptotic program. However, the mechanisms that control monocyte survival and apoptosis during inflammation remain elusive. In this regard my work at The Ohio State University focused on the role of heat shock protein 27 (Hsp27) in regulating caspase-3 activity. I also conducted studies to determine the role of plant based compound Apigenin which belongs to Flavonoids family. Flavonoids are ubiquitous phenolic compounds broadly distributed in fruits and vegetables and are recognized as potential anti-inflammatory, anti-oxidant, antiviral, anti-microbial, and anti-allergic, providing important nutraceutical components to our diet. This study was important as it showed that Apigenin can protect the mice from lipopolysaccharide induced lethality.
- a. Wood KL, Nunley DR, Moffatt-Bruce S, Pope-Harman A, Huang Q, Shamo EN, Phillips GS, Baran C, Batra S, Marsh CB, Doseff AI. The role of heat shock protein 27 in bronchiolitis obliterans syndrome after lung transplantation. *J Heart Lung Transplant.* 2010 Jul;29(7):786-91. PubMed Central PMCID: PMC2902709.
  - b. Wood KL, Voss OH, Huang Q, Parihar A, Mehta N, Batra S, Doseff AI. The small heat shock protein 27 is a key regulator of CD8+ CD57+ lymphocyte survival. *J Immunol.* 2010 May 15;184(10):5582-8. PubMed Central PMCID: PMC3253717.
  - c. Nicholas C, Batra S, Vargo MA, Voss OH, Gavrilin MA, Wewers MD, Guttridge DC, Grotewold E, Doseff AI. Apigenin blocks lipopolysaccharide-induced lethality in vivo and proinflammatory cytokines expression by inactivating NF-kappaB through the suppression of p65 phosphorylation. *J Immunol.* 2007 Nov 15;179(10):7121-7. PubMed PMID: 17982104.
  - d. Voss OH, Batra S, Kolattukudy SJ, Gonzalez-Mejia ME, Smith JB, Doseff AI. Binding of caspase-3 prodomain to heat shock protein 27 regulates monocyte apoptosis by inhibiting caspase-3 proteolytic activation. *J Biol Chem.* 2007 Aug 24;282(34):25088-99. PubMed PMID: 17597071.
3. Postdoctoral Research Associate, Texas Tech University, Amarillo, Texas: The regulation of transcriptional potential of NF-KB is controlled by phosphorylation, ubiquitination, acetylation, sumoylation and nitrosylation depending on the inducing stimulus. Although, these modifications have distinct, sometimes antagonistic response, however, sometimes same modifications can have different effects. Modifications at different sites mediate the events which lead to activation or shutting down of NF-KB mediated response.

My pioneer work revealed that benzyl-isothiocyanate inhibits HDAC1 and HDAC3 as a probable mechanism of NF- $\kappa$ B inactivation leading to decreased expression of cyclin D1 thus resulting in the in vitro and in vivo growth suppression of pancreatic cancer cells.

- a. Sahu RP, Batra S, Kandala PK, Brown TL, Srivastava SK. The role of K-ras gene mutation in TRAIL-induced apoptosis in pancreatic and lung cancer cell lines. *Cancer Chemother Pharmacol*. 2011 Feb;67(2):481-7. PubMed Central PMCID: PMC5842667.
  - b. Batra S, Sahu RP, Kandala PK, Srivastava SK. Benzyl isothiocyanate-mediated inhibition of histone deacetylase leads to NF- $\kappa$ B turnoff in human pancreatic carcinoma cells. *Mol Cancer Ther*. 2010 Jun;9(6):1596-608. PubMed Central PMCID: PMC2946330.
  - c. Sahu RP, Zhang R, Batra S, Shi Y, Srivastava SK. Benzyl isothiocyanate-mediated generation of reactive oxygen species causes cell cycle arrest and induces apoptosis via activation of MAPK in human pancreatic cancer cells. *Carcinogenesis*. 2009 Oct;30(10):1744-53. PubMed Central PMCID: PMC2757546.
  - d. Sahu RP, Batra S, Srivastava SK. Activation of ATM/Chk1 by curcumin causes cell cycle arrest and apoptosis in human pancreatic cancer cells. *Br J Cancer*. 2009 May 5;100(9):1425-33. PubMed Central PMCID: PMC2694438.
4. Assistant Professor, Louisiana State University, Baton Rouge, LA: A) Senior Research Associate (01/2009-12/2011)/ B) Assistant Professor Research, Louisiana State University, Baton Rouge, LA (01/2012-08/2014): As a Senior Research Associate my focus was to increase our understanding on the regulatory mechanisms that control innate immunity in the host during pulmonary bacterial infections and during the conditions of COPD/Emphysema or environmental toxins. My work as an Assistant Professor Research at LSU focused to increase our understanding about cytosolic pattern recognition receptors during pulmonary bacterial infections/ COPD/ Emphysema or exposure to environmental toxins. I was able to secure funding for pilot grant from COBRE and intramural funding from School of Veterinary Medicine, LSU (2012-2014). As a PI on these projects I was able to demonstrate that cytosolic receptors play critical role during Klebsiella pneumonia. I also worked on other projects which includes determining the role of NLRP12 on neutrophil mediated IL-17 production during pulmonary bacterial infections. The citations enlisted in this section include the published work with graduate students and postdoctoral researchers who served as first authors.
- a. Cai S, Batra S, Langohr I, Iwakura Y, Jeyaseelan S. IFN- $\gamma$  induction by neutrophil-derived IL-17A homodimer augments pulmonary antibacterial defense. *Mucosal Immunol*. 2016 May;9(3):718-29. PubMed Central PMCID: PMC4785101.
  - b. Panday A, Sahoo MK, Osorio D, Batra S. NADPH oxidases: an overview from structure to innate immunity-associated pathologies. *Cell Mol Immunol*. 2015 Jan;12(1):5-23. PubMed Central PMCID: PMC4654378.
  - c. Baral P, Batra S, Zemans RL, Downey GP, Jeyaseelan S. Divergent functions of Toll-like receptors during bacterial lung infections. *Am J Respir Crit Care Med*. 2014 Oct 1;190(7):722-32. PubMed Central PMCID: PMC4299612.
  - d. Cai S, Batra S, Lira SA, Kolls JK, Jeyaseelan S. CXCL1 regulates pulmonary host defense to Klebsiella Infection via CXCL2, CXCL5, NF- $\kappa$ B, and MAPKs. *J Immunol*. 2010 Nov 15;185(10):6214-25. PubMed Central PMCID: PMC2974054.

### **Complete List of Published Work in MyBibliography:**

## Environment and Resources

### Institutional Commitment

Southern University at Baton Rouge is one of the nation's largest predominantly Black (80%) Land Grant institutions of higher learning. It has an average annual enrollment of slightly less than 8,000 students. As an HBCU, SUBR has long been known for the quality of its undergraduate education programs. To help in addressing the shortage of African Americans receiving Ph.D. degrees in science, the university has committed to moving from a Mater's Colleges and Universities I classification to a Doctoral/Research University-Intensive classification. Thus, a broader impact of the research in the Environmental Toxicology Ph.D. Program is to make a significant contribution to SUBR's mission of becoming a nationally competitive Doctoral/Research University-Intensive institution. At the same time the program is helping to address the under representation of African American and minorities in sciences.

Currently, there are 6 doctoral programs at SUBR, including the Ph.D. program in Environmental Toxicology (ENTX). Initially, in early 2000s, about 80% of the participating faculty members are home-based in the Departments of Chemistry and Biological Sciences. In 2016, recognizing the significant contributions made, the university accorded the status of a full-pledged department, the Department of Environmental Toxicology. Currently, with ever-increasing support from the university, more than 75% of the participating faculty are home based in the Department of Environmental Toxicology and offering research mentoring in four different areas, namely, Chemical Toxicology, Immunotoxicology, Nutritional Toxicology, and Reproductive Toxicology. As of fall 2022, there were 32 PhD graduates in environmental toxicology. **In January 2022, the university received the long-awaited Carnegie R2 status** (one of ten HBCUs in the US to receive this status). Understandably, the ENTX PhD program played a significant role in the university's effort to acquire the R2 status.

### Resources at SUBR

Equipment at PI Laboratory: Dr. Uppu's laboratory at SUBR is housed in rooms 145, 146, 154 and 155 of the Health Research Center (HRC). Rooms 145 and 146 are adjacent to one another. Rooms 154 and 155 are located on the opposite and connected by a doorway. The laboratory is equipped with a fume hoods, explosion-proof refrigerators (three), regular refrigerator with freezer compartment (two), a -80 °C freezer, storage cabinets for flammable solvents (two), acids (two), and poisonous chemicals (one). The laboratory has all necessary small equipment (balances, pH meters, metabolic shakers, microcentrifuges, and CO2 incubators) and specialty equipment for conducting cell culture (Laminar flow), chromatography (GC, HPLC, TLC, flash, and ion-exchange), protein and nucleic acid electrophoresis and blotting, and protein urification. The laboratory is equipped with high-speed internet connections (through campus LAN) that facilitate access to various databases.

Computer: Dr. Uppu is provided several IBM compatible desktop PCs with Windows Pro (16 GB RAM and 500 GB SSB), word processing and data analysis software (GraphPad Priosm, MetaMorph, and SigmaPlot).

Equipment at HRC: Dr. Uppu has access to the core facilities of HRC, consisting of an autoclave room, ice-making machine, cell culture laboratory, and several analytical instruments. Pertinent to the project work, the major items of equipment are mass spectrometers (HP 6890 GC/MS), NMR spectrometers (Bruker 400 MHz), UV/Vis spectrophotometers (PE Lambda 3840 and Lambda 4B), infrared spectrophotometers (Beckman Microlab 600MX, Perkin-Elmer 1430, and



modern Nicolet FTIR), and Nikon E400 fluorescence microscope with digital camera, Zeiss 100 inverted fluorescence microscope with video camera, Olympus inverted microscope, and Alphainnotech Fluorichem 8000 fluorescence imager.

#### Resources at LSU

The faculty members in the Department of Environmental Toxicology have a constant exchange of scientific information with scientists at LSU in the corresponding departments and the School of Veterinary Medicine and the Pennington Biomedical Research Center (which are ca. 10 miles away from SUBR). This is done through sponsoring co-operative projects and seminars of mutual interest and through adjunct appointments. For instance, Dr. Uppu is an adjunct professor in the Department of Pathobiological Sciences at LSU School of Veterinary Medicine. These interactions allow any unforeseen technical problems to be easily tackled and solved. The core facilities at LSU, LSU SVM, and PBRC will be availed as needed from time to time to advance the research work in the current proposal.

Program Director/Principal Investigator (Last, First, Middle): Uppu, Rao, Mallikarjuna

**CHECKLIST**

**TYPE OF APPLICATION** (Check all that apply.)

NEW application. (This application is being submitted to the PHS for the first time.)

RESUBMISSION of application number: \_\_\_\_\_  
(This application replaces a prior unfunded version of a new, renewal, or revision application.)

RENEWAL of grant number: \_\_\_\_\_  
(This application is to extend a funded grant beyond its current project period.)

REVISION to grant number: \_\_\_\_\_  
(This application is for additional funds to supplement a currently funded grant.)

CHANGE of program director/principal investigator.

Name of former program director/principal investigator: \_\_\_\_\_

CHANGE of Grantee Institution. Name of former institution: \_\_\_\_\_

FOREIGN application     Domestic Grant with foreign involvement    List Country(ies) Involved: \_\_\_\_\_

INVENTIONS AND PATENTS (Renewal appl. only)     No     Yes  
If "Yes,"  Previously reported     Not previously reported

**1. PROGRAM INCOME (See instructions.)**  
All applications must indicate whether program income is anticipated during the period(s) for which grant support is request. If program income is anticipated, use the format below to reflect the amount and source(s).

Budget Period	Anticipated Amount	Source(s)

**2. ASSURANCES/CERTIFICATIONS (See instructions.)**  
In signing the application Face Page, the authorized organizational representative agrees to comply with the policies, assurances and/or certifications listed in the application instructions when applicable. Descriptions of individual assurances/certifications are provided in the NIH Grants Policy Statement, Section 4: Public Policy Requirements, Objectives and Other Appropriation Mandates. If unable to certify compliance, where applicable, provide an explanation and place it after this page.

**3. FACILITIES AND ADMINISTRATIVE COSTS (F&A)/ INDIRECT COSTS.** See specific instructions.

HHS Agreement dated: 06/29/2020     No Facilities And Administrative Costs Requested.

HHS Agreement being negotiated with Shon Turner (+1 214 767 3261)    Regional Office.

No HHS Agreement, but rate established with \_\_\_\_\_ Date \_\_\_\_\_

CALCULATION\* (The entire grant application, including the Checklist, will be reproduced and provided to peer reviewers as confidential information.)

a. Initial budget period:	Amount of base \$	<u>50000</u>	x Rate applied	<u>40</u>	% = F&A costs	\$	<u>20000</u>
b. 02 year	Amount of base \$	_____	x Rate applied	_____	% = F&A costs	\$	_____
c. 03 year	Amount of base \$	_____	x Rate applied	_____	% = F&A costs	\$	_____
d. 04 year	Amount of base \$	_____	x Rate applied	_____	% = F&A costs	\$	_____
e. 05 year	Amount of base \$	_____	x Rate applied	_____	% = F&A costs	\$	_____
						TOTAL F&A Costs	\$ <b>70000</b>

\*Check appropriate box(es):

Salary and wages base

Modified total direct cost base

Other base (Explain)

Off-site, other special rate, or more than one rate involved (Explain)

Explanation (Attach separate sheet, if necessary.):



## PLACE OF PERFORMANCE

**Applicant**  
**Southern University and A&M College**  
 801 Harding Blvd.  
 Baton Rouge, LA 70807-0000  
 (225) 771-4500  
[www.subr.edu](http://www.subr.edu)

Applicant Name	Southern University and A&M College
Cage Code	1MRL5
Current Registration	Central Contractor Registration (CCR)
District	LA-002
DUNS Number	05-351-5743
EIN	1-726000817-A1
Indirect Cost Rates	Research ON: 40% MTDC Research OFF: 26% MTDC
Representative	Troy Carter
SAM Expiration	December 3, 2022
Senators	Bill Cassidy & John Kennedy
State ID (Dept. of Revenue)	107766800100
UEI Number	H7CJA7NX9WN3

## INSTITUTIONAL OFFICIALS

### Administrative Office for Notification Purposes

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 Office of Sponsored Programs (OSP)  
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 Baton Rouge, LA 70813-2596  
 (225) 771-2809  
[OSP@subr.edu](mailto:OSP@subr.edu)  
[www.subr.edu/osp](http://www.subr.edu/osp)

### Authorized Signatory / Authorized Organizational Representative (AOR)

Michael A. Stubblefield, Ph.D.  
 Vice Chancellor for Research  
 Office of Research and Strategic Initiatives (ORSI)  
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 (225) 771-3890  
[Michael\\_Stubblefield@subr.edu](mailto:Michael_Stubblefield@subr.edu)

### Financial Contact

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 Baton Rouge, LA 70813-0000  
 (225) 771-5021  
[Benjamin\\_Pugh@subr.edu](mailto:Benjamin_Pugh@subr.edu)

## FRINGE BENEFIT RATES

Category	Full-Time Faculty, Staff & Support Personnel	*Extra-Comp. or Summer Salary (Faculty)	Part-Time Contingent Labor, Special Hire & Transients
FICA	0.00%	0.00%	6.20%
Insurance	10.50%	0.00%	0.00%
Medicare	1.45%	1.45%	1.45%
Other/Contingency	1.00%	1.00%	0.00%
Retirement	25.50%	25.50%	0.00%
Unemployment	0.07%	0.07%	0.07%
<b>Total</b>	<b>38.52%</b>	<b>28.02%</b>	<b>7.72%</b>

*\*Insurance (10.50%) is not charged on Extra-Compensation or Summer salary for Faculty. Please use rate of 28.02% (38.52% - 10.50%) when calculating Fringe Benefits.*



**SOUTHERN UNIVERSITY**  
 AND AGRICULTURAL & MECHANICAL COLLEGE

**COLLEGES AND UNIVERSITIES RATE AGREEMENT**

EIN: 1726000817A1

DATE:06/29/2020

ORGANIZATION:

FILING REF.: The preceding agreement was dated 04/19/2017

Southern University and A&M College

P.O. Box 9212

Baton Rouge, LA 70813

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

**SECTION I: Facilities And Administrative Cost Rates**

RATE TYPES:      FIXED                  FINAL                  PROV. (PROVISIONAL)      PRED. (PREDETERMINED)

EFFECTIVE PERIOD

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE(%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PRED.	07/01/2017	06/30/2021	40.00	On Campus	All Programs 1,2,3
PRED.	07/01/2017	06/30/2021	26.00	Off Campus	All Programs 1,2,3
PRED.	07/01/2021	06/30/2022	40.00	On Campus	All Programs 1,2,3
PRED.	07/01/2021	06/30/2022	26.00	Off Campus	All Programs 1,2,3
PROV.	07/01/2022	Until Amended			Use same rates and conditions as those cited for fiscal year ending June 30, 2022.

- (1) Baton Rouge Campus
- (2) Shreveport Campus
- (3) New Orleans Campus

\*BASE



ORGANIZATION: Southern University and A&M College

AGREEMENT DATE: 6/29/2020

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Modified total direct costs, consisting of all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

ORGANIZATION: Southern University and A&M College  
AGREEMENT DATE: 6/29/2020

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SECTION II: SPECIAL REMARKS

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TREATMENT OF FRINGE BENEFITS:

The fringe benefits are specifically identified to each employee and are charged individually as direct costs. The directly claimed fringe benefits are listed below.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

FRINGE BENEFITS:

FICA  
Retirement  
Worker's Compensation  
Tuition Remission  
Life Insurance  
Unemployment Insurance  
Health Insurance  
Tuition Remission  
TIAA/CREF

Per M-20-17 - A rate extension has been granted.

Next Proposal Due:

Your next proposal based on actual costs for the fiscal year ending 06/30/2021, is due in our office by 12/31/2021.

Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000.

ORGANIZATION: Southern University and A&M College

AGREEMENT DATE: 6/29/2020

**SECTION III: GENERAL**

**A. LIMITATIONS:**

The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its facilities and administrative cost pools as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as facilities and administrative costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

**B. ACCOUNTING CHANGES:**

This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from facilities and administrative to direct. Failure to obtain approval may result in cost disallowances.

**C. FIXED RATES:**

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the difference between the costs used to establish the fixed rate and actual costs.

**D. USE BY OTHER FEDERAL AGENCIES:**

The rates in this Agreement were approved in accordance with the authority in Title 2 of the Code of Federal Regulations, Part 200 (2 CFR 200), and should be applied to grants, contracts and other agreements covered by 2 CFR 200, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

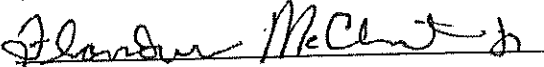
**E. OTHER:**

If any Federal contract, grant or other agreement is reimbursing facilities and administrative costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of facilities and administrative costs allocable to these programs.

BY THE INSTITUTION:

Southern University and A&M College

(INSTITUTION)

  
(SIGNATURE)

**FLANDUS MCCLINTON, JR.**

(NAME)

**VP for Finance and Business Affairs**

(TITLE)

(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

  
(SIGNATURE)

Arif Karim

(NAME)

Director, Cost Allocation Services

(TITLE)

6/29/2020

(DATE) 6214

HHS REPRESENTATIVE: Shon Turner

Telephone: (214) 767-3261

## Oxidized Cholesterol in Amyloid Aggregation and Neuronal Cell Apoptosis

### ABSTRACT AND SPECIFIC AIMS

This study aims at understanding the role of aldehydic and non-aldehydic cholesterol oxidation products (COPs) in the formation and consequences of amyloid- $\beta$  ( $A\beta$ ) aggregation in neuronal cells. Previous studies from our laboratory have demonstrated that 3 $\beta$ -hydroxy-5-oxo-5,6-secocholestan-6-al (ChSeco; a representative, aldehydic COP formed in ozone and/or singlet oxygen-mediated oxidation of cholesterol) induces  $A\beta$  aggregation and apoptosis with an increase in oxidative stress status (OSS) in GT1-7 hypothalamic neurons. Studies from other laboratories have demonstrated the presence of ChSeco in the human brain samples of Alzheimer's disease (AD) and Lewy body dementia, meaning that COPs may have a role in the etiology of neuronal disease. Based on our preliminary results, and the fact that OSS has been suggested to be the primary mechanism by which  $A\beta$  aggregates induce cytotoxicity, we hypothesize that COPs induce  $A\beta$  aggregation in situ which, in turn, mediates the cytotoxicity via increased production of cellular oxidants and lipid peroxidation. In this study, we focus on studying  $A\beta$  aggregation, OSS, and cytotoxicity in murine GT1-7 hypothalamic neurons and SH-SY5Y neuroblastoma cells (collectively referred to as neuronal cells in this proposal) by four COPs [ChSeco, 9-oxononanoylcholesterol (9-ONC), 5-oxovalerylcholesterol (5-OVC), and 5 $\beta$ ,6 $\beta$ -epoxycholesterol (ChEpo)]. The two neuronal cells, which represent mouse and human cell types, have been extensively used in studies of the pathogenesis of AD mediated through  $A\beta$  aggregates. The three specific aims (SAs) we wish to study to understand the complex interaction of OSS,  $A\beta$  aggregation, and cytotoxicity are:

**Specific Aim # 1: Determine if  $A\beta$  aggregation in neuronal cells occurs in response to exposure to both aldehydic and non-aldehydic cholesterol oxidation products (COPs).** Previous studies from our laboratory have shown that ChSeco induces  $A\beta$  aggregation in neuronal cells derived from mouse. We will extend the study to a neuronal cell line of human origin and examine if similar effects can be produced with two other aldehydic COPs (9-ONC and 5-OVC), and one non-aldehydic COP (ChEpo).

**Specific Aim # 2: Determine if oxidative stress mediates the cytotoxicity in neuronal cells exposed to aldehydic and non-aldehydic COPs.** We will investigate whether Trolox and NAC reverse cytotoxicity.

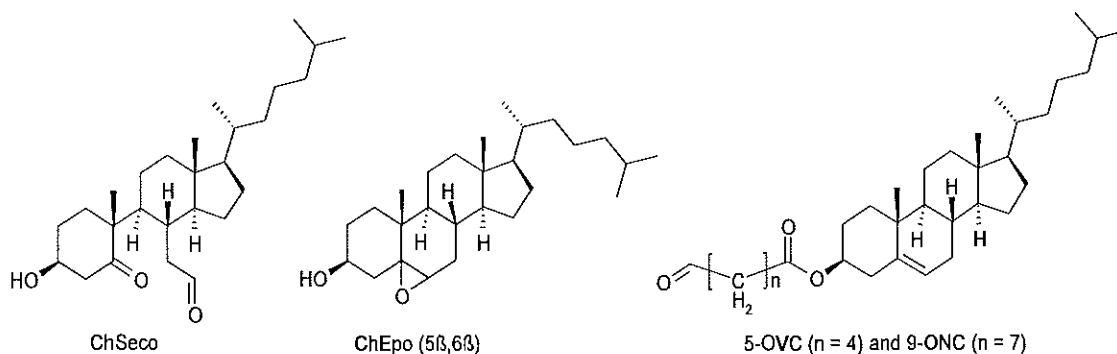
**Specific Aim # 3: Determine if prevention of  $A\beta$  aggregation alters cytotoxicity of aldehydic and non-aldehydic COPs.** We will test  $\beta$ -sheet breakers, low molecular weight chaperones, HMG CoA reductase inhibitors, non-steroidal anti-inflammatory drugs (NSAIDs), and amines (semicarbazide, pyridoxamine, and polyamines) for their effect on reversal of  $A\beta$  aggregation and associated cytotoxicity.

The results from specific aims 1 and 2 are anticipated to advance our understanding  $A\beta$  aggregation and downstream signaling in COP-exposed neuronal cells. The information on modulation of  $A\beta$  aggregation by pharmaceutical agents (specific aim 3) is expected to promote further research leading to improved therapeutic intervention and appropriate medical management in diseases associated with protein misfolding.



## BACKGROUND AND SIGNIFICANCE

Neurodegenerative disorders such as AD and Parkinson's diseases are of highest concern to the American public. There are at present 4 million Americans with AD, and half of nursing home beds are occupied by those affected with this disease. In all neurodegenerative disorders, there seems to be alterations in cholesterol homeostasis (1). The central nervous system (CNS) has the highest concentration of cholesterol in the body and most of the cholesterol is synthesized endogenously. Partially oxidized products of cholesterol, often referred to as oxysterols, typically have a hydroxyl (or a keto) group on the cyclopentanoperhydrophenanthrene ring system (e.g., 7-hydroxycholesterol and 7-ketocholesterol), are thought to play a role in the pathogenesis of AD and other neurodegenerative disorders (2, 3). Apart from dietary sources, oxysterols can be formed (or bio-accumulated) because of peroxidation and/or normal enzymatic degradation of cholesterol and its 3-acyl esters (4). Oxysterols have been extensively studied for their role in atherosclerosis (5), but much less is known about their potential effects in the CNS. The available literature, although scanty, indicates that oxysterols can be cytotoxic to neurons, astrocytes, and microglia and neuroblastoma cells (2, 6), the major cell types present in the CNS. Recently, a new class of oxysterols has been shown to be present *in vivo* in human brain samples of Alzheimer's patients (7) and Lewy body dementia (6). These were postulated to be formed because of endogenous ozone and/or singlet oxygen production (6, 8-10). One of the products of this class, ChSeco (Fig. 1) has been shown to promote A $\beta$  aggregation (7, 8) and  $\alpha$ -synuclein fibrilization (6) through protein misfolding in cell-free systems. Studies from our laboratory have shown for the first time that such a phenomenon can also occur in GT1-7 hypothalamic neurons when exposed to ChSeco (11). This observation prompted us to investigate the cause and consequences of ChSeco-induced A $\beta$  aggregation in neuronal cells. The consequences we observe are increased oxidative stress and enhanced neuronal loss, both of which are characteristic of AD. **The present proposal aims at investigating the molecular basis of A $\beta$  aggregation and its pathological consequences, and possible interrogation using pharmaceutical agents.** The study encompasses two other similar aldehydic COPs, namely, 9-oxononanoylcholesterol (9-ONC) and 5-oxovaleroylcholesterol (5-OVC), and one non-aldehydic COP, 5 $\beta$ ,6 $\beta$ -epoxycholesterol (ChEpo) that are known to be formed at inflammatory sites due to oxidation of cholesterol and its 3-acyl esters, cholesteryl linoleate and cholesteryl arachidonate (4, 12). It is anticipated that these studies will help develop strategies for understanding as well as management of diseases associated with A $\beta$  aggregation.

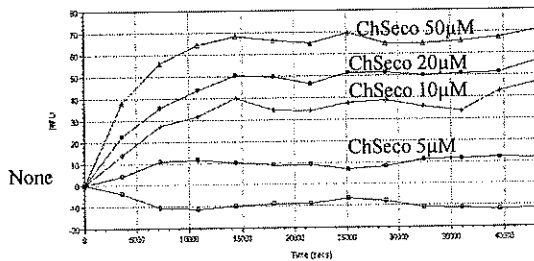


**Figure 1.** Structures of ChSeco, ChEpo, 9-ONC, and 5-OVC

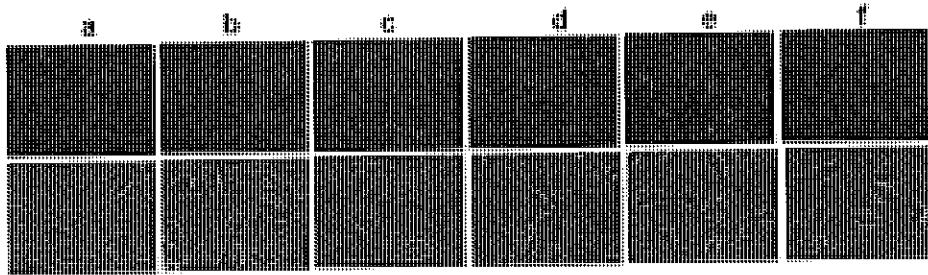
## RESERCH PLAN AND TIMELINE

### PRELIMINARY DATA

ChSeco induces A $\beta$  aggregation and subsequent neuronal loss in cultured GT1-7 hypothalamic neurons: The results presented in Figs. 2 and 3 demonstrate that ChSeco at low micromolar ( $\mu$ M) concentrations induces A $\beta$  aggregation in intact GT1-7 hypothalamic neurons and their lysates. Within 24 h of incubation with ChSeco, the cells became round, lost adhesion to the bottom of the dish, and the neurite outgrowth was markedly diminished. There was an increased cytotoxicity associated with elevated levels of A $\beta$  aggregates in neuronal cells. The cell death in these treatments retained several key features of apoptosis that include changes in nuclear morphology, DNA fragmentation, and PS externalization.

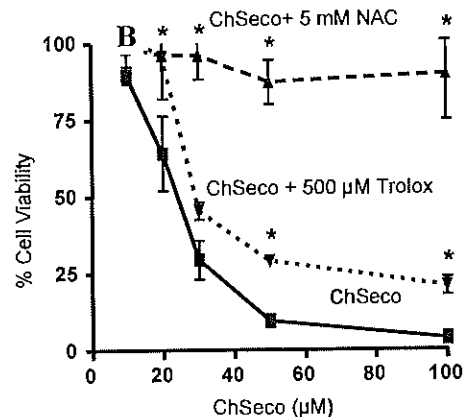
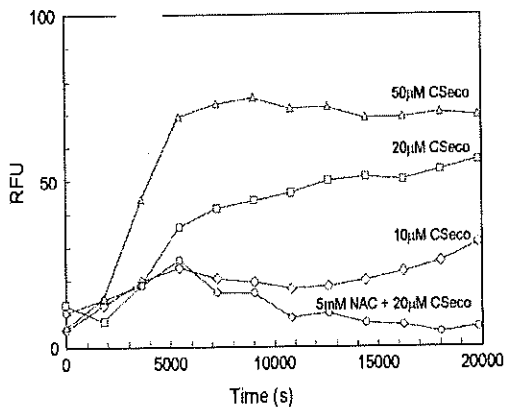


**Figure 2.** Aggregation of A $\beta$  or A $\beta$ -like proteins in neuronal cell lysates by ChSeco. Cell lysates containing 100  $\mu$ g protein each were incubated with 40  $\mu$ M thioflavin T in a final volume of 200  $\mu$ L for 1 to 12 h at room temperature. The appearance of fluorescence was measured at excitation and emission wavelengths of 440 and 485 nm.



**Figure 3.** Formation of intracellular A $\beta$  aggregates in GT1-7 hypothalamic neurons: (a), none; (b), 1  $\mu$ M; (c), 5  $\mu$ M; (d), 10  $\mu$ M; and (e), 20  $\mu$ M of ChSeco. Treatment of neuronal cells with A $\beta$  fibrillogenesis inhibitors (f) completely abolished the ChSeco (10  $\mu$ M)-induced A $\beta$  aggregation. The cells in the upper panel were immunostained for A $\beta$  and visualized with Alexa 488. The nuclei were counterstained with DAPI. The lower panel represents the corresponding phase contrast photomicrographs.

Intracellular oxidative stress plays an important role in both A $\beta$  aggregation and cytotoxicity. GT1-7 hypothalamic neurons exposed to ChSeco had higher levels of ROS production based on DCF fluorescence (Fig. 4A). The intracellular levels of GSH were also markedly lowered. Pretreatment of GT1-7 hypothalamic neurons with Trolox significantly reduced cell death, while NAC supplementation totally abolished the ChSeco-induced cytotoxicity (Fig. 4B).



**Figure 4. (A)** Representative tracings of ROS generation in GT1-7 hypothalamic neurons treated with ChSeco in the presence and absence of NAC. Treatment with 5 mM NAC totally abolished (or scavenged) ROS produced in neuronal cells exposed to 20  $\mu$ M ChSeco. ROS generation by untreated cells (control; basal fluorescence) was subtracted at all time points. **(B)** Antioxidants protect against ChSeco-induced cytotoxicity in GT1-7 hypothalamic neurons. Neuronal cells were treated with different concentrations of ChSeco for 24 h in the presence of antioxidants, NAC (5 mM) and Trolox (0.5 mM). ChSeco exposure in the presence of antioxidants significantly improved viability of neurons based on MTS reduction assay. Data represent the mean  $\pm$  SEM of 3 independent experiments. \* Indicates  $p < 0.05$  vs. respective treated controls.

## EXPERIMENTAL DESIGN

**Specific Aim # 1: Determine if A $\beta$  aggregation in neuronal cells occurs in response to exposure to both aldehydic and non-aldehydic cholesterol oxidation products.** Rationale: Preliminary studies from our laboratory have shown that ChSeco induces A $\beta$  aggregation in GT1-7 neurons (Fig. 3), a cell line derived from mouse (11). We will extend the study to a neuronal cell line of human origin, SH-SY5Y neuroblastoma cells. Also, we will examine if A $\beta$  aggregation is facilitated in GT1-7 hypothalamic neurons and SH-SY5Y neuroblastoma cells in response to exposure to other aldehydic (9-ONC and 5-OVC) and non-aldehydic COPs (ChEpo). Alzheimer's disease is always preceded by inflammation, and, therefore, the formation of ChSeco at inflammatory sites may be of relevance to the pathogenesis of AD. The reason for inclusion of 9-ONC and 9-OVC is that they are formed at inflammatory sites as a result of peroxidation of cholesteryl linoleate and cholesteryl arachidonate, respectively (12). The three aldehydic COPs (ChSeco, 5-ONC and 9-OVC) are thought to form Schiff's bases with  $\epsilon$ -amino groups of lysine residues present in A $\beta$  and thereby promote amyloidogenesis. We include ChEpo in the present study for this COP could be formed in ozone-mediated oxidations presumably due to the secondary reactions of carbonyl oxide intermediates with cholesterol<sup>13</sup> or by other autoxidation reactions (4).

**(a). Experimental Approach and Procedures:** GT1-7 Hypothalamic neurons and SH-SY5Y neuroblastoma cells (ATCC), at sub-confluence (ca. 70%), will be exposed to varying low concentrations of ChSeco, 5-OVC, 9-ONC, and ChEpo. A $\beta$  aggregation will be studied first using neuronal cell lysates based on thioflavin T fluorescence and then confirmed by immunofluorescence in permeabilized cells (see Figs. 2 and 3). To quantify A $\beta$ , we will use a sandwich ELISA, western blot analysis, or a combination of both (11). Because A $\beta$  formation *in vivo* is a slow and chronic process, in certain neuronal cultures, we will employ very low concentrations of COPs (1-50 nM) and study A $\beta$  aggregation for extended periods of time, typically for 7-10 d.

The procedures for synthesis of ChSeco, sandwich ELISA and western blot analysis of A $\beta$  and its aggregates, and immunofluorescence of neuronal A $\beta$  have all been well established in our laboratory (11, 14). ChEpo will be purchased from Sigma. The following illustrates the synthesis of 9-ONC and 5-OVC.

*Synthesis of 9-ONC and 5-OVC* — 9-ONC will be synthesized by ozonation of oleic acid in methanol followed by reduction with dimethyl sulfide to yield 9,9-dimethoxynonanoic acid (15). 9,9-Dimethoxynonanoic acid is then condensed with cholesterol using N,N'-dicyclohexylcarbodiimide in dichloromethane. The product 9,9-dimethoxynonanoyl cholesterol will be hydrolyzed to 9-ONC by passing through an acidic ion exchange resin. For synthesis of 5-OVC, we will use a synthetic strategy that is like the one described for 9-ONC. We will perform ozonolysis of 2-hexenoic acid (Aldrich) in methanol followed by reduction with dimethyl sulfide to yield 5,5-dimethoxyvaleric acid.

**(b). Expected Results, Alternative Explanations, and Potential problems:** We anticipate that all three aldehydic COPs will induce A $\beta$  aggregation in GT1-7 hypothalamic neurons and SH-SY5Y neuroblastoma cells in a time- and dose-dependent manner. ChEpo could also induce A $\beta$  aggregation by a mechanism that involves either direct alkylation or through oxidative stress and subsequent post-translational modification. The alkylation of A $\beta$  by ChEpo resulting in insoluble aggregates can be tested by thioflavin T fluorescence assay. We do not anticipate any methodological problems with the SH-SY5Y neuroblastoma cell line, as they are commonly used for studies of A $\beta$  toxicity. The available literature suggests that these cells can be induced to generate A $\beta$  fibrils (16, 17).

**Specific Aim # 2: Determine if oxidative stress mediates the cytotoxicity in neuronal cells exposed to aldehydic and non-aldehydic COPs.** Rationale: Several mechanisms have been proposed for the neurotoxicity of A $\beta$  aggregates (18, 19) including membrane depolarization (20), increased sensitivity to excitotoxins (21), and alterations in calcium homeostasis (22). However, the leading hypothesis is that neuronal damage by A $\beta$  is mediated by free radicals and, as such, can be attenuated by supplementation with antioxidants such as vitamin E (23, 24). This forms the rationale for us to study ROS in the establishment of cytotoxicity of COPs in neuronal cells. In fact, preliminary studies from our laboratory indicate that ChSeco and ChEpo induce cell death as well as oxidative stress in GT1-7 hypothalamic neurons (see Fig. 4 and ref. 11). The cell death induced by ChSeco was characteristic of apoptosis. ChSeco was found to be more cytotoxic than ChEpo. It was intriguing to note that the two ozone-specific oxysterols, when studied at their respective IC<sub>50</sub> values, induce similar levels of ROS, but the neuronal cells respond differently to further treatments with agents that modulate cellular cholesterol levels (14). We will extend the study to SH-SY5Y neuroblastoma cells of human origin and examine if similar effects can be produced by 5-OVC and 9-ONC. On establishing the coexistence of cytotoxicity and oxidative stress in the two cell lines, we will examine whether antioxidants inhibit A $\beta$  aggregation and associated cytotoxicity.

**(a). Experimental Approach and Procedures:** We use a battery of tests to analyze oxidative stress in GT1-7 hypothalamic neurons and SH-SY5Y neuroblastoma cells exposed to COPs. First, we will study the time- and dose-dependent generation of ROS using the technique of DCF fluorescence (see Preliminary Data). We will then determine total antioxidant capacity (TAC), lipid hydroperoxides (L-OOH), and cellular GSH and GSSG to corroborate with induction of oxidative stress and cytotoxicity. The cytotoxicity will be studied using the MTS reduction assay followed by detailed characterization using techniques like nuclear morphology, DNA fragmentation, PS externalization, and mitochondrial function (loss of transmembrane potential and release of cytochrome c). The effects of antioxidants will be studied by simultaneous as well as pre- or post-incubation with COPs. In assays of pre-incubation type, we will incubate neuronal cells with antioxidants for 12-24 h, followed by removal of the antioxidants and exposure of cells to COPs for 24-48 h. In assays of post-incubation type, we will expose neuronal cells to COPs for 12-48 h, remove the COPs, and then expose the treated cells to antioxidants for 12-48 h. The experimental protocols for assessing cytotoxicity based on MTS reduction, PS externalization based on annexin-V/propidium iodide staining, DNA fragmentation by sandwich ELISA, and ROS based on DCF fluorescence have been described in our previous publications (11, 14) and the section on Preliminary Studies. The other experimental procedures we wish to employ to accomplish specific aim 2 are given below.

*Total Antioxidant Capacity*–TAC will be measured according to the method of Rice-Evans and Miller in control cells as well as in cells exposed to COPs (25). Following exposure to COP for 1 h at 37 °C, neuronal cells will be suspended in an isotonic medium containing 1% (w/v) IGEPAL CA-630 (to promote cell lysis), metmyoglobin, ABTS, and H<sub>2</sub>O<sub>2</sub>. The samples will be incubated at 37 °C for 5 min. The antioxidant activity of control cells and cells previously exposed to COP will be measured based on the formation of ABTS radical cation at 734 nm. Blank runs will be carried out by omitting cells.

Lipid Hydroperoxides-LOOH will be measured in control cells, as well as cells exposed to COPs, according to the method of Gay and Gebicki (26). Briefly, LOOH (0-10  $\mu$ M) will be allowed to react with 100 to 1,000-fold excess Fe(II) in perchloric acid at pH ca. 1. Complex formation of Fe(III) with xylenol orange will then be measured photometrically at 560 nm.

**(b). Expected Results, Alternative Interpretations, and Potential Problems:** We anticipate that all COPs will cause cytotoxicity and an increased generation of ROS. Our preliminary studies show that ChSeco and ChEpo induce dose- and time-dependent increases in ROS production and cytotoxicity based on MTS reduction assay. Almost all the experimental protocols including LOOH and TAC have been well standardized and routinely used in our laboratory. We do not anticipate any potential problems.

**Specific Aim # 3: Determine if prevention of A $\beta$  aggregation alters cytotoxicity of aldehydic and non-aldehydic COPs.** Rationale: *In vitro* studies suggest that A $\beta$  aggregation is important event for neurotoxicity to occur (27). Accordingly, a valid therapeutic strategy would be to administer compounds that can block fibril or proto-filament formation. One such promising family of compounds is  $\beta$ -sheet breakers. We will use A $\beta$ <sub>40</sub> and A $\beta$ <sub>42</sub> fibrillogenesis inhibitors (Calbiochem) in our studies for their potential to inhibit A $\beta$  aggregation and associated cytotoxicity. In addition to the above, we will test a battery of pharmacological agents for their ability to inhibit, or interfere with, A $\beta$  aggregation and cytotoxicity (see below). The rationale for inclusion of small molecular weight chaperones is that they can accumulate in cells and prevent misfolding of proteins and other macromolecular structures (28). These will give an insight into the mechanism of COP-induced cytotoxicity, and this, in turn, will help in developing therapeutic strategies for neurodegenerative diseases associated with cholesterol metabolism.

The pharmacological agents we propose to examine include small molecular chaperones (ecotine), HMG CoA reductase inhibitors (statins), NSAIDs (indomethacin), protein synthesis inhibitors (cycloheximide), intracellular second messengers (dibutyl cyclic AMP), calcium chelators (BAPTA-AM), inhibitors of RNA synthesis (actinomycin D), endonuclease inhibitors (aurintricarboxylic acid), cyclodextrins (methyl- $\beta$ -cyclodextrin), and other conventional or unconventional pharmacological agents such as taurine and semicarbazide that potentially can reverse or interfere with Schiff's base formation of COPs with peptides and proteins.

**(a). Experimental Approach and Procedures:** We will use both mouse and human neuronal cells to screen various pharmacological agents. We will study ChSeco, 5-OVC, 9-ONC, and ChEpo for their cytotoxicity and induction of A $\beta$  aggregation. The cytotoxicity will be assayed based on MTS reduction assay, A $\beta$  aggregation based on thioflavin T fluorescence, immunofluorescence, and sandwich ELISA. These methods are detailed in specific aim 1. The pharmacological agents mentioned above will be tested for their ability to inhibit cell death and A $\beta$  aggregation. First, we will examine if these agents inhibit COP-induced cell death. We will use concentrations in the range 0.1-1,000  $\mu$ M or an appropriate concentration at which these agents *per se* do not cause toxicity to the neuronal cells. For the agents that show promise in inhibiting cell death, we will study, whether they can interfere with A $\beta$  aggregation.

**(b). Expected Results, Alternative Explanations, and Potential difficulties:**  $\beta$ -Sheet breakers have been shown to inhibit A $\beta$  aggregation and cytotoxicity in IMR-32 neuroblastoma cells (29). We expect that these agents will inhibit A $\beta$  aggregation in both human and mouse neuronal cells. Regarding cytotoxicity, there can be three different scenarios. First, there may be a complete reversal of cytotoxicity, meaning that A $\beta$  aggregation is obligatory in the mediation of cytotoxicity of COPs. Second, there may be a partial reversal of cytotoxicity, which could mean that mechanisms other than A $\beta$  aggregation are also involved. The third possibility is that there may not be any reversal of cytotoxicity, indicating that A $\beta$  aggregation plays no role in COPs-mediated cytotoxicity. Similar scenarios are expected with other pharmacological agents mentioned above. If inhibition of A $\beta$  aggregation brings about complete reversal of cytotoxicity,

then the present system can be used as an experimental tool for screening various agents for their therapeutic use. There is rationale for inclusion of various pharmacological agents and most of them have already been tested or contemplated to have therapeutic value. We do not expect any methodological problems except in certain specific situations such as polyamines which need a transporter system for delivery into the cells. Currently, we are not sure if this transport system is present in neuronal cells of interest.

The results of the proposed work are expected to provide information on the cause-and-effect relationship between COPs, A $\beta$  aggregation, and ROS. The information on modulation of A $\beta$  aggregation by pharmaceutical agents is expected to promote further research leading to improved therapeutic intervention and appropriate medical management in diseases associated with protein misfolding.

Successful completion of the work is expected to help in publishing two or three manuscripts and several abstracts and pave way to submission of an R15 or R21 grant application to NIH

#### TIMELINE

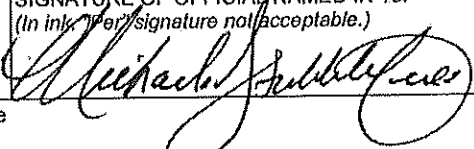
Specific Aims # 1-3	May-Jul (2023)	Aug-Oct (2023)	Nov-Jan (2023-4)	Feb-Apr (2024)
<b>SA # 1: Determine if A<math>\beta</math> aggregation in neuronal cells occurs in response to exposure to both aldehydic and non-aldehydic cholesterol oxidation products</b>				
Synthesis of COPs and studies of intracellular amyloids in GT1-7 hypothalamic neurons and SH-SY5Y neuroblastoma cells	X	X		
<b>SA # 2: Determine if oxidative stress mediates the cytotoxicity in neuronal cells exposed to aldehydic and non-aldehydic COPs.</b>				
Studies of intracellular ROS formation, total antioxidant capacity, malonaldehyde formation, lipid hydroperoxides, mitochondrial membrane potential and release of mitochondrial cytochrome <i>c</i>		X	X	
<b>SA # 3: Determine if prevention of A<math>\beta</math> aggregation alters cytotoxicity of aldehydic and non-aldehydic COPs.</b>				
Studies of potential pharmacological agents (ecotine, indomethacin, dibutyl cyclic AMP, BAPTA-AM, etc) on cytotoxicity and A $\beta$ aggregation in GT1-7 and SH-SY5Y neuronal cells and preparation of reports		X	X	X

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Department of Health and Human Services Public Health Services <b>Grant Application</b> <i>Do not exceed character length restrictions indicated.</i>		LEAVE BLANK—FOR PHS USE ONLY.		
		Type	Activity	Number
		Review Group		Formerly
		Council/Board (Month, Year)		Date Received
1. TITLE OF PROJECT (Do not exceed 81 characters, including spaces and punctuation.) <b>Studies on the beneficial role of methionine in countering the initiation and progression of NAFLD</b>				
2. RESPONSE TO SPECIFIC REQUEST FOR APPLICATIONS OR PROGRAM ANNOUNCEMENT OR SOLICITATION <input type="checkbox"/> NO <input checked="" type="checkbox"/> YES (If "Yes," state number and title)				
Number: _____ Title: _____				
3. PROGRAM DIRECTOR/PRINCIPAL INVESTIGATOR				
3a. NAME (Last, first, middle) Murthy, Subramanyam, N		3b. DEGREE(S) PhD		3h. eRA Commons User Name Subramanyam_murthy
3c. POSITION TITLE Professor		3d. MAILING ADDRESS (Street, city, state, zip code) 209 Lee Hall Southern University and A&M College Baton Rouge, LA 70813		
3e. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT College of Agriculture				
3f. MAJOR SUBDIVISION Environmental Toxicology				
3g. TELEPHONE AND FAX (Area code, number and extension) TEL: 225-771-3182 FAX: _____		E-MAIL ADDRESS: Subramanyam_murthy@subr.edu		
4. HUMAN SUBJECTS RESEARCH <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes		4a. Research Exempt <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes		If "Yes," Exemption No. _____
4b. Federal-Wide Assurance No. _____		4c. Clinical Trial <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes		4d. NIH-defined Phase III Clinical Trial <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
5. VERTEBRATE ANIMALS <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			5a. Animal Welfare Assurance No. _____	
6. DATES OF PROPOSED PERIOD OF SUPPORT (month, day, year—MM/DD/YY) From 05/01/2023 Through 04/30/2024		7. COSTS REQUESTED FOR INITIAL BUDGET PERIOD 7a. Direct Costs (\$) 40000		8. COSTS REQUESTED FOR PROPOSED PERIOD OF SUPPORT 7b. Total Costs (\$) 56000
		8a. Direct Costs (\$) 40000	8b. Total Costs (\$) 56000	
9. APPLICANT ORGANIZATION Name Southern University and A&M College Address Baton Rouge, LA 70813		10. TYPE OF ORGANIZATION Public: → <input type="checkbox"/> Federal <input checked="" type="checkbox"/> State <input type="checkbox"/> Local Private: → <input type="checkbox"/> Private Nonprofit For-profit: → <input type="checkbox"/> General <input type="checkbox"/> Small Business <input type="checkbox"/> Woman-owned <input type="checkbox"/> Socially and Economically Disadvantaged		
		11. ENTITY IDENTIFICATION NUMBER 1-726000817-A1 DUNS NO. 05-351-5743 Cong. District LA-002		
12. ADMINISTRATIVE OFFICIAL TO BE NOTIFIED IF AWARD IS MADE Name Dr. Norma J. Frank Title Executive Director Address Office of Sponsored Programs P.O. Box 12596 Baton Rouge, LA 70813-2596 Tel: 225-771-2809 FAX: _____ E-Mail: Norma.frank@subr.edu		13. OFFICIAL SIGNING FOR APPLICANT ORGANIZATION Name Dr. Michael Stubblefield Title Vice Chancellor for Research Address Office of Research and Strategic Initiatives P.O. Box 9272 Baton Rouge, LA 70813-9272 Tel: 225-771-3890 FAX: _____ E-Mail: Michael.Stubblefield@subr.edu		
14. APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE: I certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.		SIGNATURE OF OFFICIAL NAMED IN 13. (In ink, typed/signature not acceptable.) 		DATE 11/22/2022

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## Application Summary

### Competition Details

**Competition Title:** Louisiana Biomedical Research Network – LBRN and Louisiana Clinical & Translational Science Center-LACATS Requesting Proposals for Translational Science Projects 2023-2024

**Category:**

**Cycle:**

**Submission Deadline:** 11/25/2022 4:30 PM

### Application Information

**Submitted By:** Subramanyam Murthy

**Application ID:** 311

**Application Title:** Studies on the beneficial role of methionine in countering the initiation and progression of NAFLD

**Date Submitted:** 11/23/2022 7:12 AM

### Personal Details

**Applicant First Name:** Subramanyam

**Applicant Last Name:** Murthy

**Applicant Degree(s):** PhD

**Email Address:** s\_murthy@subr.edu

**Phone Number:** (504) 214-0213

**Primary Appointment Title:** Professor

**Contact Person's Name:** Subramanyam N Murthy

**Contact Person's Email Address:** s\_murthy@subr.edu

**Contact Person's Phone Number:** 5042140213

**Applicant's Primary Institution:** Southern University at Baton Rouge

**LACaTS Collaborator:**

**LACaTS Collaborator Institution:**

### Co-Investigator(s)

Name	Email	Affiliation	Professional Title	Specific Expertise	College	Department
No Co-Investigator(s)						

## **Application Details**

---

**Proposal Title**

Studies on the beneficial role of methionine in countering the initiation and progression of NAFLD

**Proposed Project Start Date**

05/1/2023

**Proposed Project End Date**

04/30/2024

**Estimated Project Funding Requested**

40,000

**Are Human Subjects Involved**

No

**Clinical Trial**

No

**Are Vertebrate Animals Used**

No

**Are Vertebrate Animals Euthanized**

No

**If yes, is method of euthanasia consistent with AVMA guidelines**

**Does the project involve use of Human Embryonic Stem Cells**

No

**If the project involves human embryonic stem cells, list below the registration number of the specific cell line(s) from the following list: [https://grants.nih.gov/stem\\_cells/registry/](https://grants.nih.gov/stem_cells/registry/)**

**Specific stem cell cannot be referenced at this time. One from a registry will be used**

# LBRN LOUISIANA CLINICAL & TRANSLATIONAL SCIENCE CENTER COVER PAGE

## PRINCIPLE INVESTIGATOR INFORMATION

Name (last, first, middle): Murthy, Subramanyam N		Degree: PhD	
Position Title: Professor		Department: Environmental Toxicology	
Address: 209 Lee Hall, College of Agriculture			
City: Baton Rouge		State: LA	Zip Code: 70813
E-mail: subramanyam_murthy@subr.edu		Phone: 504-214-0213	
Project Title: Studies on the beneficial role of methionine in countering the initiation and progression of NAFLD			
Dates of Proposed Period (MM/DD/YYYY)		Start: 05/01/2023	End: 04/30/2024
Costs Requested for Budget Period (\$)		Direct Cost: 40000	Total Cost: 56000
If any of these items are "Yes", include the approval letter in the Letter of Support section of the proposal.	Human Subjects Research <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes	Vertebrate Animals <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes	Biohazards <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes

## APPLICANT ORGANIZATION INFORMATION

Name: Southern University and A&M College			
Address: 801 Harding Blvd.			
City: Baton Rouge		State: LA	Zip Code: 70813
<i>Administrative Official to be notified if award is made</i>			
Name: Dr. Norma Frank		Title: Executive Director	
Address: Office of Sponsored Programs			
City: Baton Rouge		State: LA	Zip Code: 70813
E-mail: norma_frank@subr.edu		Phone: 225-771-2809	Fax:
<i>Official Signing for the Application Organization</i>			
Name: Dr. Michael Stubblefield		Title: Vice Chancellor	
Address: Office of Sponsored Programs			
City: Baton Rouge		State: LA	Zip Code: 70813
E-mail: michael_stubblefield@subr.edu		Phone: 225-771-2809	Fax:

I certify that all information submitted in this application package is complete and accurate and the applicant organization will comply with all applicable policies, assurances and/or certifications referenced in the application.

Signature of Signing Official	Date
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**PROJECT SUMMARY** (See instructions):

Approximately 30% of the population World over are affected by non-alcoholic fatty liver disease (NAFLD), and it is soon projected to become a leading cause of chronic liver disease. Fat accumulation in liver or steatosis progresses to non-alcoholic steatohepatitis (NASH), a forerunner of cirrhosis, and could culminate in hepatocellular carcinoma. NASH associated cirrhosis is suspected to become the leading cause of liver transplantation by 2030. An annual direct medical cost exceeding \$100 billion in the US alone is projected for the management of complications and comorbidities of NAFLD. High circulating levels of Cholesterol (Cho) and Homocysteine (Hcy), formed from Methionine (Met) are documented risk factors for inflammatory conditions like NAFLD and atherosclerosis. Since both Cho and Met are rich in animal products like dairy, poultry and meat (extensively consumed in the US), and there is a paucity of information on the combined effects Cho and Met, especially in the hepatic context, studies were conducted in adult male Sprague Dawley rats. Hepatic inflammatory and oxidative stress responses were seen only in rats fed high Cho diet but not in rats fed high Met with results like Control (Con) rats. Instead of an additive effect of hepatic inflammation and oxidative stress in rats fed Cho+Met diet, there was abrogation of the initiation and progression of the pathology. Given that NAFLD represents the hepatic component of metabolic syndrome, we chose to investigate the role of sitagliptin, a dipeptidyl peptidase-4 (DPP-4) inhibitor (antidiabetic drug with antiinflammatory and other health benefits that are independent of glucose lowering) to counter the inflammation especially since they have been used for the treatment of NAFLD. Sitagliptin, instead of lowering hepatic inflammation, accentuated it multiple fold in rats fed high Cho. The addition of Met to Cho completely prevented even the exacerbated inflammation due to high Cho substantiating the beneficial effects of Met. DPP-4 inhibitors are in clinical practice for management of type 2 diabetes thus necessitating a better understanding of the diet drug interactions. Importantly, Met and Choline deficient diet have been used for inducing experimental NAFLD. Therefore, it is logical to explore if a dietary excess of Met would counter the disease process. The hypothesis that **“Methionine counters the hepatic inflammation and oxidative stress due to hypercholesterolemia preventing the progression of NAFLD”** will be addressed with the specific aim, *To investigate the role of methionine in combating hepatic inflammation due to hypercholesterolemia and its exacerbations by sitagliptin.* Using liver tissues from previous experiments high Cho, high Met and their combination with and without administration of sitagliptin, and rat liver (CRL 1439) cells, investigation of the mechanistic aspects of the beneficial effects will be carried out.

**RELEVANCE** (See instructions):

The proposed studies are transitional since sitagliptin mediated exacerbations of inflammation in high Cho fed rats and its alleviation by Met helps in understanding dietary and drug interactions involved in development of NAFLD.

**PROJECT/PERFORMANCE SITE(S)** (if additional space is needed, use Project/Performance Site Format Page)

**Project/Performance Site Primary Location**

Organizational Name: **Southern University and A&M College**

DUNS: **05-351-5743**

Street 1: **209 Lee Hall**

Street 2:

City: **Baton Rouge**

County: **USA**

State: **Louisiana**

Province: **EBR**

Country:

Zip/Postal Code: **70813**

Project/Performance Site Congressional Districts: **LA-002**

**Additional Project/Performance Site Location**

Organizational Name:

DUNS:

Street 1:

Street 2:

City:

County:

State:

Province:

Country:

Zip/Postal Code:

Project/Performance Site Congressional Districts:

Program Director/Principal Investigator (Last, First, Middle): **Murthy, Subramanyam**

SENIOR/KEY PERSONNEL. See instructions. Use continuation pages as needed to provide the required information in the format shown below. Start with Program Director(s)/Principal Investigator(s). List all other senior/key personnel in alphabetical order, last name first.

Name	eRA Commons User Name	Organization	Role on Project
Murthy, S.N.	Subramanyam_murthy	SUBR	PI
Poorna Sai Vaddi		SUBR	Graduate Student

OTHER SIGNIFICANT CONTRIBUTORS

Name	Organization	Role on Project
------	--------------	-----------------

Human Embryonic Stem Cells  No  Yes

If the proposed project involves human embryonic stem cells, list below the registration number of the specific cell line(s) from the following list: [https://grants.nih.gov/stem\\_cells/registry/current.htm](https://grants.nih.gov/stem_cells/registry/current.htm). Use continuation pages as needed.

If a specific line cannot be referenced at this time, include a statement that one from the Registry will be used.

Cell Line

Program Director/Principal Investigator (Last, First, Middle):

The name of the program director/principal investigator must be provided at the top of each printed page and each continuation page.

**RESEARCH GRANT  
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6. Select Agent Research.....	
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10. Resource Sharing Plan(s).....	
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Appendix (Two identical CDs.)

Check if Appendix is Included

\* Follow the page limits for these sections indicated in the application instructions, unless the Funding Opportunity Announcement specifies otherwise.



**SF424 R&R Budget Worksheet**

**Budget Dates: 05/01/2023-04/30/2024**

Project Title: Studies on the beneficial role of methionine in countering the initiation and progression of NAFLD  
 Lead Investigator: Dr. S.N. Murthy  
 Organization: Southern University and A&M College  
 DUNS # 05-351-5743

**A. Senior/Key Person**

	First Name	Last Name	Project Role	Base Salary (\$)	Cal Mon	Acad Mon	Sum Mon	Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
1	Subramanyam	Murthy	PI	\$85,473	9.00		1.00	\$9,497	\$2,661	\$12,158
2									\$0	\$0
3									\$0	\$0
4									\$0	\$0
5									\$0	\$0
									<b>Total</b>	<b>\$12,158</b>

**B. Other Personnel**

No.	Project Role	Cal Mon	Acad Mon	Sum Mon	Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
	Postdoctoral Associates						
	Graduate Student		6.00		\$12,000	\$0	\$12,000
	Undergraduate Students					\$0	\$0
	Secretarial/Clerical					\$0	\$0
	Other					\$0	\$0
						<b>Total</b>	<b>\$12,000</b>

**Total Salary, Wage and Fringe Benefits (A+B)**

**\$24,158**

C.	Equipment (individual items exceeding \$5,000)	Funds Requested (\$)
1		
2		
<b>Total Equipment Cost</b>		<b>\$0</b>
D.	Travel	Funds Requested (\$)
1	Domestic Travel Costs	\$1,300
2	Foreign Travel Costs	
<b>Total Travel Cost</b>		<b>\$1,300</b>
E.	Participant/Trainee Support Costs	Funds Requested (\$)
1	Tuition/Fees/Health Insurance	
2	Stipends	
3	Travel	

4	Subsistence	
5	Other	
<b>Total Participant/Trainee Support Costs</b>		\$0
<b>F. Other Direct Costs</b>		
1	Materials and Supplies	\$13,342
2	Publication Costs	\$1,200
3	Consultant Services	
4	ADP/Computer Services	
5	Subawards/Consortium/Contractual Costs	\$0
6	Equipment or Facility Rental/User Fees	
7	Alterations and Renovations	
8	Tuition Remission	
9	Other	
<b>Total Other Direct Costs</b>		\$14,542
<b>G. Total Direct Costs (A-F)</b>		\$40,000

**H. Indirect Costs**

Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	
Modified Total Direct Costs (MTDC)	40.00%	\$40,000	\$16,000

**\$56,000**

**I. Total Direct and Indirect Costs (A-H):**

<b>Faculty/Staff Fringe Rate</b>	<b>28.02%</b>
<b>GA Fringe Rate</b>	<b>0.00%</b>
<b>Postdoc Fringe Rate</b>	<b>0.00%</b>
<b>F&amp;A Rate</b>	<b>0.00%</b>

**INSTRUCTIONS:**

1. Complete all items in this section to the best of your ability.
2. Indirect costs (F&A and consortia) must be reported on this page.
3. Do not report indirect costs from other grant awards on this page.
4. Only report indirect costs for the current fiscal year. Do not report indirect costs from previous fiscal years.
5. Do not report indirect costs for other grants.

**BUDGET FOR ENTIRE PROPOSED PROJECT PERIOD  
DIRECT COSTS ONLY**

BUDGET CATEGORY TOTALS	INITIAL BUDGET PERIOD (from Form Page 4)	2nd ADDITIONAL YEAR OF SUPPORT REQUESTED	3rd ADDITIONAL YEAR OF SUPPORT REQUESTED	4th ADDITIONAL YEAR OF SUPPORT REQUESTED	5th ADDITIONAL YEAR OF SUPPORT REQUESTED
PERSONNEL: Salary and fringe benefits. Applicant organization only.	12158				
CONSULTANT COSTS/GRADUATE STUDENT	12000				
EQUIPMENT					
SUPPLIES	13342				
TRAVEL					
INPATIENT CARE COSTS					
OUTPATIENT CARE COSTS					
ALTERATIONS AND RENOVATIONS					
OTHER EXPENSES	2500				
DIRECT CONSORTIUM/ CONTRACTUAL COSTS					
<b>SUBTOTAL DIRECT COSTS</b> (Sum = Item 8a, Face Page)	40000				
F&A CONSORTIUM/ CONTRACTUAL COSTS					
<b>TOTAL DIRECT COSTS</b>	40000				
<b>TOTAL DIRECT COSTS FOR ENTIRE PROPOSED PROJECT PERIOD</b>					<b>\$ 40000</b>

JUSTIFICATION. Follow the budget justification instructions exactly. Use continuation pages as needed.

One-month summer salary support for the PI is requested from the Project Funds. (Note: Dr. Murthy's requested salary for each project year is calculated by his current 9-month faculty appointment with an annual base salary of \$85,473.). The salary per month for Dr. Murthy is \$9,497.00, and with fringe benefits \$2661.00 (@28.02%), the total salary would amount to \$12158.00. The PI has supervised the PhD work of 3 students and has been working on amino acid metabolism for several decades and specifically on the metabolism of methionine required for the proposed work.

A sum of \$12000.00 is requested for a graduate student for a 6-month salary support at \$2000.00 per month. The student will carry out the work related to the project like analysis of samples, collecting data and preparing meeting materials and help in preparing reports as required by the Agency or any other work deemed necessary for the project.

**Materials and Supplies \$13442.00**

**Glassware/Supplies/Cells (\$2,000):** Flasks, pipettes, culture dishes, culture plates (6 well, 24 well, 96 well), glass slides, antibiotics, culture medium, serum, trypsin, gloves, masks, rat liver epithelial cells CRL-1439 from ATCC.

**Antibodies and Kits (\$11,342):** Antibodies for Western blot and immunohistochemistry, GAPDH, and secondary antibodies. PVDF membrane and protease and phosphatase inhibitors. RNA isolation Kits, Protein Assay Kit, cell viability assay kit, ELISA kits for IL17, DDAH, cystathionine beta-synthase, Rat MAT II  $\alpha$ , PRMT 1.

**Publications (\$1200.00):** This sum is requested for publication/printing materials for dissemination of research findings.

**CHECKLIST**

**TYPE OF APPLICATION** (Check all that apply.)

- NEW application. (This application is being submitted to the PHS for the first time.)
- RESUBMISSION of application number: \_\_\_\_\_  
(This application replaces a prior unfunded version of a new, renewal, or revision application.)
- RENEWAL of grant number: \_\_\_\_\_  
(This application is to extend a funded grant beyond its current project period.)
- REVISION to grant number: \_\_\_\_\_  
(This application is for additional funds to supplement a currently funded grant.)
- CHANGE of program director/principal investigator.  
Name of former program director/principal investigator: \_\_\_\_\_
- CHANGE of Grantee Institution. Name of former institution: \_\_\_\_\_
- FOREIGN application     Domestic Grant with foreign involvement    List Country(ies) Involved: \_\_\_\_\_

INVENTIONS AND PATENTS (Renewal appl. only)     No     Yes  
 If "Yes,"  Previously reported     Not previously reported

**1. PROGRAM INCOME** (See instructions.)

All applications must indicate whether program income is anticipated during the period(s) for which grant support is request. If program income is anticipated, use the format below to reflect the amount and source(s).

Budget Period	Anticipated Amount	Source(s)

**2. ASSURANCES/CERTIFICATIONS** (See instructions.)

In signing the application Face Page, the authorized organizational representative agrees to comply with the policies, assurances and/or certifications listed in the application instructions when applicable. Descriptions of individual assurances/certifications are provided in the NIH Grants Policy Statement, Section 4: Public Policy Requirements, Objectives and Other Appropriation Mandates. If unable to certify compliance, where applicable, provide an explanation and place it after this page.

**3. FACILITIES AND ADMINISTRATIVE COSTS (F&A)/ INDIRECT COSTS.** See specific instructions.

- HHS Agreement dated: \_\_\_\_\_  No Facilities And Administrative Costs Requested.
- HHS Agreement being negotiated with \_\_\_\_\_ Regional Office.
- No HHS Agreement, but rate established with \_\_\_\_\_ Date \_\_\_\_\_

CALCULATION\* (The entire grant application, including the Checklist, will be reproduced and provided to peer reviewers as confidential information.)

a. Initial budget period:	Amount of base \$	<u>40,000</u>	x Rate applied	<u>40.00</u>	% = F&A costs	\$	<u>56,000</u>
b. 02 year	Amount of base \$	_____	x Rate applied	_____	% = F&A costs	\$	_____
c. 03 year	Amount of base \$	_____	x Rate applied	_____	% = F&A costs	\$	_____
d. 04 year	Amount of base \$	_____	x Rate applied	_____	% = F&A costs	\$	_____
e. 05 year	Amount of base \$	_____	x Rate applied	_____	% = F&A costs	\$	_____
						TOTAL F&A Costs	\$ <span style="border: 1px solid black; padding: 5px;"> </span>

- \*Check appropriate box(es):
- Salary and wages base     Modified total direct cost base     Other base (Explain)
  - Off-site, other special rate, or more than one rate involved (Explain)

Explanation (Attach separate sheet, if necessary.):  
 Apart from salary for one month with fringe benefits for the PI in the amount of \$12158.00, a sum of \$12000.00 is requested for a graduate student for a 6-month salary support at \$2000.00 per month. The remaining \$15842.00 is requested for purchasing research related supplies, reagents, antibodies for proteins proposed, kits for isolation of RNA and other relevant materials (see budget justification).

### Background:

Approximately 30% of the population World over are affected by NAFLD, and it is soon projected to become a leading cause of chronic liver disease (1, 2). Non-alcoholic fatty liver disease (NAFLD) is reported to be the most common chronic liver disease in developed countries, and is strongly associated with obesity, dyslipidemia, and diabetes (3, 4). Fat accumulation in liver or steatosis progresses to non-alcoholic steatohepatitis (NASH) to cirrhosis and could culminate in hepatocellular carcinoma (HCC). NASH cirrhosis or NASH associated cirrhosis is suspected to become the leading cause of liver transplantation by 2030 (5, 6). An annual direct medical cost exceeding \$100 billion in the US alone is projected for the management of complications and comorbidities of NAFLD, and thus a major burden on health care system (7). Despite extensive research on understanding the pathophysiology targeted therapies are still unavailable (8). The treatment modality for NAFLD is mainly directed towards mitigation of risk factors like weight gain (healthy eating habits) and co-morbidity management.

High dietary Cholesterol (Cho) and Homocysteine, formed from Methionine (Met) are known risk factors for inflammatory conditions like NAFLD and atherosclerosis. Excessive consumption of foods rich in both Cho and Met can contribute to the probability of developing, and progression of NAFL/NASH. Gupta and co-workers have reported the induction of cirrhosis in rabbits by feeding a high Cho diet (9). There are studies on the individual effects of Cho or Met/Hcy on heart and liver but the combined effects of feeding a dietary excess of Met and Cho, especially in the hepatic context are almost non-existent. Therefore, we conducted both short and long-term experiments that lasted for 35 days and 98 days respectively. Adult male SD rats were fed a) control diet, b) a diet enriched with 1.5% Met or c) 2.0% Cho or d) a combination of 1.5% Met and 2.0% Cho. We saw induction of genes of inflammation and oxidative stress only in rats fed high Cho with rats on Met showing no changes. The rationale for using the combination diet of Met+Cho was to investigate if there would be an additive effect of inflammation. Interestingly, Met when added to Cho, countered the hepatic inflammation. To alleviate inflammatory responses seen in high Cho fed rats, we tested sitagliptin, a dipeptidyl peptidase-4 (DPP-4) inhibitor and an antidiabetic drug with several beneficial effects. Instead of lowering, sitagliptin exacerbated hepatic inflammation in rats on high Cho. However, in the combination diet such exacerbations were not found mainly due to the presence of Met, corroborating the beneficial effects of Met even further. In line with our findings, there are studies demonstrating beneficial effects of Met that include protection from ischemia-reperfusion cardiac injury in the canine model (10), paracetamol hepatotoxicity (11, 12), formaldehyde inhalation toxicity (13), and nephroprotective effects against polymixin induced toxicity (14) to mention some. Additionally, administration of various Met metabolites in experimental animal models of liver disease have been shown to have hepato-protective properties (15). The improvement of endogenous antioxidant reserve by Met has been suggested to maintain and/or improve myocardial structure and function under a variety of conditions. It has been suggested that met could provide protection against oxidative stress-induced myocardial cell damage and heart failure (16). An anti-inflammatory effect of L-methionine was also observed through the inhibition of the release of proinflammatory cytokines in high fat fructose diet fed rats while ameliorating enhanced lipogenesis and lipid peroxidation. Multiple health benefits of L-Methionine including attenuation of high-fat fructose diet-induced NASH by modulating lipid metabolism, fibrosis, and inflammation in rats and prevention of pancreatic  $\beta$  cell damage and prevention of diabetes-induced epigenetic alterations have been reported (17-19).

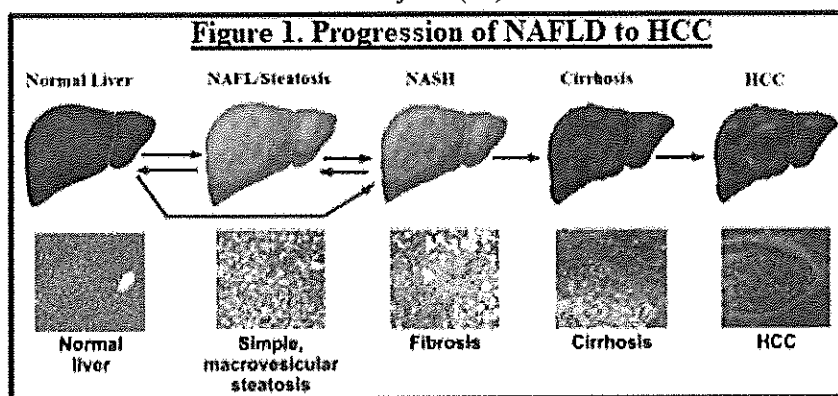
Investigating the contribution of diet in the progression of NASH to cirrhosis and beyond is critically important. Moreover, dietary intervention and healthy choices have been documented to facilitate the reversal of NASH to steatosis and recovery. Also, since NAFLD has been documented to represent the hepatic component of metabolic syndrome, we chose to investigate the role of sitagliptin in addition to its being used for the treatment of NAFLD (20, 21). We will be using liver and heart tissues from our previous experiments for studies proposed currently. The SD rats we used were euglycemic and remained so for the entire duration of the experiment (both short and long-term; 35 and 98 days) with no differences in body composition (body weight or fat content), and therefore we believe that the tissues from these animals present an ideal opportunity to investigate the disease progression better, since the confounding effects of hyperglycemia or obesity could be ruled out.

Animal products like dairy, poultry and meat are rich in both Cho as well as Met and are extensively consumed in the US. Sitagliptin mediated exacerbations of inflammation and oxidative stress in high Cho fed rats and its alleviation by Met are interesting. A better understanding of dietary components and drug interactions involved in progression prevention of NAFLD is needed. The beneficial effects of Met observed in our studies merit mechanistic understandings for exploring future therapeutic options especially in light of public health relevance and are thus translational.

## Research Plan

Dietary Cho and homocysteine formed from Met are well known risk factors for inflammatory conditions like atherosclerosis and non-alcoholic fatty liver disease (NAFLD), and excessive consumption of both Cho and Met can contribute to the possibility of development and progression of NAFL/NASH. Animal products like dairy, poultry and meat which are extensively consumed in the US are rich in both Cho as well as Met and are rarely eaten separately. Although studies on the individual effects Cho or Met/Hcy on heart and liver exist, the combined effects of feeding a dietary excess of Met and Cho, especially in the hepatic context are almost non-existent.

Several major public health concerns worldwide like Obesity, Diabetes, Heart disease and NAFLD, and their association with dietary anomalies are well known. NAFLD comprises of a broad spectrum of histological features ranging from fat accumulation in the liver or simple steatosis to NASH (a more aggressive necro-inflammatory form) including ballooning of hepatocytes and fibrosis that could progress to cirrhosis. Where both steatosis and NASH are reversible by dietary management, from cirrhotic liver the disease becomes irreversible. NAFLD is reported to be the most common chronic liver disease in developed countries and its progression to non-alcoholic steatohepatitis (NASH) and cirrhosis is considered to become the leading cause of liver transplantation by 2030 (26). In subjects with type 2 diabetes, NAFLD is reported to range between 50%–75% (22) and between 80%–90% in obese subjects (23). Accumulating evidence shows that patients with NAFLD are also at high risk of cardiovascular (CV) disease, signifying as main cause of death in these subjects (24).



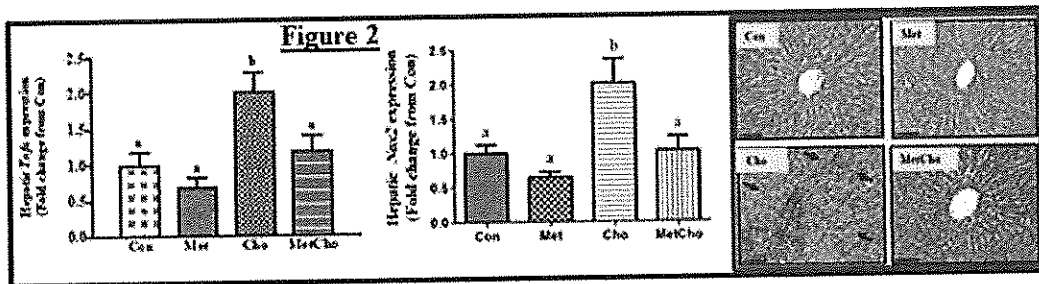
It is well known that NAFLD encompasses simple steatosis or accumulation of fat, NASH, and cirrhosis which could progress to HCC (Figure 1). Consumption of high fat diet plays a major role in the initiation and progression of NAFLD from simple steatosis to NASH (Fig 1 & 2). Although further progression of NASH to cirrhosis can be reversed by dietary management, reversal after progression to cirrhosis becomes highly limiting.

We used adult male SD rats for all our studies which were euglycemic. It is well known that NAFLD is the hepatic outcome of metabolic syndrome which encompasses obesity, diabetes, dyslipidemia, and atherosclerosis (25). Using SD rats which were euglycemic we were able to explicitly demonstrate NASH in high Cho fed and also sitagliptin treated rats. We did not see significant differences in body weight or fat content or glycemic status in our rats, and therefore believe that the tissues from these animals present an opportunity to investigate the disease progression better since the confounding effects of hyperglycemia could be ruled out.

In rat cirrhotic livers a metabolic shift from oxidative phosphorylation to glycolysis has been demonstrated while normal rat hepatocytes continue to use oxidative phosphorylation to produce ATP. The cirrhotic livers have been shown to have high expression of key glycolytic enzymes such as hexokinase 2, aldolase A, and pyruvate kinase M2. Importantly, cirrhotic livers exhibit elevated expression of lactate dehydrogenase isoform; LDHB compared to healthy livers which is indicative of pyruvate being diverted away from the mitochondria for ATP production. Cirrhosis is an advanced stage of liver fibrosis accompanied by changes in hepatic vasculature leading to compromises of exchange between hepatic sinusoids and the hepatocytes. The endothelial cells that line the sinusoids are fenestrated and these lay on a sheet of permeable connective tissue. Typically, the plasma exchange of nutrients and precursors and products of metabolism with hepatocytes takes place in the space of Disse. The perisinusoidal space or the Space of Disse also contains some mononuclear cells and Stellate or Ito cells. These vitamin A storing cells when inflamed start releasing collagen. In cirrhosis the space of Disse is filled with scar tissue and endothelial fenestrations are lost; sinusoidal capillarization. This is characterized by vascularized fibrotic septa that link portal tracts with each other and with central veins, leading to hepatocyte islands. These are surrounded by fibrotic septa devoid of a central vein and all this culminates in impaired hepatocyte or liver function, an increased intrahepatic resistance or portal hypertension that may lead to the development of hepatocellular carcinoma.

Understanding the mechanistic aspects of progression of NASH to cirrhosis and subsequently to HCC is highly critical. With cirrhotic liver secondary complications like portal hypertension affecting the heart, pulmonary hypertension and the heart affecting the liver and subsequently systemic organ involvement and related pathology are not uncommon. Studies on high Cho affecting the liver more than the heart substantiate the significance of dietary component in the disease process (26). Apart from Cho, the foods of animal origin contain high Met. Homocysteine, and intermediate in the metabolism of Met is a documented risk factor for several age-related pathologies like heart disease, stroke, NAFLD and osteoporosis to mention some (27). Despite extensive studies on the individual effects of these nutrients on heart and liver (among others), there are very limited studies on the combination of the two in the heart tissue. However, the studies in liver on the combined effects of feeding a dietary excess of Met and Cho are almost non-existent.

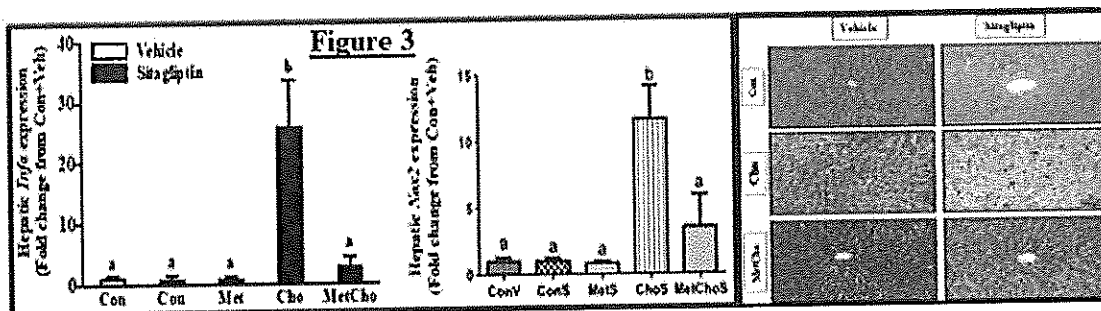
Due to the paucity of information on the combined effects of Cho and Met especially in the hepatic context, we conducted both short and long-term experiments that lasted for 35 days and 98 days respectively. Our objective was to understand acute and chronic hepatic effects of a dietary excess of Met, Cho and their combination. Adult male SD rats were fed a) control diet, b) a diet enriched with 1.5% Met or c) 2.0% Cho or d) a combination of 1.5% Met and 2.0% Cho. The rationale for using the combination diet of Met+Cho was because both are high in food sources from animal origin and therefore it would be interesting to investigate if there would be an additive effect of inflammation. We saw induction of genes of inflammation and oxidative stress only in rats fed high Cho with rats on Met showing no changes or were like that of Con diet fed rats. Interestingly, Met when added to Cho, instead of having an additive effect on inflammation, almost totally countered the hepatic inflammation and other pathological changes. Representative data on the hepatic inflammatory (*Tnf $\alpha$* ) and oxidative stress (*Nox2*) responses seen only in high Cho fed rats and its countering by Met (Met+Cho group) with concomitant and supportive histopathology is shown in figure 2.



In the next set of experiments, to alleviate inflammatory responses seen in high Cho fed rats, we tested sitagliptin, a dipeptidyl peptidase-4 (DPP-4) inhibitor and an antidiabetic drug with several beneficial effects.

The rationale for using this oral glucose lowering drug was not only that it has been in clinical practice for substantial period of time, but independent of hypoglycemic effects, it also is known to exert anti-inflammatory, antioxidative properties in addition to reducing weight gain, delaying gastric emptying among others. In our experiments, an aqueous suspension of sitagliptin (100 mg/kg/d) was administered by oral gavage from day 11 till day 35 in short-term, and from day 31 to day 98 in long-term experiments.

Sitagliptin, instead of lowering exacerbated hepatic inflammation and oxidative stress and fibrosis in rats on high Cho; a totally serendipitous finding. Interestingly, in the combination diet due to the presence of Met, even the exacerbated markers of inflammation (*Tnf $\alpha$* ) and oxidative stress (*Nox2*) and fibrosis mediated by sitagliptin seen in high Cho were abrogated. Several other genes of inflammation and oxidative stress tested yielded similar results. These findings corroborated the beneficial effects of Met even further and this was also supported by histopathology as represented in figure 3. This phenomenon was observed consistently by analyzing multiple parameters [Published



Results from PI's lab (28-30).

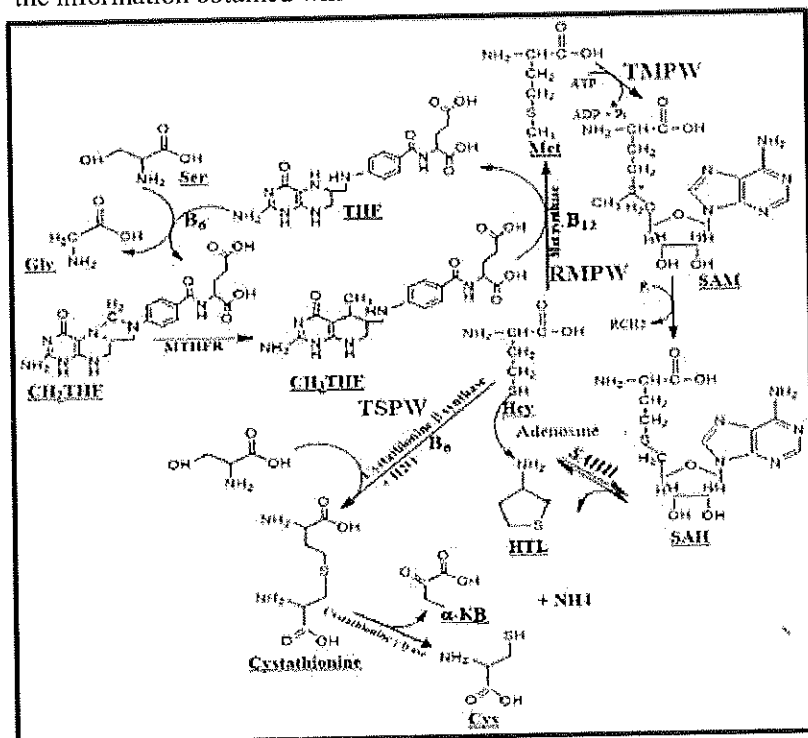
Studies from our laboratory as well as others have shown the beneficial effects of Met eliciting antioxidative, anti-inflammatory and antifibrotic effects.

Typically, oxidative stress, inflammation, & fibrosis are the hallmarks in the pathology of NAFLD. Interestingly, our

studies were specifically designed to investigate the role of Met in dietary excess of Cho. Understanding the diet drug interactions (though beyond the scope of this application) merits investigations since many diabetics who take this drug also have hypercholesterolemia in addition to other lipid abnormalities. Countering even the exacerbated inflammatory, fibrotic and oxidative stress responses in HCho rats by Met was indeed very remarkable. Therefore, investigations as to how Met counters the initiation and progression of the disease as observed in our studies warrant additional investigations and are proposed in the current application. These studies have public health relevance and thus have reasonable translational value.

In the current application, the hypothesis that **“Methionine counters the hepatic inflammation and oxidative stress due to hypercholesterolemia preventing the progression of NAFLD”** will be tested by addressing the specific aim, *To investigate the role of methionine in combating hepatic inflammation due to hypercholesterolemia and its exacerbations by sitagliptin.*

For the studies proposed in this application, liver tissues from our experiments with high Cho, high Met and their combination both with and without administration of sitagliptin will be used. We will analyze for the expression of hexokinase 2, aldolase A, and pyruvate kinase M2 and lactate dehydrogenase B at gene and protein levels since these are known to be important in cirrhosis. We anticipate obtaining useful and important information about progression of NAFLD in rats fed high Cho diets apart from the role played by DPP-4 inhibitors in this process in context of benefits due to High Met. These facets are likely to contribute to advancing our understanding about both diet and the drug and the information obtained will be useful.



**Figure 4.** The metabolism of methionine (Met) is depicted up to the formation of cysteine. After ATP mediated formation of SAM via transmethylation pathway (TMPW), S-adenosyl homocysteine (SAH) is formed after donating the methyl group to acceptor molecules. The SAH is deadenosylated to homocysteine (Hcy). This can either be remethylated to Met with methyl group from methyl tetrahydrofolate (THF) in remethylation pathway (RMPW); methyl group can also be accepted from betaine in liver, betaine homocysteine methyl transferase. Alternatively, Hcy can be routed to transsulfuration pathway (TSPW) for the formation of cystathionine and thence cysteine. In addition to RMPW and TSPW, Hcy can also form the toxic intermediate Hcy thiolactone (HTL). Tetrahydrofolate, THF;  $\alpha$ -ketobutyrate  $\alpha$ -KB, methylene, CH<sub>2</sub>THF; methyl, CH<sub>3</sub>THF, S-adenosyl homocysteine hydrolase, SAHH.

The nutritional significance of labile methyl group balance to maintain normal liver function is well emphasized by many workers (15-19). Additionally, induction of experimental NASH

by feeding a Met-choline deficient diet has been well reported in literature (31-34) It is therefore logical to surmise if an excess of dietary Met would have a preventive effect on the initiation and progression of NASH or High Met countering the pathology of NAFLD. Based on our own findings of Met reducing inflammation, oxidative stress and fibrosis in rats on high Cho diet and abrogation of even the exacerbated response of these parameters due to sitagliptin, it is reasonable to investigate the beneficial effects of Met.

The metabolism of Met is depicted in figure 4. Methionine (Met) uptake and metabolism is involved in several cellular functions including methylation reactions, redox maintenance, polyamine synthesis and coupling to folate metabolism while coordinating nucleotide and redox status. Many intermediates of Met metabolism including cystathionine, cysteine, taurine and hydrogen sulfide by themselves have antioxidative properties or serve as precursors for this process (glutathione from cysteine). Met, by an ATP mediated reaction forms S-adenosyl methionine (SAM). This is the major methyl donor for multiple biological methylations like methylation of DNA, protein, catechol amine to name some, it plays a critical role in 1 carbon metabolism. Other significant biological intermediates of Met metabolism



include succinyl-CoA, homocysteine, creatine, and carnitine. Recent research has demonstrated that methionine can regulate metabolic processes, the innate immune system, and digestive functioning in mammals. It also intervenes in lipid metabolism and activation of endogenous antioxidant enzymes such as methionine sulfoxide reductase A.

Methionine in a ATP mediated reaction is first metabolized to S-adenosylmethionine (SAM); transmethylation pathway (TMPW). After donating its methyl group to methyl group accepting molecules like DNA, RNA, proteins biogenic amines, it is converted to S-Adenosyl Homocysteine(SAH) which is deadenylylated to homocysteine (Hcy). This non-protein amino acid is the end product of the transmethylation cycle of Met metabolism. Since Met is a precursor for homocysteine (Hcy), diets rich in Met can increase circulating levels of Hcy resulting in hyperhomocysteinemia (HHcy). Additionally, mutations in the metabolism of Hcy and the deficiencies of vitamins like folate, B6 and B12 also can result in HHcy.

Typically, Hcy is either remethylated back to Met (folate, B6 and B12 mediated) in the remethylation pathway (RMPW) or can be metabolized in the transsulfuration pathway (TSPW). Several intermediates of the TSPW either by themselves or as precursors (for biological antioxidants) have documented anti-oxidative properties. These include cysteine, cystathionine, taurine and hydrogen sulfide. Apart from the antioxidative and anti-inflammatory properties of the intermediates of the TSPW, SAM also has been documented to prevent alcohol-induced liver injury in rats by reducing liver lipid peroxidation and inflammation (Gong et al. 2008). Although metabolism of Met is typically through transmethylation, remethylation and transsulfuration pathways, it can also be metabolized via the salvage pathway; Met salvage pathway, especially for the formation of polyamines spermine and spermidine.

We have previously reported that methionine (Met) significantly alleviated the hepatic inflammation and oxidative stress in rats fed a high Cho diet. Additionally, Met was able to counter the increases in hepatic inflammation (during hypercholesterolemia) that were aggravated by the administration of an anti-diabetic drug; sitagliptin. In line with our findings, there are studies demonstrating beneficial effects of Met that include protection from ischemia-reperfusion cardiac injury in the canine model (10), paracetamol hepatotoxicity (11, 12), formaldehyde inhalation toxicity (13), and nephroprotective effects against polymixin induced toxicity (14) to mention some. Additionally, administration of various Met metabolites in experimental animal models of liver disease have been shown to have hepato-protective properties (15). The improvement of endogenous antioxidant reserve by Met has been suggested to maintain and/or improve myocardial structure and function under a variety of conditions (16). It has been suggested that methionine could provide protection against oxidative stress-induced myocardial cell damage and heart failure. Although the current proposal deals with the beneficial effects of Met, there are innumerable number of studies which show the involvement of Hcy in several age-related pathologies like stroke, atherosclerosis, Osteoporosis, Alzheimer's and Parkinson's diseases to mention some.

Hypercholesterolemia is not uncommon in diabetics who use gliptins for the management of their blood glucose. The proposed studies have a strong translational potential since there exists a possibility of gaining more understanding about the drug and dietary interactions in the development and progression of NAFLD.

## **Research Plans and Timeline**

Our studies with Cho and Met comprised both short and long-term experiments that lasted for 35 days and 98 days respectively. The intervention with sitagliptin was initiated from day 10 and lasted till the end of day 35 in short-term and from day 31 through day 98 in long-term experiments. In all experiments, an aqueous suspension of sitagliptin (100 mg/kg/d) was administered by oral gavage. Additionally, since sitagliptin exacerbated the inflammatory responses only in rats fed high Cho, the effect of other DPP-4 inhibitors was investigated if the accentuation of inflammatory responses were specific to sitagliptin or it was a class effect.

The development of HCC has been closely linked to an inflammatory liver condition in which the normal liver tissue is replaced by scar tissue and regenerative nodules induced by various etiologies including viral infection, chronic alcohol consumption or NAFLD (36-38). At the cellular level, the rate of cirrhosis is tightly coupled with several rounds of hepatocyte death, inflammatory responses, and compensatory hepatocyte proliferation. These processes result in the formation of the regenerative nodules surrounded by fibrous bands characteristic of cirrhosis. Studies have shown that the regenerative nodules consist of a mixed population of proliferative progenitor cells, newly generated hepatocytes and apoptosis-resistant (damaged) hepatocytes that, overtime, are likely to develop into dysplastic nodules, leading to the development of HCC (37,39).

Program Director/Principal Investigator (Last, First, Middle): Murthy, Subramanyam

Cirrhosis is an advanced stage of hepatic inflammation which can lead to liver cancer. Studies have shown that up to 90% of all cases of hepatocellular carcinoma (HCC) develop in patients with cirrhosis, suggesting a role for cirrhosis in the process of hepatocarcinogenesis (40-42). In rat cirrhotic livers a metabolic shift from oxidative phosphorylation to glycolysis has been demonstrated while normal rat hepatocytes continue to use oxidative phosphorylation to produce ATP. The expression of these genes and proteins may represent potential markers of cirrhosis and therefore are proposed to see the effect of Met in alleviating their expression and if it is reflected in the expression of concomitant proteins. Since we were able to explicitly demonstrate NASH in high Cho fed and also exacerbations in sitagliptin administered rats, we have an opportunity to investigate the disease progression during intake of high Cho which is most relevant in the context of consumption of Cho rich foods. Cirrhosis is recognized as a precancerous state and is important for the investigations of molecular markers. Therefore, genes involved in the progression from NASH to cirrhosis will be analyzed.

For the proposed studies, liver tissue of SD rats that were fed i) Control, ii) high Chol, iii) high Met or iv) high Met+high Chol diets will be used. Liver tissues from both short and long-term experiments for the isolation of protein and genes for *hexokinase 2*, *aldolase A*, to understand the progression of NASH to cirrhosis in rats fed high Cho and prevention or regression of this due to the presence of Met. Importantly, due to the known antioxidative properties of Met *per se* and its intermediates, we will analyze the genes and proteins for Glutathione peroxidase, protein arginine methyl transferase (asymmetric dimethyl arginine related), methionine adenosyl transferase, cystathionine  $\beta$  synthase, cystathionine  $\gamma$  lyase due to their role in the production of hydrogen sulfide. This molecule is a well-documented anti-inflammatory and antioxidant gasotransmitter. Additionally, we will analyze glutamate-cysteine ligase and glutathione synthase which are key enzymes in the synthesis of glutathione, the natural antioxidant. In view of the known reduction of antioxidant stress of Met, mediated by hemoxygenase I (43), we will analyze for the status of hemoxygenase I in our samples (43). Apart from the data on anti-inflammatory effects of Met we have obtained in our studies, we will look for additional mechanisms that could be contributing to understanding the beneficial effects of Met based on literature reports (44,45). More importantly, we will conduct *in vitro* studies with CRL 1439 cells wherein the cells will be challenged with LPS and Cho for 24 hours with and without Met. This will help us in deciphering the status of inflammatory genes and the suppression of such responses by Met.

We anticipate obtaining useful and important information about progression of NAFLD in rats fed high Cho diets apart from the role played by DPP-4 inhibitors in this process. These facets contribute to advance our understanding about both diet and the drug.

Program Director/Principal Investigator (Last, First, Middle): Murthy, Subramanyam

**Timeline for completing the analysis of genes and proteins as proposed currently**

June 1, 2023 to January 31, 2024 – Analysis of liver samples from short and long-term experiments.

February 1, 2024 to April 30, 2024 – Compilation of data for meeting presentations and manuscripts.

**Facilities and Other resources**

The PI's laboratory at SUBR is housed in rooms 209 and 128, Health Research Center (HRC) occupying 2000 sq. ft. of laboratory space located on the first and second floor of HRC building which includes dedicated areas for microscopy, immunohistochemistry, PCR and analytical biochemistry. The PI's laboratory at Southern University is equipped with a thermocycler, tabletop refrigerated centrifuge, and ultracentrifuge. Furthermore, other instruments include spectrophotometer, and an inverted microscope.

Computers: The PI is provided with two IBM-compatible desktop PCs and two IBM-compatible laptops with a Pentium 4 processor for online access, word processing and data analysis. One desktop PC and one laptop PC are located in his office in Lee Hall room 210, and the rest of PCs are in different laboratories mentioned above. All PCs are loaded with licensed software of Microsoft Windows Vista and X-pro, Microsoft Office 2007 and 2010, Adobe 9.0, GraphPad Prism, EndNote and ISIS Draw 2.4.

The PI's office: space at SUBR is about 150 sq. ft located adjacent to the laboratory in room number 210. There is one desktop and one laptop PC computer in the office. Secretarial and administrative support is also available

Other: The faculty members in the HRC and Chemistry and Biology Departments have a constant exchange of scientific information with scientists at LSU, Pennington Biomedical Research Center (PBRC) in the corresponding departments (ca. 10 miles away from SUBR). This is done through sponsoring collaborative projects and seminars of mutual interest.

Facilities at Health Research Center (HRC): The research services with access are core facilities of HRC consisting of a large cold room, dark room, autoclave room, ice-making machine, cell culture laboratories (two), and several analytical instruments. Also, Beckman 5510 P/ACE capillary electrophoresis systems, Bio-Rad 583 gel dryer system, and Beckman LE80 and LS-65 ultracentrifuges. Other instruments include Cellometer Vision for automated fluorescent-based cell counting, one fluorescence microscope, an Olympus Fluoview FV10i confocal microscope, five -20 °C and one -80 °C freezers, and an AlphaScan microarray scanner can be used. In addition, the Toxicology unit at the Health Research Center has a common equipment room with spectrophotometers, ultracentrifuges, a peptide synthesizer, a Real Time PCR machine, one Fluorimager, and a Cell Lab Quanta SC MPL Flow Cytometer (Beckman Coulter).

CORE facilities at the Pennington Biomedical Research Center (PBRC) - For over three years, the PI has been using the core facilities at the PBRC in Baton Rouge, LA. The facilities include a) Cell Biology, Cell Imaging and Cell Culture, and b) Comparative Biology & Animal Metabolism & Behavior. Several animal experiments have been carried out in these core facilities in addition to processing aorta, liver, heart and other tissues from experiments for structural and functional changes and scanning and storing the images in their database.

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Program Director/Principal Investigator (Last, First, Middle): Murthy, Subramanyam

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OMB No. 0925-0001 and 0925-0002 (Rev. 10/2021 Approved Through 09/30/2024)

**BIOGRAPHICAL SKETCH**

Provide the following information for the Senior/key personnel and other significant contributors.  
Follow this format for each person. **DO NOT EXCEED FIVE PAGES.**

NAME: Subramanyam N Murthy

eRA COMMONS USER NAME: (credential, e.g., agency login): subramanyam\_murthy

POSITION TITLE: Professor

EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)

INSTITUTION AND LOCATION	DEGREE (if applicable)	Completion Date MM/YYYY	FIELD OF STUDY
Osmania University	BSc	09/1970	Chemistry and Biology
University of Mysore	MSc	09/1987	Food Science
Osmania University	PhD	05/1986	Biochemistry
Oregon State University	Postdoctoral Fellow	12/97-06/98	Lysine Metabolism
University of Louisiana at Monroe	Postdoctoral fellow	07/98-09/01	Toxicology
Tulane University	Postdoctoral fellow	10/01-06/05	Nutrition, Insulin
Tulane University	Asst. Professor (Res)	06/05-12/10	Resistance, Carotid Injury
Tulane University	Assoc. Professor (Res)	01/11-06/12	Pulmonary Hypertension
Southern University and A&M College	Adjunct Professor	07/12-12/13	Toxicology
Southern University and A&M College	Associate Professor	01/14-5/18	Nutrition Research
Southern University and A&M College	Professor	06/18-Present	Amino Acids Research

**A. Personal Statement**

I have been always passionate about intermediary metabolism of amino acids. I obtained my PhD in biochemistry from the National Institute of Nutrition/Osmania University, Hyderabad, India. I have worked on lysine metabolism to pipercolic acid in mouse brain for my doctoral dissertation. I continued this work at the Oregon State University after relocating from India in 1997. I was mainly working on the isolation and purification of pipercolic oxidase from monkey brains and *Rhodotorula glutinis* at Oregon State University and spent 1.5 years. In fall 1999, I took up an assignment in the Toxicology Department, College of Pharmacy at the University of Louisiana at Monroe, Louisiana where I worked on binary mixture toxicity. After working for over two years, I realized I could not stay away from my passion for amino acids and nutrition and therefore took up an assignment at the Tulane University School of Medicine in New Orleans, Louisiana in October 2001 to work on Homocysteine metabolism. I was in Tulane for over 11 years rising to the ranks of Associate Professor. I worked on a surrogate marker for CVD, Intima/Media ratio using Zucker fatty (insulin resistance) and SD rats focusing on pulmonary hypertension, erectile dysfunction, and nutritional aspects. Several pharmaceuticals in clinical practice were evaluated for their pleotropic effects in addition to using stem cell therapeutic approaches. During my stay at Tulane for almost 12 years, I was involved in several academic and teaching activities that included training fellows in endocrinology, being on the PhD and MS thesis committees and co-mentoring/supervising MD PhD students. On the service front, I have served for over 4 years on the IACUC of the Tulane University School of Medicine and was involved in interviewing applicants for MD, PhD program and Fellows for the Endocrinology Program at the school. In 2014 I took up a tenure track job in the Toxicology Department at the Southern University and A&M College in January 2014. I was the major advisor for 3 PhD students who graduated between 2019 and 2020, and have one PhD student working presently with me. Currently I work on the combined effects of feeding diets enriched with methionine (precursor of Homocysteine) and cholesterol in the context of inflammation/atherosclerosis. I am a Tenured Professor with teaching assignments in toxicology and related disciplines. I have published over 65 peer reviewed manuscripts including 7 book chapters; involved in close to 100 presentations (podium and poster) in national and international meetings.

## B. Positions, Scientific Appointments, and Honors

### Positions-Employment

07/73 to 12/97: National Institute of Nutrition, Hyderabad, India.  
09/89 to 12/97: Technical Officer, National Institute of Nutrition (NIN), Hyderabad, India.  
01/98 to 06/99: Post-Doctoral Res Associate, College of Pharmacy, Oregon State Univ., Corvallis, OR  
07/99 to 09/01: Res Associate, College of Pharmacy, Univ. of Louisiana at Monroe, Monroe, LA  
10/01 to 05/05: Post-Doctoral Researcher, Tulane University School of Medicine, New Orleans, LA  
06/05 to 12/10: Assistant Professor (Res), Dept of Medicine, Tulane Univ. School of Medicine.  
06/05 to 12/10: Adjunct Assistant Professor, Dept of Pharmacology, Tulane Univ. School of Medicine.  
01/11 to 06/12: Associate Professor (Res), Dept of Medicine, Tulane Univ. School of Medicine.  
01/11 to 06/12: Adjunct Associate Professor, Dept of Pharmacology, Tulane Univ. School of Medicine.  
07/12–Present: Associate Professor, Southern University and A&M College, Baton Rouge, LA

### Honors/Recognitions

1. *Best Teacher Award in High school*
2. *Ph.D. and MS thesis committee member*
3. *Member of IACUC for 4 over years while at Tulane University School of Medicine, New Orleans, LA*
4. *2006, Octo: Co-Chairperson (session); Global Conference on Heart Health & Disease, Winnipeg, Ca.*
5. *01 VISA Beneficiary*

### Professional Memberships

1. Nutrition Society of India, 2. Neuroscience Society of India-Life Member, 3. Society of Toxicology

### Professional Activities

#### TEACHING

1979 - 1989: National Institute of Nutrition, Hyderabad, India- trained graduate students in enzyme/protein purification, amino acid analysis, microbiological assays, bactericidal activity of leukocytes and related work.  
09/89-1996: National Institute of Nutrition, Hyderabad, India 'Annual Training Program of Endocrinological Techniques and their Applications' (1st August to 15th September)-Engaged in training Teachers from medical colleges and research institutions about radio iodination of insulin with <sup>125</sup>I, titre determinations and RIA of hormones and related aspects.  
01/98-06/99: As a postdoctoral faculty member in Oregon State University, regularly participated in seminar clubs and group meetings and made presentations. Also, provided research and writing support to graduate students.  
07/99-09/01: Participated in teaching the graduate students and incoming postdoctoral fellows about the animal experimentations, chromatographic methods like HPLC, GLC, ion-exchange, and toxicological analysis and use of several pieces of equipment.  
10/01-05/05: Taught one class on Research Methods for MS Pharmacology. Annually 3-4 undergraduate and graduate students rotated in the lab to learn about ultracentrifugation and isolation of sub-cellular particles.  
06/05-06/12: Moderator in Problem based learning programs. 3-4 undergraduate and graduate students rotated in the lab to learn about micro surgical methods viz., isolation and catheterization of arteries (carotid, femoral, pulmonary/right heart catheterization) and veins and several in vitro techniques. Also, taught about balloon catheter mediated carotid artery endothelia denudation and evaluation of drugs in recovery process.  
06/05-06/12: Teaching fellows in endocrinology about labeling of hormones, titre determination, RIA, EIA, and related methodologies; jointly coordinate Advances in Pharmacology course.  
December 09: Foreign faculty in the 'Training Workshop on Non-invasive Techniques in Small Laboratory Animal Physiology' at the National Institute of Nutrition, Hyderabad, India (Dec 15 to 19).  
January 2014: ENTX 721 Principles of Toxicology, ENTX 724 Advanced Biochemistry II, ENTX 736 Special Topics, and ENTX 799 Research Practicum.  
*Recognized in more than 50 PhD theses and several MS theses for help rendered in planning of scientific experiments, problem solving, discussions and thesis preparations.*

#### Ad Hoc Reviewer for Journals

1. Diabetes; 2. British Journal of Nutrition; 3. Journal of Diabetes and Its Complications; 4. Molecular and Cellular Biochemistry; 5. Canadian Journal of Physiology and Pharmacology; and 6. Frontiers in Bioscience.

### Ph.D. students graduated

1. Avinash Kumar (Spring 2019): *Methionine Attenuates Hepatic Oxidative Stress and Fibrosis in Hypercholesterolemia with and without Sitagliptin.*
2. Rashmi Pathak (Spring 2019): *Effects of DPP-4 Inhibitors on Hepatic Inflammation in Rats Fed Atherogenic Diets.*
3. Henry A Palfrey (Spring 2020): *Effects of Sitagliptin on Cardiovascular Structural and Biochemical Changes in Rats Fed Atherogenic Diets.*

### Current PhD Student

1. Mr. Poorna Sai Vaddi

### Thesis Supervisor MS Pharmacology

1. Neal W Bost (2009): *The effect of salsalate on balloon catheter injury in the carotid artery of the Zucker fatty rat.*

### Ph.D. Thesis Committee Member (Tulane University School of Medicine)

1. Rose-Claire St Hilaire (2007) "Inhibition of vascular smooth muscle cell proliferation in vitro by adenoviral transfer of vasoactive intestinal peptide (VIP) gene."
2. Joel A Greco (2007) "Analysis of cardiovascular responses to active products of ACE and ACE2."
3. David B Casey (2011) "Response of sodium nitrite in the vascular bed of the rat mediated by xanthine oxidoreductase and aldehyde dehydrogenase-2."
4. Adeleke M Badejo Jr. (2011) "The role of Rho kinase in the regulation of tone in the pulmonary vascular bed in the intact chest rat."
5. Edward A Pankey (2013) "Role of soluble guanylyl cyclase in the regulation of pulmonary vascular tone in the intact chest rat."

### Ph.D. Thesis Committee Member (Southern University and A&M College; 1 out of 5 represented)

1. Lulit Affin (2014) "Nanosilver Impregnated Activated Carbon/Polyurethane Foam Composite for Water Filtration"

### MS Pharmacology Thesis Committee Member (partial list)

1. Lasker George; 2. Rao Ashwin; 3. Nguyen Diem; 4. Nwosu Desire; 5. Tran Kelvin; 6. Haider Umair; 7. Jackson Andrew; 8. Leonard Sean; 9. McCutcheon John; 10. Das S; and 11. Chris Hodnette

### Graduate Students and Medical Doctors who rotated in the Lab

1. Promil Kukreja; 2. Demian Obregon; 3. Anil S Matta; 4. Angelle Gifford; 5. Siddaraju Boregowda
6. Edward Pankey; 7. George Lasker; 8. Ajaz Banka; and 9. Surabhi Chandra

### C. Contributions to Science

07/73 to 12/97: National Institute of Nutrition, Hyderabad, India. From 1989, Technical Officer. Trained graduate students in enzyme/protein purification, amino acid analysis, microbiological assays, and bactericidal activity of leukocytes. Involved in 'Annual Training Program of Endocrinological Techniques and their Applications' (1<sup>st</sup> August to 15<sup>th</sup> September)-Engaged in training Teachers from medical colleges and research institutions about radio iodination of insulin with <sup>125</sup>I, titre determinations and RIA of hormones and related aspects.

#### Teaching

I have been teaching in Environmental Toxicology; ENTX 700 Bioethics, ENTX 721 and ENTX 722 Principles of Toxicology 1 & 2, ENTX 724 Advanced Biochemistry II, ENTX 736 Special Topics, ENTX 737 Biochemical Methods, ENTX 752 Advance Human Nutrition, ENTX 799 Research Practicum and ENTX 800 Dissertation Research. While at Tulane University School of Medicine, jointly coordinated Advances in Pharmacology course and participated in Problem Based Learning for Medical Students.

#### Representative Publications (from over 60)

1. Pathak R, Kumar A, Palfrey HA, Stone KP, Raju NR, Gettys TW and Murthy SN. (2022). Prolonged effects of DPP-4 inhibitors on steato-hepatic changes in Sprague Dawley rats fed a high cholesterol diet. *Inflamm Res.* 71(5-6):711-722.
2. Kumar A, Pathak R, Palfrey HA, Stone KP, Gettys TW and Murthy SN. High levels of dietary methionine improves sitagliptin-induced hepatotoxicity by attenuating oxidative stress in hypercholesterolemic rats. *Nutrition & Metabolism.* 2020. 17:2.



3. Pathak R, Kumar A, Palfrey HA, Forney LA, Stone KP, Raju NR, Gettys TW, **Murthy SN**. The incretin enhancer, sitagliptin, exacerbates expression of hepatic inflammatory markers in rats fed a high- cholesterol diet. *Inflamm Res*. 2019 Jul;68 (7):581-595.
3. Kumar A, Palfrey HA, Pathak R, Kadowitz PJ, Gettys TW and **Murthy SN**. The Metabolism and Significance of Homocysteine in Nutrition and Health. *Nutrition & Metabolism*. 2017. 14:78.
4. **Murthy SN**, Pankey EA, Banka AA, Badejo AM Jr, Wekerle R, Vilija V, Izadpanah R, Kadowitz PJ, Fonseca VA. Effects of insulin detemir on balloon catheter injured carotid artery in Zucker fatty rats. *The Journal of Diabetes and Its Complications*. 2012; 26(6):470-5.
5. **Murthy SN**, Desouza CV, Bost NW, St Hilaire RC, Casey DB, Badejo AM, Dhaliwal JS, McGee J, McNamara DB, Kadowitz PJ, Fonseca VA. Effects of salsalate therapy on recovery from vascular injury in female Zucker fatty rats. *Diabetes*. 2010; 59(12):3240-6.

#### **BOOK CHAPTERS** (representative from 7)

1. **Murthy SN**, Kadowitz PJ and McNamara DB (2011). Cellular and Molecular Mechanisms Associated with Salicylate Inhibition of Intimal Hyperplasia Following Balloon Catheter-Induced Vascular Injury. *Molecular Defects in Cardiovascular Disease*; Dhalla NS, Nagano M and Ostadal B (Eds) Part 3, 305-314 Springer Link Publishers.
2. **Murthy SN**, Fonseca VA, and McNamara DB (2005). Intimal Hyperplasia after Balloon Catheter Induced Carotid Artery injury in Zucker Rats: Effects of Peroxisome proliferator activator receptor ligands  $\alpha$  and  $\gamma$ . *Pharmacotherapy of Heart Failure*: S.K. Gupta, Pawan K. Singal and S.S. Agrawal (Eds). Anamaya Publishers, New Delhi, India.
3. **Murthy SN**, Fonseca VA, and McNamara DB (2005). Peroxisome proliferator activator receptor  $\alpha$  and  $\gamma$  ligands differentially affect intimal hyperplasia after balloon catheter induced vascular injury in Zucker rats. *Diabetes Mellitus Epidemic Combat the Challenge*. B. Mukherjee & PK Debnath (Chief. Eds). Tata McGraw-Hill Publishing Co. New Delhi, India.

#### **Editorial Assignments**

1. Book on 'Free Radicals and Antioxidant Protocols Series: Methods in Molecular Biology.'  
Uppu RM; **Murthy SN**; Pryor WA; Parinandi NL. (Eds); Humana Press, 2010.

#### **Research Grants Completed as A Co-Investigator**

1. NIH ROI HL62000; Cardiopulmonary Surgery Research-PI: Dr. P.J. Kadowitz. The major goal was to improve our current understanding of the regulation of the pulmonary circulation by COX-1 & 2.
2. NIH ROI HL77421; Stem cell therapy for pulmonary hypertension-PI: Dr. P.J. Kadowitz. The major goal of this project was to improve our current understanding of the use of mesenchymal stem cells for the therapy of pulmonary hypertension.
3. Louisiana Board of Regents; Development of peptide therapeutics for pulmonary hypertension- PI: Dr. P.J. Kadowitz
4. The effect of Exenatide on intimal hyperplasia following balloon catheter injury in insulin resistance and early diabetes [Zucker fatty rats]-PI: Dr. V.A. Fonseca.

#### **Research Grants**

1. Louisiana Biomedical Research Network - Research Grant - 05/01/2015-04/30/2019  
Role: Principal Investigator  
Title: DPP4 inhibitors in combating the effects of homocysteine and cholesterol
2. Louisiana Biomedical Research Network – Carryover Funds for Purchase of Instruments  
Role: Principal Investigator along with Dr. Sanjay Batra
3. Southern University System Foundation Grant - 01/30/2015-01/29/2016  
Role: Principal Investigator  
Title: Evaluation of antihypertensive, hypolipidemic, and antidiabetic drugs for bactericidal effects using *S. aureus*.
4. Louisiana Biomedical Research Network - Summer Research Grant – 2022  
Title: Beneficial effects of Methionine in hepatic inflammation due to hypercholesterolemia  
Role: Principal Investigator

#### **RESEARCH GRANTS (CURRENT):**

1. NSF-Excellence in Research: Stress-induced expression and release of DAMPs: Regulatory role of Epigenetic Factors and Post-translational modifications.  
Role: Co-Principal Investigator.

**Attachment 6**  
Subaward Agreement  
Notice of Award (NOA) and Any Additional Documents

The following pages include the NOA and if applicable any amendments and additional documentation referenced throughout this Subaward Agreement.



Recipient Information	Federal Award Information																								
<p><b>1. Recipient Name</b> LOUISIANA STATE UNIVERSITY 202 HIMES HALL BATON ROUGE, LA 70803</p> <p><b>2. Congressional District of Recipient</b> 06</p> <p><b>3. Payment System Identifier (ID)</b> 1726000848A1</p> <p><b>4. Employer Identification Number (EIN)</b> 726000848</p> <p><b>5. Data Universal Numbering System (DUNS)</b> 075050765</p> <p><b>6. Recipient's Unique Entity Identifier</b> ECQEYCHRNKJ4</p> <p><b>7. Project Director or Principal Investigator</b> Konstantin G Kousoulas, PHD Professor And Director VTGUSK@LSU.EDU (225) 578-9682</p> <p><b>8. Authorized Official</b> Darya Courville osp@lsu.edu</p>	<p><b>11. Award Number</b> 5P20GM103424-22</p> <p><b>12. Unique Federal Award Identification Number (FAIN)</b> P20GM103424</p> <p><b>13. Statutory Authority</b> 42 USC 241 42 CFR 52</p> <p><b>14. Federal Award Project Title</b> Louisiana Biomedical Research Network (LBRN)</p> <p><b>15. Assistance Listing Number</b> 93.859</p> <p><b>16. Assistance Listing Program Title</b> Biomedical Research and Research Training</p> <p><b>17. Award Action Type</b> Non-Competing Continuation (REVISED)</p> <p><b>18. Is the Award R&amp;D?</b> Yes</p>																								
<p><b>Federal Agency Information</b></p> <p><b>9. Awarding Agency Contact Information</b> Samantha Farrell</p> <p>NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES farrellsa@mail.nih.gov (301) 451-4275</p> <p><b>10. Program Official Contact Information</b> LAKSHMI KUMAR Matukumalli</p> <p>NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES lakshmi.matukumalli@nih.gov 301 827 2921</p>	<table border="1" style="width: 100%; border-collapse: collapse; margin-bottom: 10px;"> <thead> <tr style="background-color: #e0e0e0;"> <th colspan="2" style="text-align: center; padding: 5px;">Summary Federal Award Financial Information</th> </tr> </thead> <tbody> <tr style="background-color: #e0e0e0;"> <td colspan="2" style="padding: 5px;"><b>19. Budget Period Start Date 05/01/2023 – End Date 04/30/2024</b></td> </tr> <tr> <td style="padding: 5px;"><b>20. Total Amount of Federal Funds Obligated by this Action</b></td> <td style="text-align: right; padding: 5px;">\$0</td> </tr> <tr> <td style="padding: 5px;">    20 a. Direct Cost Amount</td> <td style="text-align: right; padding: 5px;">\$1,907,566</td> </tr> <tr> <td style="padding: 5px;">    20 b. Indirect Cost Amount</td> <td style="text-align: right; padding: 5px;">\$152,736</td> </tr> <tr> <td style="padding: 5px;"><b>21. Authorized Carryover</b></td> <td style="text-align: right; padding: 5px;">\$2,060,302</td> </tr> <tr> <td style="padding: 5px;"><b>22. Offset</b></td> <td style="text-align: right; padding: 5px;">\$0</td> </tr> <tr> <td style="padding: 5px;"><b>23. Total Amount of Federal Funds Obligated this budget period</b></td> <td style="text-align: right; padding: 5px;">\$3,584,588</td> </tr> <tr> <td style="padding: 5px;"><b>24. Total Approved Cost Sharing or Matching, where applicable</b></td> <td style="text-align: right; padding: 5px;">\$0</td> </tr> <tr> <td style="padding: 5px;"><b>25. Total Federal and Non-Federal Approved this Budget Period</b></td> <td style="text-align: right; padding: 5px;">\$3,584,588</td> </tr> <tr style="border-top: 1px dashed black;"> <td colspan="2" style="padding: 5px;"><b>26. Project Period Start Date 09/25/2001 – End Date 04/30/2025</b></td> </tr> <tr> <td style="padding: 5px;"><b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b></td> <td style="text-align: right; padding: 5px;">\$13,738,040</td> </tr> </tbody> </table> <p><b>28. Authorized Treatment of Program Income</b> Additional Costs</p> <p><b>29. Grants Management Officer - Signature</b> Andrea Culhane</p>	Summary Federal Award Financial Information		<b>19. Budget Period Start Date 05/01/2023 – End Date 04/30/2024</b>		<b>20. Total Amount of Federal Funds Obligated by this Action</b>	\$0	20 a. Direct Cost Amount	\$1,907,566	20 b. Indirect Cost Amount	\$152,736	<b>21. Authorized Carryover</b>	\$2,060,302	<b>22. Offset</b>	\$0	<b>23. Total Amount of Federal Funds Obligated this budget period</b>	\$3,584,588	<b>24. Total Approved Cost Sharing or Matching, where applicable</b>	\$0	<b>25. Total Federal and Non-Federal Approved this Budget Period</b>	\$3,584,588	<b>26. Project Period Start Date 09/25/2001 – End Date 04/30/2025</b>		<b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b>	\$13,738,040
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<b>30. Remarks</b>																									
Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.																									



EXPLORATORY GRANT  
Department of Health and Human Services  
National Institutes of Health



NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

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**SECTION I – AWARD DATA – SP20GM103424-22 REVISED**

**Principal Investigator(s):**

Konstantin G Kousoulas, PHD

**Award e-mailed to:** osp@lsu.edu

Dear Authorized Official:

The National Institutes of Health hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to LOUISIANA STATE UNIV A&M COL BATON ROUGE in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of General Medical Sciences of the National Institutes of Health under Award Number P20GM103424. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator's Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please direct questions to the Federal Agency contacts.

Sincerely yours,

Andrea Culhane  
Grants Management Officer  
NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

Additional information follows

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**Cumulative Award Calculations for this Budget Period (U.S. Dollars)**

Salaries and Wages	\$500,344
Fringe Benefits	\$174,314
Personnel Costs (Subtotal)	\$674,658
Consultant Services	\$67,508
Equipment	\$57,368
Materials & Supplies	\$148,922
Travel	\$75,460
Other	\$111,910
Subawards/Consortium/Contractual Costs	\$3,891,535
Publication Costs	\$4,000
Equipment or Facility Rental/User Fees	\$6,820
Tuition Remission	\$20,504
Federal Direct Costs	\$5,058,685
Federal F&A Costs	\$586,205
Approved Budget	\$5,644,890
Total Amount of Federal Funds Authorized (Federal Share)	\$3,584,588
Cumulative Authorized Carryover and Offset for this Budget Period	\$2,060,302
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$3,584,588</b>
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$0</b>

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
22	\$3,584,588	\$3,584,588
23	\$3,579,788	\$3,579,788

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

**Fiscal Information:**

Payment System Identifier: 1726000848A1  
 Document Number: PGM103424E  
 PMS Account Type: P (Subaccount)  
 Fiscal Year: 2023

IC	CAN	2023	2024
GM	8012795	\$3,584,588	\$3,579,788

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

**NIH Administrative Data:**

PCC: I150LM / OC: 4102S / Released: Culhane, Andrea 09/11/2023  
 Award Processed: 09/12/2023 12:03:11 AM

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5P20GM103424-22 REVISED**

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

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**SECTION III – STANDARD TERMS AND CONDITIONS – 5P20GM103424-22 REVISED**

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

**Research and Development (R&D):** All awards issued by the National Institutes of Health (NIH) meet the definition of “Research and Development” at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other than the rate(s) specified in the award document(s).

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

This award is subject to the requirements of 2 CFR Part 25 for institutions to obtain a unique entity identifier (UEI) and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a UEI requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) P20GM103424. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

This award is not subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

Recipients must administer the project in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, disability, age, and comply with applicable conscience protections. The recipient will comply with applicable laws that prohibit discrimination on the basis of sex, which includes discrimination on the basis of gender identity, sexual orientation, and pregnancy. Compliance with these laws requires taking reasonable steps to provide meaningful access to persons with limited English proficiency and providing programs that are accessible to and usable by persons with disabilities. The HHS Office for Civil Rights provides guidance on complying with civil rights

laws enforced by HHS. See <https://www.hhs.gov/civil-rights/for-providers/provider-obligations/index.html> and <https://www.hhs.gov/>.

- Recipients of FFA must ensure that their programs are accessible to persons with limited English proficiency. For guidance on meeting the legal obligation to take reasonable steps to ensure meaningful access to programs or activities by limited English proficient individuals, see <https://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/fact-sheet-guidance/index.html> and <https://www.lep.gov>.
- For information on an institution's specific legal obligations for serving qualified individuals with disabilities, including providing program access, reasonable modifications, and to provide effective communication, see <http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html>.
- HHS funded health and education programs must be administered in an environment free of sexual harassment; see <https://www.hhs.gov/civil-rights/for-individuals/sex-discrimination/index.html>. For information about NIH's commitment to supporting a safe and respectful work environment, who to contact with questions or concerns, and what NIH's expectations are for institutions and the individuals supported on NIH-funded awards, please see <https://grants.nih.gov/grants/policy/harassment.htm>.
- For guidance on administering programs in compliance with applicable federal religious nondiscrimination laws and applicable federal conscience protection and associated anti-discrimination laws, see <https://www.hhs.gov/conscience/conscience-protections/index.html> and <https://www.hhs.gov/conscience/religious-freedom/index.html>.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

**Treatment of Program Income:**

Additional Costs

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**SECTION IV – GM SPECIFIC AWARD CONDITIONS – 5P20GM103424-22 REVISED**

Clinical Trial Indicator: No

This award does not support any NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

1. This revision reflects an approved carry over of \$2,060,302 from the -20 year as per the grantee's request submitted on 07/11/2023.

**TERMS AND CONDITIONS FROM PREVIOUS AWARD**

1. This award is subject to the conditions set forth in PAR 18-262, " IDeA Networks of Biomedical Research Excellence (INBRE) (P20 Clinical Trial Optional)," which are hereby incorporated by reference as special terms and conditions of this award. Copies of this Funding Opportunity Announcement can be found at the following link: <https://grants.nih.gov/grants/guide/pa-files/PAR-18-262.html>

2. This award includes funds for one or more pilot projects or projects with a delayed onset. The following actions are examples of indicators of a change of scope which

would require National Institute of General Medical Sciences (NIGMS) prior approval if included as part of a project:

- Use of Human Subjects
- Use of Animal Subjects
- Use of Human Embryonic Stem Cells
- Foreign involvement such as collaborating with foreign institutions, extended foreign travel, or exchanging research resources across international borders, regardless of the amount of federal funds involved
- Change in status of Key Personnel
- Addition or Change of Consortium Sites
- Use of Genome-Wide Association Studies
- Development of a Research Resource not currently covered under an approved sharing plan

Additional indicators of a change of scope may be found in the NIH Grants Policy Statement, under Prior-Approval Requirements ([http://grants.nih.gov/grants/policy/nihgps/HTML5/section 8/8.1 changes in project and budget.htm#Change4](http://grants.nih.gov/grants/policy/nihgps/HTML5/section%208/8.1%20changes%20in%20project%20and%20budget.htm#Change4))

All requests for NIGMS prior approval must be made in writing (which includes submission by e-mail) to the GMO no later than 30 days before the proposed change. The request must be signed by both the PI and an authorized institutional Signing Official. Failure to obtain required prior approval, from the NIGMS may result in the disallowance of costs, termination of the award, or other enforcement action within NIGMS' authority. It is expected that the grantee will consult, in advance, with the Grants Management Specialist listed on this award, if there is any uncertainty about the need for prior approval.

3. Prior to the commencement of any developmental research project and pilot project that involves human subjects (HS) and/or vertebrate animal (VA) research, the following documentation must be submitted to NIGMS staff:

- Developmental Research Project/Pilot Project proposal. Using PHS398 forms and instructions, only the following sections have to be submitted:
  - Face Page
  - Project Summary (Page 2)
  - Research Strategy Section
- External Advisory Committee approval - communication from the EAC chair (at a minimum) indicating that the EAC concurs with supporting the developmental research project/pilot project.
- Human Subjects and Clinical Trials Information Form (using the current FORMS version at time of submission), IRB approval, documentation of the human subjects education for those involved in the design and conduct of human subjects research and creation of new enrollment report in HSS (if applicable)
- IACUC approval and Vertebrate Animal Section (if applicable)

Prior approval is no longer required for projects that **do not** involve HS or VA research, however official notification must be submitted to NIGMS staff with appropriate documentation at least 14 calendar days prior to the planned project start date. For additional information and instructions, please see:

<https://www.nigms.nih.gov/Research/DRCB/IDeA/Pages/inbre-pilot-projects.aspx>

4. It is understood that no research project or pilot project awardee will be permitted to work on any project involving live vertebrate animals or human subjects that has not been approved by the IACUC and/or IRB, as appropriate.



If any research project or pilot project awardee undertakes a project that includes human subject research studies, these must conform to the NIH policies on the inclusion of women, minorities, and children in study populations.

5. In addition to the PI, the following individuals are named as key personnel:

Brent Stanfield  
Christopher Taylor

Written prior approval is required if any of the individual(s) named above withdraws from the project entirely, is absent from the project during any continuous period of 3 months or more, or reduces time devoted to the project by 25 percent or more from the level that was approved at the time of award.

6. This award is issued in accordance with the NIH fiscal policies described in NIH Guide Notice NOT-OD-23-071.

7. The requested budget was considered and determined not to represent significant rebudgeting. Therefore, categorical amounts reflect the direct and facilities and administrative cost (F&A) levels previously recommended for the current year. Funds may be rebudgeted between direct costs and F&A costs, consistent with applicable cost principles and institutional and policy requirements for prior approval.

8. None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the current salary cap.

Current salary cap levels can be found at the following URL:

[http://grants.nih.gov/grants/policy/salcap\\_summary.htm](http://grants.nih.gov/grants/policy/salcap_summary.htm)

9. This award includes funds awarded for consortium activity. Recommended levels in future years also include costs for this purpose. Consortia are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). The referenced section of the NIH GPS is available at:  
[http://grants.nih.gov/grants/policy/nihgps/HTML5/section\\_15/15.1\\_general.htm](http://grants.nih.gov/grants/policy/nihgps/HTML5/section_15/15.1_general.htm)

10. As appropriate, the awardee is required to follow the sharing plan(s) for unique research resources (i.e. Data, Model Organism, Genomic Data, or other) associated with this project and may not implement any changes to the plan(s) without the written prior approval of the National Institute of General Medical Sciences.

11. NIH policy requires the submission of an annual Federal Financial Report (FFR) 90 days after the end of the calendar quarter in which the budget period ends. The FFR must be submitted through the Payment Management System (PMS) per NOT-OD-21-046.

12. In addition to submitting annual progress reports, awardees should provide Supplemental Programmatic Data in the NIGMS Scientific Information Reporting System (SIRS). The SIRS system can be accessed at: <https://sirs.nigms.nih.gov>. Similar to the RPPR submission, SIRS submissions are due 60 days before the end of the active budget period.

## **SECTION V - NIGMS CONTACTS**

The NIGMS WWW home page is at <http://www.nigms.nih.gov>

**SPREADSHEET SUMMARY****AWARD NUMBER: 5P20GM103424-22 REVISED****INSTITUTION: LOUISIANA STATE UNIV A&M COL BATON ROUGE**

Budget	Year 22	Year 23
Salaries and Wages	\$500,344	\$500,344
Fringe Benefits	\$174,314	\$174,314
Personnel Costs (Subtotal)	\$674,658	\$674,658
Consultant Services	\$67,508	\$20,000
Equipment	\$57,368	\$10,000
Materials & Supplies	\$148,922	\$67,922
Travel	\$75,460	\$75,460
Other	\$111,910	\$44,200
Subawards/Consortium/Contractual Costs	\$3,891,535	\$2,227,555
Publication Costs	\$4,000	\$4,000
Equipment or Facility Rental/User Fees	\$6,820	\$6,820
Tuition Remission	\$20,504	\$20,504
TOTAL FEDERAL DC	\$5,058,685	\$3,151,119
TOTAL FEDERAL F&A	\$586,205	\$428,669
TOTAL COST	\$3,584,588	\$3,579,788

Facilities and Administrative Costs	Year 22	Year 23
F&A Cost Rate 1	48%	48%
F&A Cost Base 1	\$1,221,260	\$893,060
F&A Costs 1	\$586,205	\$428,669

# SUMMARY PROPOSAL BUDGET

YEAR 1

ORGANIZATION <b>SOUTHERN UNIVERSITY AGRICULTURAL &amp; MECHANICAL COLLEGE</b>				FOR NSF USE ONLY		
				PROPOSAL NO.	DURATION (months)	
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR <b>Guoping Zhang</b>				AWARD NO.	Proposed	Granted
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF Funded Personnel months		
				CAL	ACAD	SUMR
1. <b>Hang Yin</b>				1.75		14,440
2.						
3.						
4.						
5.						
6. ( ) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)				0.0		0
7. ( 1 ) TOTAL SENIOR PERSONNEL (1 - 6)				1.75		14,440
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)						
1. ( 0 ) POST DOCTORAL SCHOLARS				0.0		0
2. ( 0 ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0.0		0
3. ( 1 ) GRADUATE STUDENTS						17,680
4. ( 1 ) UNDERGRADUATE STUDENTS						8,112
5. ( 0 ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)						0
6. ( 0 ) OTHER						0
TOTAL SALARIES AND WAGES (A + B)						40,232
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)						3,844
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)						44,076
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)						
22ATS Atomic Absorption Academic Package					\$ 22624.0	
TOTAL EQUIPMENT						22,624
E. TRAVEL						6,450
1. DOMESTIC (INCL. U.S. POSSESSIONS)						
2. INTERNATIONAL						0
F. PARTICIPANT SUPPORT COSTS						
1. STIPENDS \$ _____						0
2. TRAVEL _____						0
3. SUBSISTENCE _____						0
4. OTHER _____						0
TOTAL NUMBER OF PARTICIPANTS ( 0 )						
TOTAL PARTICIPANT COSTS						0
G. OTHER DIRECT COSTS						
1. MATERIALS AND SUPPLIES						6,000
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION						1,250
3. CONSULTANT SERVICES						0
4. COMPUTER SERVICES						0
5. SUBAWARDS						0
6. OTHER						0
TOTAL OTHER DIRECT COSTS						7,250
H. TOTAL DIRECT COSTS (A THROUGH G)						80,400
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE) MTDC (Rate: 40.0, Base:57776.0)						
TOTAL INDIRECT COSTS (F&A)						23,110
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)						103,510
K. FEE						0
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)						103,510
M. COST SHARING PROPOSED LEVEL \$ 0				AGREED LEVEL IF DIFFERENT \$		
PI/PD NAME <b>Guoping Zhang</b>				FOR NSF USE ONLY		
ORG. REP. NAME*				INDIRECT COST RATE VERIFICATION		
				Date Checked	Date Of Rate Sheet	Initials - ORG

\*ELECTRONIC SIGNATURES REQUIRED FOR REVISED BUDGET

# SUMMARY PROPOSAL BUDGET

YEAR 2

ORGANIZATION <b>SOUTHERN UNIVERSITY AGRICULTURAL &amp; MECHANICAL COLLEGE</b>				FOR NSF USE ONLY				
				PROPOSAL NO.		DURATION (months)		
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR <b>Guoping Zhang</b>				AWARD NO.		Proposed	Granted	
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF Funded Person-months			Funds Requested By proposer	Funds granted by NSF (if different)
				CAL	ACAD	SUMR		
1. <b>Hang Yin</b>				1.75			14,440	
2.								
3.								
4.								
5.								
6. ( ) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)				0.0			0	
7. ( <b>1</b> ) TOTAL SENIOR PERSONNEL (1 - 6)				1.75			14,440	
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)								
1. ( <b>0</b> ) POST DOCTORAL SCHOLARS				0.0			0	
2. ( <b>0</b> ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0.0			0	
3. ( <b>1</b> ) GRADUATE STUDENTS							17,680	
4. ( <b>1</b> ) UNDERGRADUATE STUDENTS							8,112	
5. ( <b>0</b> ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)							0	
6. ( <b>0</b> ) OTHER							0	
TOTAL SALARIES AND WAGES (A + B)							40,232	
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)							3,844	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)							44,076	
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)								
22ATS Atomic Absorption Academic Package				\$ 0.0				
TOTAL EQUIPMENT							0	
E. TRAVEL							6,450	
1. DOMESTIC (INCL. U.S. POSSESSIONS)							0	
2. INTERNATIONAL								
F. PARTICIPANT SUPPORT COSTS								
1. STIPENDS \$ _____				0				
2. TRAVEL _____				0				
3. SUBSISTENCE _____				0				
4. OTHER _____				0				
TOTAL NUMBER OF PARTICIPANTS ( <b>0</b> )							0	
TOTAL PARTICIPANT COSTS								
G. OTHER DIRECT COSTS								
1. MATERIALS AND SUPPLIES							6,000	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION							1,250	
3. CONSULTANT SERVICES							0	
4. COMPUTER SERVICES							0	
5. SUBAWARDS							0	
6. OTHER							0	
TOTAL OTHER DIRECT COSTS							7,250	
H. TOTAL DIRECT COSTS (A THROUGH G)							57,776	
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE) MTDC (Rate: 40.0, Base: 57776.0)								
TOTAL INDIRECT COSTS (F&A)							23,110	
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)							80,886	
K. FEE							0	
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)							80,886	
M. COST SHARING PROPOSED LEVEL \$ <b>0</b>				AGREED LEVEL IF DIFFERENT \$				
PI/PD NAME <b>Guoping Zhang</b>				FOR NSF USE ONLY				
ORG. REP. NAME*				INDIRECT COST RATE VERIFICATION				
				Date Checked	Date Of Rate Sheet	Initials - ORG		

\*ELECTRONIC SIGNATURES REQUIRED FOR REVISED BUDGET

# SUMMARY PROPOSAL BUDGET

YEAR 3

ORGANIZATION <b>SOUTHERN UNIVERSITY AGRICULTURAL &amp; MECHANICAL COLLEGE</b>				FOR NSF USE ONLY			
				PROPOSAL NO.	DURATION (months)		
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR <b>Guoping Zhang</b>				AWARD NO.	Proposed	Granted	
A. SENIOR PERSONNEL: P/PI, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF Funded Personnel months		Funds Requested By proposer	Funds granted by NSF (if different)
				CAL	ACAD		
1. <b>Hang Yin</b>				1.75		14,440	
2.							
3.							
4.							
5.							
6. ( ) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)				0.0		0	
7. ( 1 ) TOTAL SENIOR PERSONNEL (1 - 6)				1.75		14,440	
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)							
1. ( 0 ) POST DOCTORAL SCHOLARS				0.0		0	
2. ( 0 ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0.0		0	
3. ( 1 ) GRADUATE STUDENTS						17,680	
4. ( 1 ) UNDERGRADUATE STUDENTS						8,112	
5. ( 0 ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)						0	
6. ( 0 ) OTHER						0	
TOTAL SALARIES AND WAGES (A + B)						40,232	
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)						3,844	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)						44,076	
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)							
22ATS Atomic Absorption Academic Package					\$ 0.0		
TOTAL EQUIPMENT						0	
E. TRAVEL						6,450	
1. DOMESTIC (INCL. U.S. POSSESSIONS)							
2. INTERNATIONAL						0	
F. PARTICIPANT SUPPORT COSTS							
1. STIPENDS \$ _____						0	
2. TRAVEL _____						0	
3. SUBSISTENCE _____						0	
4. OTHER _____						0	
TOTAL NUMBER OF PARTICIPANTS ( 0 )							
TOTAL PARTICIPANT COSTS						0	
G. OTHER DIRECT COSTS							
1. MATERIALS AND SUPPLIES						6,000	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION						1,250	
3. CONSULTANT SERVICES						0	
4. COMPUTER SERVICES						0	
5. SUBAWARDS						0	
6. OTHER						0	
TOTAL OTHER DIRECT COSTS						7,250	
H. TOTAL DIRECT COSTS (A THROUGH G)						57,776	
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE) MTDC (Rate: 40.0, Base:57776.0)							
TOTAL INDIRECT COSTS (F&A)						23,110	
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)						80,886	
K. FEE						0	
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)						80,886	
M. COST SHARING PROPOSED LEVEL \$ 0				AGREED LEVEL IF DIFFERENT \$			
PI/PI NAME <b>Guoping Zhang</b>				FOR NSF USE ONLY			
ORG. REP. NAME*				INDIRECT COST RATE VERIFICATION			
		Date Checked	Date Of Rate Sheet	Initials - ORG			

\*ELECTRONIC SIGNATURES REQUIRED FOR REVISED BUDGET

# SUMMARY PROPOSAL BUDGET

YEAR 4

ORGANIZATION <b>SOUTHERN UNIVERSITY AGRICULTURAL &amp; MECHANICAL COLLEGE</b>				FOR NSF USE ONLY			
				PROPOSAL NO.	DURATION (months)		
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR <b>Guoping Zhang</b>				AWARD NO.	Proposed	Granted	
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF Funded Person-months		Funds Requested By proposer	Funds granted by NSF (if different)
				CAL	ACAD		
1. <b>Hang Yin</b>				1.75		14,440	
2.							
3.							
4.							
5.							
6. ( 0 ) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)				0.0		0	
7. ( 1 ) TOTAL SENIOR PERSONNEL (1 - 6)				1.75		14,440	
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)							
1. ( 0 ) POST DOCTORAL SCHOLARS				0.0		0	
2. ( 0 ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0.0		0	
3. ( 1 ) GRADUATE STUDENTS						17,680	
4. ( 1 ) UNDERGRADUATE STUDENTS						8,112	
5. ( 0 ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)						0	
6. ( 0 ) OTHER						0	
TOTAL SALARIES AND WAGES (A + B)						40,232	
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)						3,844	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)						44,076	
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)							
22ATS Atomic Absorption Academic Package				\$ 0.0			
TOTAL EQUIPMENT						0	
E. TRAVEL						6,450	
1. DOMESTIC (INCL. U.S. POSSESSIONS)						0	
2. INTERNATIONAL							
F. PARTICIPANT SUPPORT COSTS							
1. STIPENDS \$ _____				0			
2. TRAVEL _____				0			
3. SUBSISTENCE _____				0			
4. OTHER _____				0			
TOTAL NUMBER OF PARTICIPANTS ( 0 )						0	
TOTAL PARTICIPANT COSTS							
G. OTHER DIRECT COSTS							
1. MATERIALS AND SUPPLIES						6,000	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION						1,250	
3. CONSULTANT SERVICES						0	
4. COMPUTER SERVICES						0	
5. SUBAWARDS						0	
6. OTHER						0	
TOTAL OTHER DIRECT COSTS						7,250	
H. TOTAL DIRECT COSTS (A THROUGH G)						57,776	
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE) MTDC (Rate: 40.0, Base:57776.0)							
TOTAL INDIRECT COSTS (F&A)						23,110	
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)						80,886	
K. FEE						0	
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)						80,886	
M. COST SHARING PROPOSED LEVEL \$ 0				AGREED LEVEL IF DIFFERENT \$			
PI/PD NAME <b>Guoping Zhang</b>				FOR NSF USE ONLY			
ORG. REP. NAME*				INDIRECT COST RATE VERIFICATION			
		Date Checked	Date Of Rate Sheet	Initials - ORG			

\*ELECTRONIC SIGNATURES REQUIRED FOR REVISED BUDGET

# SUMMARY PROPOSAL BUDGET

Cumulative

ORGANIZATION <b>SOUTHERN UNIVERSITY AGRICULTURAL &amp; MECHANICAL COLLEGE</b>				FOR NSF USE ONLY			
				PROPOSAL NO.	DURATION (months)		
PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR <b>Guoping Zhang</b>				AWARD NO.	Proposed	Granted	
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF Funded Person-months		Funds Requested By proposer	Funds granted by NSF (if different)
				CAL	ACAD		
1. <b>Hang Yin</b>				7.0		57,760	
2.							
3.							
4.							
5.							
6. ( ) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)							
7. ( 1 ) TOTAL SENIOR PERSONNEL (1 - 6)				7.0		57,760	
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)							
1. ( 0 ) POST DOCTORAL SCHOLARS				0.0		0	
2. ( 0 ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0.0		0	
3. ( 4 ) GRADUATE STUDENTS						70,720	
4. ( 4 ) UNDERGRADUATE STUDENTS						32,448	
5. ( 0 ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)						0	
6. ( 0 ) OTHER						0	
TOTAL SALARIES AND WAGES (A + B)						160,928	
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)						15,376	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)						176,304	
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)							
TOTAL EQUIPMENT						22,624	
E. TRAVEL						25,800	
1. DOMESTIC (INCL. U.S. POSSESSIONS)						0	
2. INTERNATIONAL							
F. PARTICIPANT SUPPORT COSTS							
1. STIPENDS \$ _____						0	
2. TRAVEL _____						0	
3. SUBSISTENCE _____						0	
4. OTHER _____						0	
TOTAL NUMBER OF PARTICIPANTS ( 0 ) TOTAL PARTICIPANT COSTS						0	
G. OTHER DIRECT COSTS							
1. MATERIALS AND SUPPLIES						24,000	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION						5,000	
3. CONSULTANT SERVICES						0	
4. COMPUTER SERVICES						0	
5. SUBAWARDS						0	
6. OTHER						0	
TOTAL OTHER DIRECT COSTS						29,000	
H. TOTAL DIRECT COSTS (A THROUGH G)						253,728	
I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE)							
TOTAL INDIRECT COSTS (F&A)						92,440	
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)						346,168	
K. FEE						0	
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)						346,168	
M. COST SHARING PROPOSED LEVEL \$ 0				AGREED LEVEL IF DIFFERENT \$			
PI/PD NAME <b>Guoping Zhang</b>				FOR NSF USE ONLY			
				INDIRECT COST RATE VERIFICATION			
ORG. REP. NAME*				Date Checked	Date Of Rate Sheet	Initials - ORG	

\*ELECTRONIC SIGNATURES REQUIRED FOR REVISED BUDGET

## Budget Justification

### A. Senior Personnel

Hang Yin, Ph.D. will be responsible for the overall success of the project. The PI will be responsible for project management, team building, supervising and conducting research, reporting, and conducting outreach activities. She will be supported at 1.75 summer month, which is \$14,440/year for a total of \$57,760 for four years (Base salary: \$74261 for 9-month employee).

### B. Other Personnel

#### Graduate Research Assistants:

TBN: Funds are requested to support two Graduate Research Assistants (GRAs).

- GRA # 1 will be assigned to the Department of Civil Engineering and of Environmental Engineering. He/She will work 20 hours/week for 38 academic weeks and 14 summer weeks in years 1 and 2 (\$17,680/year @ \$17.0/hr)
- GRA # 2 will be assigned to the Department of Civil Engineering and of Environmental Engineering. He/She will work 20 hours/week for 38 academic weeks and 14 summer weeks in years 3 and 4 (\$17,680/year @ \$17.0/hr)

TBN: Funds are requested to support two undergraduate students per year.

- Southern University and A&M College encourages undergraduate research. The Mission of the university is "to provide a student-focused teaching and learning environment." In addition, the Mission of the Department of Civil and Environmental Engineering is to "provide the students with a high-quality education" and "engage [them] in advanced study." Therefore, one goal of this project is to involve underrepresented African American students in research to enhance undergraduate STEM education in Civil and Environmental Engineering. Thus, a portion of the budget is dedicated to supporting one undergraduate students per year.
- The two undergraduate students (senior class with GPA > 3.0) with tuition waiver will assist the PI in conducting experiments, measuring and analyzing experimental data, preparing manuscripts for scholarly publication, and preparing presentations at academic conferences. The undergraduate students will also perform other necessary tasks to support this project.
- Each undergraduate student will work 13 hours per week and 24 academic weeks per year. (624/year @\$13/hr)

### C. Fringe Benefits

Fringe benefits are calculated at the University approved rate of 26.62% for faculty summer salary (Medicare 1.45%; Other/Contingency 1.00%; Retirement:24.10% and Unemployment 0.07%). The requested Fringe benefits for the PI is 3844/year in a total of 15376 for four years.

### D. Equipment

Funds are requested in the amount of \$22,624.0 for the first year to purchase a testing equipment required to analysis the concentration of metallic atom:

- 225ATS Atomic Absorption Academic Package: \$22,624 (URL: <https://www.bucksci.com/collections/aa-systems/products/225ats-atomic-absorption-academic-package>)



## **E. Travel**

### **1. Domestic**

Funds are requested in the amount of \$6,450 per year for 4 years for one PI or Co-PI to travel to the requested NSF Future Manufacturing kickoff meeting at 2024 and requested annual FM grantees' conferences, and for part of the team to attend a national conference, and for part or all of them team to collaborators' laboratories. Cost estimates breakdown as follows:

- Trip to the Future Manufacturing kickoff meeting in 2024 (required) by one PI or Co-PI: Airfare (\$600), Lodging (\$500), Ground Transportation (\$350), and Meals (\$400). Total = \$1,850.
- Trip to the annual FM grantees' conferences (required) by on PI or Co-PI: Airfare (\$600), Lodging (\$500), Ground Transportation (\$350), and Meals (\$400). Total = \$1,850/year.
- Trip to a national conference in 2024, 2025, 2006 and 2027: Airfare (\$450 x 3 persons = \$1,350), Lodging (\$300 per trip x 3 persons = \$900), Ground Transportation (\$250 x 3 = \$750), and Mcals (\$300 x 3 = \$900). Total = \$3,900/year.
- Local trip to collaborators' laboratories in 2024, 2025, 2026, and 2027: Ground transportation (\$450), and Meals (\$200). Total = \$700/year.

Estimates are based on personal experience and recent web search (e.g., Kayak.com).

### **2. Foreign – N/A**

## **F. Participant Support – N/A**

## **G. Other Direct Costs**

### **1. Materials and Supplies**

Funds are requested in the amount of \$6,000 per year for 4 years for materials, supplies, and laboratory consumables, including (but not limited to) minerals (e.g. olivine, enstatite and anorthite, Na-silicate solution, adhesives, coupling agents, computer storage disks, and shared facilities user fees (e.g., based on a hourly rate). Cost estimates are based on the PI/Co-PIs experience.

### **2. Publication Costs/Documentation/Dissemination**

Funds are requested in the amount of \$1,250 Per year for 4 years for the registration fees for publications/presentations presented to national/international conferences and journals.

## **H. Facilities & Administrative Cost**

SU's federally negotiated rate is 40% of MTDC for organized research.

Years 1 - 4: Base \$57,775.47 @ 40% = \$23,110/year for a total of \$92,440

**COLLEGES AND UNIVERSITIES RATE AGREEMENT**

EIN: 1726000817A1

DATE: 06/29/2020

ORGANIZATION:

FILING REF.: The preceding agreement was dated 04/19/2017

Southern University and A&M College

P.O. Box 9212

Baton Rouge, LA 70813

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

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**SECTION I: Facilities And Administrative Cost Rates**

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RATE TYPES:      FIXED                  FINAL                  PROV. (PROVISIONAL)                  PRED. (PREDETERMINED)

EFFECTIVE PERIOD

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE (%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PRED.	07/01/2017	06/30/2021	40.00	On Campus	All Programs 1,2,3
PRED.	07/01/2017	06/30/2021	26.00	Off Campus	All Programs 1,2,3
PRED.	07/01/2021	06/30/2022	40.00	On Campus	All Programs 1,2,3
PRED.	07/01/2021	06/30/2022	26.00	Off Campus	All Programs 1,2,3
PROV.	07/01/2022	Until Amended			Use same rates and conditions as those cited for fiscal year ending June 30, 2022.

- (1) Baton Rouge Campus
- (2) Shreveport Campus
- (3) New Orleans Campus

\*BASE

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ORGANIZATION: Southern University and A&M College

AGREEMENT DATE: 6/29/2020

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Modified total direct costs, consisting of all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

ORGANIZATION: Southern University and A&M College  
AGREEMENT DATE: 6/29/2020

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SECTION II: SPECIAL REMARKS

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TREATMENT OF FRINGE BENEFITS:

The fringe benefits are specifically identified to each employee and are charged individually as direct costs. The directly claimed fringe benefits are listed below.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

FRINGE BENEFITS:

FICA  
Retirement  
Worker's Compensation  
Tuition Remission  
Life Insurance  
Unemployment Insurance  
Health Insurance  
Tuition Remission  
TIAA/CREF

Per M-20-17 - A rate extension has been granted.

Next Proposal Due:

Your next proposal based on actual costs for the fiscal year ending 06/30/2021, is due in our office by 12/31/2021.

Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000.

ORGANIZATION: Southern University and A&M College

AGREEMENT DATE: 6/29/2020

**SECTION III: GENERAL**

**A. LIMITATIONS:**

The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its facilities and administrative cost pools as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as facilities and administrative costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

**B. ACCOUNTING CHANGES:**

This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from facilities and administrative to direct. Failure to obtain approval may result in cost disallowances.

**C. FIXED RATES:**

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the difference between the costs used to establish the fixed rate and actual costs.

**D. USE BY OTHER FEDERAL AGENCIES:**

The rates in this Agreement were approved in accordance with the authority in Title 2 of the Code of Federal Regulations, Part 200 (2 CFR 200), and should be applied to grants, contracts and other agreements covered by 2 CFR 200, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

**E. OTHER:**

If any Federal contract, grant or other agreement is reimbursing facilities and administrative costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of facilities and administrative costs allocable to these programs.

BY THE INSTITUTION:

Southern University and A&M College

(INSTITUTION)



(SIGNATURE)

**FLANDUS MCCLINTON, JR.**

(NAME)

**VP for Finance and Business Affairs**

(TITLE)

(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)



(SIGNATURE)

Arif Karim

(NAME)

Director, Cost Allocation Services

(TITLE)

6/29/2020

(DATE) 6214

HHS REPRESENTATIVE:

Shon Turner

Telephone:

(214) 767-3261



## PLACE OF PERFORMANCE

### Applicant

**Southern University and A&M College**  
801 Harding Blvd.  
Baton Rouge, LA 70807-0000  
(225) 771-4500  
[www.subr.edu](http://www.subr.edu)

*Founded April 10, 1880*

## INSTITUTIONAL OFFICIALS

### Administrative Office for Notification Purposes

Norma J. Frank, Ph.D., Executive Director  
Office of Sponsored Programs (OSP)  
P.O. Box 12596  
Baton Rouge, LA 70813-2596  
(225) 771-2809  
[OSP@subr.edu](mailto:OSP@subr.edu)  
[www.subr.edu/osp](http://www.subr.edu/osp)

### Authorized Signatory /Authorized Organizational Representative (AOR)

Michael A. Stubblefield, Ph.D.  
Vice Chancellor for Research  
Office of Research and Strategic Initiatives (ORSI)  
P.O. Box 9272  
Baton Rouge, LA 70813-9272  
(225) 771-3890  
[Michael\\_Stubblefield@subr.edu](mailto:Michael_Stubblefield@subr.edu)

### Financial Contact

Benjamin Pugh  
Vice Chancellor for Finance and Administration  
3<sup>rd</sup> Floor, J.S. Clark Administration Bldg.  
Baton Rouge, LA 70813-0000  
(225) 771-5021  
[Benjamin\\_Pugh@subr.edu](mailto:Benjamin_Pugh@subr.edu)

Applicant Name	Southern University and A&M College
Cage Code	1MRL5
Current Registration	Central Contractor Registration (CCR)
District	LA-002
DUNS Number	05-351-5743
EIN	1-726000817-A1
Indirect Cost Rates	Research ON: 40% MTDC Research OFF: 26% MTDC
Representative	Troy Carter
SAM Expiration	December 16, 2023
Senators	Bill Cassidy & John Kennedy
State ID (Dept. of Revenue)	107766800100
UEI Number	H7CJA7NX9WN3

## FRINGE BENEFIT RATES

Category	Full-Time Faculty, Staff & Support Personnel	*Extra-Comp. or Summer Salary (Faculty)	Part-Time Contingent Labor, Special Hire & Transients
FICA	0.00%	0.00%	6.20%
Insurance	10.50%	0.00%	0.00%
Medicare	1.45%	1.45%	1.45%
Other/Contingency	1.00%	1.00%	0.00%
Retirement	24.10%	24.10%	0.00%
Unemployment	0.07%	0.07%	0.07%
<b>Total</b>	<b>37.12%</b>	<b>26.62%</b>	<b>7.72%</b>

*\*Insurance (10.50%) is not charged on Extra-Compensation or Summer salary for Faculty. Please use a rate of 26.62% (37.12% - 10.50%) when calculating Fringe Benefits.*



**SOUTHERN  
UNIVERSITY**  
AND AGRICULTURAL & MECHANICAL COLLEGE

## **Facilities, Equipment and Other Resources**

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### **Southern University and A&M College**

**PI: Hang Yin**

#### **Laboratory Space**

The major tasks of the proposed project will be performed in the Geotechnical Laboratory in the Department of Civil and Environmental Engineering at Southern University and A&M College (Baton Rouge, LA). The Department of Civil and Environmental Engineering is housed in P.B.S. Pinchback Engineering Building at Southern University and A&M College. The University opened this landmark engineering facility in 2002 to develop and maintain competitive, high-quality research and teaching programs across the College of Sciences and Engineering. P.B.S. Pinchback Engineering Building contains approximately 11,000 m<sup>2</sup> of available area. This building is a state-of-the-art instructional, laboratory, technology, and administrative center, well-equipped to address all faculty members' research needs and all students' curricular needs.

The Department of Civil and Environmental Engineering has laboratories, computer rooms, classrooms, student engagement areas, and office spaces in P.B.S. Pinchback Engineering Building. The Department has faculty offices on the third floor, dedicated classrooms on the second floor, and laboratory spaces on the first and third floors. The Department has Environmental, Concrete/Transportation, Soils/Geotechnical, Surveying, and Hydraulics/Fluid Mechanics Laboratories. The total area of those laboratories is approximately 575 m<sup>2</sup>. The Principal Investigator (PI; Dr. Hang Yin) has full access to all the laboratories mentioned above to conduct the proposed project.

#### **Laboratory Facilities**

All the Laboratories in the Civil and Environmental Engineering are equipped with traditional/state-of-art equipment and resources, in addition, the requested new testing apparatus will be housed in the Geotechnical lab to perform the major task of this project.

#### **Computational Facilities**

Graduate research assistants in the Geotechnical Engineering Program have access to public computers together with various networked (hardwired and wireless) printers, scanners, and digitizers. In addition, the building is also housing the #1 computing/3-D printing service in the entire of state of Louisiana

#### **Office**

The PI has an individual, self-contained office with an area of approximately 30 m<sup>2</sup>. The office is equipped with communication infrastructure (computer, phone, Internet, etc.). The office is on the same floor as the Geotechnical lab in the same building.

Graduate student offices are located in the same building immediately adjacent to the PI's office.

#### **Other Resources**

The John B. Cade Library is a four-floor facility built in 1984 with a total square footage of 14,329 m<sup>2</sup> and a seating capacity of over 1,400. The John B. Cade Library maintains 183,237 hardcopy books, 371,820 electronic books, 664,380 media, 11,747 serials, and 145,976 electronic journals. The John B. Cade Library has 5,712 print reference books, of which 480 are engineering reference books. All major scholarly journals in the field of Environmental Engineering are fully accessible through the John B. Cade Library. The John B. Cade Library has 139 computer workstations and multiple study rooms. Computer-based search techniques and interlibrary loan services are also provided by the John B. Cade Library at no cost to faculty and students. The PI will actively use the John B. Cade Library to support the proposed project.



\*NAME Hang Yin

\*Required fields

ORCID ID (Optional)

\*POSITION TITLE Associate Professor

\*PRIMARY ORGANIZATION &amp; LOCATION Southern University and A&amp;M College

\*PROFESSIONAL PREPARATION - (see [PAPPG Chapter II.D.2.h.i.a.3](#))

PREVIOUS ORGANIZATION(S) & LOCATION(S)	DEGREE (if applicable)	RECEIPT DATE* (MM/YYYY)	FIELD OF STUDY
1. Louisiana State University (Baton Rouge, Louisiana)	Ph.D.	08/2013	Geotech Engineering
2. Louisiana State University (Baton Rouge, Louisiana)	M.S.	12/2010	Geotech Engineering
3. Tsinghua University (Beijing, China)	B.Eng.	01/2006	Hydrology and Water Resources Manangement

Note - For Fellowship applicants only, please include the start date of the Fellowship.

\*APPOINTMENTS AND POSITIONS - (see [PAPPG Chapter II.D.2.h.i.a.4](#))

Start Date - End Date	Appointment or Position Title, Organization, and Location
08/01/2019 - Current	Associate Professor, Civil and Environmental Engineering, Southern University, Baton Rouge, LA 70813
01/01/2014-07/31/2019	Assistant Professor, Civil and Environmental Engineering, Southern University, Baton Rouge, LA 70813

**\*PRODUCTS - (see [PAPPG Chapter II.D.2.h.i.a.5](#)) Products Most Closely Related to the Proposed Project**

Reed, A.H., Zhang, G., Yin, H., and Young, D.C. (2016). "System and Method for Testing of Micro-Sized Materials". Patent Number: 8984957.

Zhang, G., Yin, H., Lei, Z., Reed, A. H., and Furukawa, Y. (2013). "Effects of Exopolymers on Particle Size Distributions of Suspended Cohesive Sediments." *Journal of Geophysical Research: Oceans*, 118(7), 3473-3489.

**Other Significant Products, Whether or Not Related to the Proposed Project (see [PAPPG Chapter II.D.2.h.i.a.5](#))**

H. Yin, Z. Ye, H. Lawson and A. Lawson, "Nonlinear Modeling and Least Squares Optimization on Consolidation Property of Composite Soil Samples", *Proceedings of 2021 International Conference on Electrical Engineering, Computing Science and Automatic Control (CCE 2021)*, November 10-12, 2021, Mexico City, Mexico (EI 20220511578702 & EI 21406139)

H. Yin, P. Carriere, H. Lawson, H. Mohamadian and Z. Ye, "Characterization of Salinity Impact on Synthetic Flocculation Strength Via Nonlinear Component Analysis", *Information Management and Big Data: Communications in Computer and Information Science Book Series (Volume 1070)*, Chapter 2, pp. 8-20, Springer International Publishing, Springer, Switzerland, April 2020 (EI 20202108686484)

**\*Synergistic Activities - (see [PAPPG Chapter II.D.2.h.\(i\)\(a\)\(6\)](#))**

Faculty advisor for ASCE SUBR chapter 2020, 2021, 2022

**\*Certification:**

When the individual signs the certification on behalf of themselves, they are certifying that the information is current, accurate, and complete. This includes, but is not limited to, information related to domestic and foreign appointments and positions. Misrepresentations and/or omissions may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§287, 1001, 1031 and 31 U.S.C. §§3729-3733 and 3802.

Signature  
( Please type out full name): Hang Yin

Date: 03/28/2023

The following information regarding collaborators and other affiliations (COA) must be separately provided for each individual identified as senior project personnel. The COA information must be provided through use of this COA template.

Please complete this template (e.g., Excel, Google Sheets, LibreOffice), save as .xlsx or .xls, and upload directly as a Research.gov or FastLane Collaborators and Other Affiliations single-copy document. Do not upload .pdf. Grants.gov Users: The COA information must be provided through use of the COA template and uploaded as a PDF attachment.

Please note that some information requested in prior versions of the PAPPG is no longer requested. **THIS IS PURPOSEFUL AND WE NO LONGER REQUIRE THIS INFORMATION TO BE REPORTED.** Certain relationships will be reported in other sections (i.e., the names of postdoctoral scholar sponsors should not be reported, however if the individual collaborated on research with their postdoctoral scholar sponsor, then they would be reported as a collaborator). The information in the tables is not required to be sorted, alphabetically or otherwise.

There are five separate categories of information which correspond to the five tables in the COA template:

COA template Table 1:

List the individual's last name, first name, middle initial, and organizational affiliation in the last 12 months.

COA template Table 2:

List names as last name, first name, middle initial, for whom a personal, family, or business relationship would otherwise preclude their service as a reviewer.

COA template Table 3:

List names as last name, first name, middle initial, and provide organizational affiliations, if known, for the following:

- The individual's Ph.D. advisors; and
- All of the individual's Ph.D. thesis advisees.

COA template Table 4:

List names as last name, first name, middle initial, and provide organizational affiliations, if known, for the following:

- Co-authors on any book, article, report, abstract or paper with collaboration in the last 48 months (publication date may be later); and
- Collaborators on projects, such as funded grants, graduate research or others in the last 48 months.

COA template Table 5:

List editorial board, editor-in chief and co-editors with whom the individual interacts. An editor-in-chief must list the entire editorial board.

- Editorial Board: List name(s) of editor-in-chief and journal in the past 24 months; and
- Other co-Editors of journal or collections with whom the individual has directly interacted in the last 24 months.

The template has been developed to be fillable, however, the content and format requirements must not be altered by the user. This template must be saved in .xlsx or .xls format, and directly uploaded into Research.gov or FastLane as a Collaborators and Other Affiliations single-copy document. Using the .xlsx or .xls format will enable preservation of searchable text that otherwise would be lost. It is therefore imperative that this document be uploaded in .xlsx or .xls only. Uploading a document in any format other than .xlsx or .xls may delay the timely processing and review of the proposal.

This information is used to manage reviewer selection. See Exhibit II-2 for additional information on potential reviewer conflicts.

1. Note that graduate advisors are no longer required to be reported.
2. Editorial Board does not include Editorial Advisory Board, International Advisory Board, Scientific Editorial Board, or any other subcategory of Editorial Board. It is limited to those individuals who perform editing duties or manage the editing process (i.e., editor in chief).

List names as Last Name, First Name, Middle Initial. Additionally, provide email, organization, and department (optional) to disambiguate common names.

Fixed column widths keep this sheet one page wide; if you cut and paste text, set font size at 10pt or smaller, and abbreviate, where necessary, to make the data fit.

To insert  $n$  blank rows, select  $n$  row numbers to move down, right click, and choose Insert from the menu.

You may fill-down (ctrl-D) to mark a sequence of collaborators, or copy affiliations. Excel has arrows that enable sorting. For "Last Active Date" and "Last Active" columns dates are optional, but will help NSF staff easily determine which information remains relevant for reviewer selection.

"Last Active Date" and "Last Active" columns may be left blank for ongoing or current affiliations.

**Table 1:** List the individual's last name, first name, middle initial, and organizational affiliation in the last 12 months.

1	Your Name:	Your Organizational Affiliation(s), last 12 mo	Last Active Date
	Yin, Hang	Southern University and A&M College	

**Table 2:** List names as last name, first name, middle initial, for whom a personal, family, or business relationship would otherwise preclude their service as a reviewer.

R: Additional names for whom some relationship would otherwise preclude their service as a reviewer.

*to disambiguate common names*

2	Name:	Type of Relationship	Optional (email, Department)	Last Active

**Table 3:** List names as last name, first name, middle initial, and provide organizational affiliations, if known, for the following.

- G: The individual's Ph.D. advisors; and
- T: All of the individual's Ph.D. thesis advisees.

*to disambiguate common names*

3	Advisor/Advisee Name:	Organizational Affiliation	Optional (email, Department)
G:	Zhang, Guoping	University of Massachusetts Amherst	
G:	Abu-Farsakh, Murad	LTRC Louisiana State University	
G:	Gambrell, Robert P.	Louisiana State University	
G:	Reed, Allen	Coastal Survey Group · Estuarine	


**Table 4:** List names as last name, first name, middle initial, and provide organizational affiliations, if known, for the following:

**A:** Co-authors on any book, article, report, abstract or paper with collaboration in the last 48 months (publication date may be later); and

**C:** Collaborators on projects, such as funded grants, graduate research or others in the last 48 months.

*to disambiguate common names*

4	Name:	Organizational Affiliation	Optional (email, Department)	Last Active
A:	Ye, Zhengmao	Southern University		10/1/21

**Table 5:** List editorial board, editor-in chief and co-editors with whom the individual interacts. An editor-in-chief must list the entire editorial board.

**B:** Editorial Board: List name(s) of editor-in-chief and journal in the past 24 months; and

**E:** Other co-Editors of journal or collections with whom the individual has directly interacted in the last 24 months.

*to disambiguate common names*

5	Name:	Organizational Affiliation	Journal/Collection	Last Active

\*Name: Hang Yin

ORCID ID (Optional):

\*Position Title : Associate Professor

\*Organization: Southern University and A&M College

\*Location: 313 PBS Hall, Southern University, Baton Rouge, LA, 70813

**Certification:**

When the individual signs the certification on behalf of themselves, they are certifying that the information is current, accurate, and complete. This includes, but is not limited to, information related to current, pending, and other support (both foreign and domestic) as defined in 42 U.S.C. §§6605. Misrepresentations and/or omissions may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§ 287, 1001, 1031 and 31 U.S.C. §§3729-3733 and 3802.

Signature  
(Please type out full name): Hang Yin

Date: 03/28/2023

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**\*Required fields**

**Note:** NSF has provided 15 project/proposal and 10 in-kind contribution entries for users to populate. Please leave any unused entries blank.

**Projects/Proposals Section:**

According to 42 U.S.C. §§ 6605, Current and Pending (Other) Support (A) means all resources made available, or expected to be made available, to an individual in support of the individual's research and development efforts, regardless of (i) whether the source of the resource is foreign or domestic; (ii) whether the resource is made available through the entity applying for a research and development award or directly to the individual; or (iii) whether the resource has monetary value; and (B) includes in-kind contributions requiring a commitment of time and directly supporting the individual's research and development efforts, such as the provision of office or laboratory space, equipment, supplies, employees, or students. If the time commitment or dollar value is not readily ascertainable, reasonable estimates should be provided.

**Projects/Proposals**

1.\*Project/Proposal Title : FMRG: Eco: Carbon-Inverted Manufacturing of Inverted Cements (CIMIC)

\*Status of Support :  Current  Pending

Proposal/Award Number (if available):

\*Source of Support: NSF

\*Primary Place of Performance : Southern University and A&M College

\*Project/Proposal Start Date (MM/YYYY) : 01/2024

\*Project/Proposal End Date (MM/YYYY) : 12/2027

\*Total Award Amount : \$ 346,168.00

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1. 2,024	1.75	4. 2027	1.75
2. 2025	1.75	5.	
3. 2026	1.75		

\*Overall Objectives : To evaluate the environmental impact of carbon-inverted manufacturing of inverted cements as an alternative to ordinary Portland cement.  
 To involve underrepresented African American students in research to enhance undergraduate STEM education in Civil and Environmental Engineering.  
 Increase public engagement with modern techniques/equipment and

\*Statement of Potential Overlap : There is no potential overlap.



**Projects/Proposals**

2. \*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY) :

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**Projects/Proposals**

3.\*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY) :

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**Projects/Proposals**

4.\*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY) :

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**Projects/Proposals**

5.\*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY) :

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**Projects/Proposals**

6.\*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY) :

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**Projects/Proposals**

7.\*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY) :

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**Projects/Proposals**

8. \*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY) :

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**Projects/Proposals**

9.\*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY) :

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :



**Projects/Proposals**

10. \*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY):

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**Projects/Proposals**

11.\*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY):

\*Project/Proposal End Date (MM/YYYY):

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**Projects/Proposals**

12. \*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY) :

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**Projects/Proposals**

13. \*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY):

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**Projects/Proposals**

14. \*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY) :

\*Total Award Amount : \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**Projects/Proposals**

15. \*Project/Proposal Title :

\*Status of Support :      Current  Pending

Proposal/Award Number (if available):

\*Source of Support:

\*Primary Place of Performance :

\*Project/Proposal Start Date (MM/YYYY) :

\*Project/Proposal End Date (MM/YYYY) :

\*Total Award Amount: \$

\*Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*Overall Objectives :

\*Statement of  
Potential Overlap :

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**In Kind Contributions**

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**\*Required fields****In-Kind Contributions Section:**

In this section, disclose ALL in-kind contributions related to current and pending support. In-kind contributions include, but are not limited to, office/laboratory space, equipment, supplies, and employee or student resources. See the table entitled, NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending Support for instructions on in-kind support for use on the project being proposed.

Please enter your support entries so they are grouped together based on the "Status of Support" and are in the order of Current to Pending from top to bottom.

**In Kind Contributions**

1.\*Status of Support :  Current  Pending

\*In-Kind Contribution Start Date (MM/YYYY) :

\*In-Kind Contribution End Date (MM/YYYY) :

\*Source of Support :

\*Summary of In-Kind Contribution :

\*Person-Month(s)(or Partial Person-Months) Per Year Associated with the In-Kind Contribution

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*U.S. Dollar Value of In-Kind Contribution: \$

\*Overall Objectives :

\*Statement of  
Potential Overlap :



**In Kind Contributions**

2.\*Status of Support :  Current  Pending

\*In-Kind Contribution Start Date (MM/YYYY):

\*In-Kind Contribution End Date (MM/YYYY) :

\*Source of Support :

\*Summary of In-Kind Contribution :

\*Person-Month(s)(or Partial Person-Months) Per Year Associated with the In-Kind Contribution

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*U.S. Dollar Value of In-Kind Contribution: \$

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**In Kind Contributions**

3.\*Status of Support :  Current  Pending

\*In-Kind Contribution Start Date (MM/YYYY) :

\*In-Kind Contribution End Date (MM/YYYY):

\*Source of Support :

\*Summary of In-Kind Contribution :

\*Person-Month(s)(or Partial Person-Months) Per Year Associated with the In-Kind Contribution

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*U.S. Dollar Value of In-Kind Contribution: \$

\*Overall Objectives :

\*Statement of Potential Overlap :

**In Kind Contributions**

4.\*Status of Support :  Current  Pending

\*In-Kind Contribution End Date(MM/YYYY) :

\*In-Kind Contribution End Date (MM/YYYY):

\*Source of Support :

\*Summary of In-Kind Contribution :

\*Person-Month(s)(or Partial Person-Months) Per Year Associated with the In-Kind Contribution

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*U.S. Dollar Value of In-Kind Contribution: \$

\*Overall Objectives :

\*Statement of Potential Overlap :

**In Kind Contributions**

5.\*Status of Support :  Current  Pending

\*In-Kind Contribution Start Date (MM/YYYY) :

\*In-Kind Contribution End Date (MM/YYYY) :

\*Source of Support :

\*Summary of In-Kind Contribution :

\*Person-Month(s)(or Partial Person-Months) Per Year Associated with the In-Kind Contribution

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*U.S. Dollar Value of In-Kind Contribution: \$

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**In Kind Contributions**

6.\*Status of Support :  Current  Pending

\*In-Kind Contribution Start Date (MM/YYYY) :

\*In-Kind Contribution End Date (MM/YYYY):

\*Source of Support :

\*Summary of In-Kind Contribution :

\*Person-Month(s)(or Partial Person-Months) Per Year Associated with the In-Kind Contribution

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*U.S. Dollar Value of In-Kind Contribution: \$

\*Overall Objectives :

\*Statement of  
Potential Overlap :

**In Kind Contributions**

7.\*Status of Support :  Current  Pending

\*In-Kind Contribution Start Date (MM/YYYY):

\*In-Kind Contribution End Date (MM/YYYY):

\*Source of Support :

\*Summary of In-Kind Contribution :

\*Person-Month(s)(or Partial Person-Months) Per Year Associated with the In-Kind Contribution

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*U.S. Dollar Value of In-Kind Contribution: \$

\*Overall Objectives :

\*Statement of Potential Overlap :

**In Kind Contributions**

8.\*Status of Support :  Current  Pending

\*In-Kind Contribution Start Date (MM/YYYY):

\*In-Kind Contribution End Date (MM/YYYY):

\*Source of Support :

\*Summary of In-Kind Contribution :

\*Person-Month(s)(or Partial Person-Months) Per Year Associated with the In-Kind Contribution

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*U.S. Dollar Value of In-Kind Contribution: \$

\*Overall Objectives :

\*Statement of Potential Overlap :

**In Kind Contributions**

9.\*Status of Support :  Current  Pending

\*In-Kind Contribution Start Date (MM/YYYY):

\*In-Kind Contribution End Date (MM/YYYY):

\*Source of Support :

\*Summary of In-Kind Contribution :

\*Person-Month(s)(or Partial Person-Months) Per Year Associated with the In-Kind Contribution

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*U.S. Dollar Value of In-Kind Contribution: \$

\*Overall Objectives :

\*Statement of  
Potential Overlap :



**In Kind Contributions**

10.\*Status of Support :  Current  Pending

\*In-Kind Contribution Start Date (MM/YYYY):

\*In-Kind Contribution End Date (MM/YYYY):

\*Source of Support :

\*Summary of In-Kind Contribution :

\*Person-Month(s)(or Partial Person-Months) Per Year Associated with the In-Kind Contribution

If the time commitment is not readily ascertainable, reasonable estimates should be provided.

*Year (YYYY)	*Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1.		4.	
2.		5.	
3.			

\*U.S. Dollar Value of In-Kind Contribution: \$

\*Overall Objectives :

\*Statement of Potential Overlap :



# SOUTHERN UNIVERSITY AND A & M COLLEGE

Unique Entity ID H7CJA7NX9WN3	CAGE / NCAGE 1MRL5	Purpose of Registration All Awards
Registration Status Active Registration	Expiration Date Dec 16, 2023	
Physical Address 730 Harding BLVD Baton Rouge, Louisiana 70807-5304 United States	Mailing Address P. O. Box 9494 Baton Rouge, Louisiana 70813 United States	

## Business Information

Doing Business as (blank)	Division Name Office Of Sponsored Programs	Division Number (blank)
Congressional District Louisiana 02	State / Country of Incorporation (blank) / (blank)	URL (blank)

## Registration Dates

Activation Date Dec 20, 2022	Submission Date Dec 16, 2022	Initial Registration Date May 15, 2001
---------------------------------	---------------------------------	---

## Entity Dates

Entity Start Date Jan 1, 1900	Fiscal Year End Close Date Jun 30
----------------------------------	--------------------------------------

## Immediate Owner

CAGE (blank)	Legal Business Name (blank)
-----------------	--------------------------------

## Highest Level Owner

CAGE (blank)	Legal Business Name (blank)
-----------------	--------------------------------

## Executive Compensation

Registrants in the System for Award Management (SAM) respond to the Executive Compensation questions in accordance with Section 6202 of P.L. 110-252, amending the Federal Funding Accountability and Transparency Act (P.L. 109-282). This information is not displayed in SAM. It is sent to USAspending.gov for display in association with an eligible award. Maintaining an active registration in SAM demonstrates the registrant responded to the questions.

## Proceedings Questions

Registrants in the System for Award Management (SAM.gov) respond to proceedings questions in accordance with FAR 52.209-7, FAR 52.209-9, or 2. C.F.R. 200 Appendix XII. Their responses are displayed in the responsibility/qualification section of SAM.gov. Maintaining an active registration in SAM.gov demonstrates the registrant responded to the proceedings questions.

## Exclusion Summary

Active Exclusions Records?  
No

## SAM Search Authorization

I authorize my entity's non-sensitive information to be displayed in SAM public search results:  
Yes

## Entity Types

Business Types		
Entity Structure U.S. Government Entity	Entity Type US State Government	Organization Factors (blank)
Profit Structure (blank)		

**Socio-Economic Types**

Check the registrant's Reqs & Certs, if present, under FAR 52.212-3 or FAR 52.219-1 to determine if the entity is an SBA-certified HUBZone small business concern. Additional small business information may be found in the SBA's Dynamic Small Business Search if the entity completed the SBA supplemental pages during registration.

**Government Types**

U.S. State Government

**Other Entity Qualifiers**

1890 Land Grant College

Historically Black College or University

Educational Institution

**Financial Information**

Accepts Credit Card Payments  
Yes

Debt Subject To Offset  
Yes

EFT Indicator  
0000

CAGE Code  
1MRL5

**Points of Contact**

**Electronic Business**

⌘  
Flandus McClinton Jr, Vice President of Finance and Business Affairs  
P. O. Box 9212  
Baton Rouge, Louisiana 70813  
United States

Famika Sargent, Office of Sponsored Programs Accounting  
P. O. Box 9494  
Baton Rouge, Louisiana 70813  
United States

**Government Business**

⌘  
Michael Stubblefield, Vice Chancellor Office of Research and Strategic I  
730 Harding BLVD  
Baton Rouge, Louisiana 70807  
United States

**Service Classifications**

**NAICS Codes**

Primary	NAICS Codes	NAICS Title
Yes	611310	Colleges, Universities, And Professional Schools

**Disaster Response**

This entity does not appear in the disaster response registry.

Subaward Number:

017935-9144

## **Attachment 6**

**Notice of Award (NOA) and any additional documents**

- The following pages include the NOA and if applicable any additional documentation referenced throughout this Subaward.
- Not incorporating the NOA or any additional documentation to this Subaward.

## NATIONAL SCIENCE FOUNDATION

### Award Notice

**Award Number (FAIN):** 2328044

**Managing Division Abbreviation:** CBET

**Amendment Number:** 000

#### RECIPIENT INFORMATION

**Recipient (Legal Business Name):** UNIVERSITY OF MASSACHUSETTS

**Recipient Address:** COMMONWEALTH AVE AMHERST, MA 01003

**Official Recipient Email Address:** [ogca@research.umass.edu](mailto:ogca@research.umass.edu)

**Unique Entity Identifier (UEI):** VGJHK59NMPK9

#### AMENDMENT INFORMATION

**Amendment Type:** New Project

**Amendment Date:** 09/13/2023

**Amendment Number:** 000

**Proposal Number:** 2328044

**Amendment Description:**

The National Science Foundation hereby awards a Standard Grant for support of the project described in the proposal referenced above.

Funds provided for participant support may not be diverted by the awardee to other categories of expense without the prior written approval of the cognizant NSF Program Officer. Since participant support cost is not a normal account classification, the awardee organization must be able to separately identify participant support costs. It is highly recommended that separate accounts, sub-accounts, sub-task, or sub-ledgers be established to accumulate these costs. The awardee should have written policies and procedures to segregate participant support costs.

The Foundation authorizes the awardee to enter into the proposed subaward arrangement. The subaward agreement should contain appropriate provisions in accordance with the award terms and conditions in effect at the time of this award amendment, and contain any special conditions included in this award.

#### AWARD INFORMATION

**Award Number (FAIN):** 2328044  
**Award Instrument:** Standard Grant  
**Award Date:** 09/13/2023  
**Award Period of Performance:** Start Date: 01/01/2024 End Date: 12/31/2027  
**Project Title:** FMRG: Eco: Carbon-Inverted Manufacturing of Inverted Cements (CIMIC)  
**Managing Division Abbreviation:** CBET  
**Research and Development Award:** Yes  
**Funding Opportunity:** NSF 23-550 Future Manufacturing  
**Assistance Listing Number(s) and Name(s):** 47.041 Engineering Grants  
(Predominant source of funding for SEFA reporting)

#### FUNDING INFORMATION

**Amount Obligated by this Amendment:** \$2,999,862  
**Total Intended Award Amount:** \$2,999,862  
**Total Approved Cost Share or Matching Amount:** \$0  
**Total Amount Obligated to Date:** \$2,999,862  
**Expenditure Limitation:** Not Applicable

#### PROJECT PERSONNEL

<b>Principal Investigator:</b> Guoping Zhang	<b>Email:</b> <a href="mailto:zhangg@umass.edu">zhangg@umass.edu</a>	<b>Organization:</b> UNIVERSITY OF MASSACHUSETTS
<b>co-Principal Investigator:</b> Carrick M Eggleston	<b>Email:</b> <a href="mailto:ceggleston@wpi.edu">ceggleston@wpi.edu</a>	<b>Organization:</b> WORCESTER POLYTECHNIC INSTITUTE
<b>co-Principal Investigator:</b> Jian Luo	<b>Email:</b> <a href="mailto:jluo@ucsd.edu">jluo@ucsd.edu</a>	<b>Organization:</b> UNIVERSITY OF CALIFORNIA, SAN DIEGO
<b>co-Principal Investigator:</b> Jialai Wang	<b>Email:</b> <a href="mailto:jwang@eng.ua.edu">jwang@eng.ua.edu</a>	<b>Organization:</b> UNIVERSITY OF ALABAMA
<b>co-Principal Investigator:</b> Hang Yin	<b>Email:</b> <a href="mailto:hang_yin@subr.edu">hang_yin@subr.edu</a>	<b>Organization:</b> SOUTHERN UNIVERSITY AND A & M COLLEGE

## NSF CONTACT INFORMATION

### Managing Grants

Official (Primary Contact)

Name: Khoren Claiborne

Email: [kclaibor@nsf.gov](mailto:kclaibor@nsf.gov)

Phone: (703) 292-2313

Awarding Official

Name: Willis Phan

Email: [wiphan@nsf.gov](mailto:wiphan@nsf.gov)

Managing Program Officer

Name: Bruce K. Hamilton

Email: [bhamilto@nsf.gov](mailto:bhamilto@nsf.gov)

Phone:

## GENERAL TERMS AND CONDITIONS

This is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is subject to Research Terms and Conditions (RTCs) dated 11/12/2020, and NSF Agency Specific Requirements, dated 01/30/2023, available at <https://www.nsf.gov/awards/managing/rtc.jsp>.

This award is made in accordance with the provisions of NSF Solicitation: NSF 23-550 Future Manufacturing.

<b>A. Senior Personnel</b>	
Senior Personnel Count	7.99
Senior Personnel Calendar Months	6.00
Senior Personnel Academic Months	0.00
Senior Personnel Summer Months	0.00
Senior Personnel Amount	\$102,131
<b>B. Other Personnel</b>	
<b>Post Doctoral Scholars</b>	
Post Doctoral Count	0.00
Post Doctoral Calendar Months	0.00
Post Doctoral Academic Months	0.00
Post Doctoral Summer Months	0.00
Post Doctoral Amount	\$0
<b>Other Professionals</b>	
Other Professionals Count	0.00
Other Professionals Calendar Months	0.00

Other Professionals Academic Months	0.00
Other Professionals Summer Months	0.00
Other Professionals Amount	\$0
<b>Graduate Students</b>	
Graduate Students Count	7.99
Graduate Students Amount	\$275,792
<b>Undergraduate Students</b>	
Undergraduate Students Count	0.00
Undergraduate Students Amount	\$0
<b>Secretarial - Clerical</b>	
Secretarial - Clerical Count	0.00
Secretarial - Clerical Amount	\$0
<b>Other</b>	
Other Count	0.00
Other Amount	\$0
<i>Total Salaries and Wages (A+B)</i>	\$377,923
<b>C. Fringe Benefits</b>	\$53,745
<i>Total Salaries, Wages, Fringe Benefits (A + B + C)</i>	\$431,668
<b>D. Equipment</b>	\$0
<b>E. Travel</b>	
Domestic	\$20,000
International	\$0
<b>F. Participant Support Costs</b>	
Participant Support Costs Stipends	\$20,000
Participant Support Costs Travel	\$10,000
Participant Support Costs Subsistence	\$20,000
Participant Support Costs Other	\$0
Total Number of Participants	20.00
<i>Total Participant Costs (F)</i>	\$50,000
<b>G. Other Direct Costs</b>	
Materials Supplies	\$22,000
Publication Costs	\$0
Consultant Services	\$0
Computer Services	\$0



Subawards	\$1,994,802
Other	\$125,972
<i>Total Other Direct Costs (G)</i>	\$2,142,774
<b>H. Total Direct Costs (A Through G)</b>	<b>\$2,644,442</b>
<b>I. Indirect Costs*</b>	<b>\$355,420</b>
<b>J. Total Direct and Indirect Costs (H + I)</b>	<b>\$2,999,862</b>
<b>K. Fees</b>	<b>\$0</b>
<b>L. Total Amount of Request (J) OR (J + K)</b>	<b>\$2,999,862</b>
<b>M. Cost Sharing Proposed Level</b>	<b>\$0</b>

\*Indirect Cost Rates

Item Name	Indirect Cost Rate
MTDC1	61.0000%
MTDC2	61.5000%

These rates are at the time of award and are based upon the budget submitted to the NSF. It does not include any out-year adjustments. The NSF will not modify awards simply to correct indirect cost rates cited in the award notice. See the Proposal & Award Policies & Procedures Guide (PAPPG) Chapter X.A.3.a. for guidance on re-budgeting authority.



## Department of Justice (DOJ)

Office of Community Oriented Policing Services (COPS  
Office)

Washington, D.C. 20531

<b>Name and Address of Recipient:</b>	SOUTHERN UNIVERSITY AND A & M COLLEGE 730 HARDING BLVD		
<b>City, State and Zip:</b>	BATON ROUGE, LA 70807		
<b>Recipient UEI:</b>	H7CJA7NX9WN3		
<b>Project Title:</b> FY23 Southern University And A & M College , LA CIT Grant	<b>Award Number:</b> 15JCOPS-23-GG-01706-PPSE		
<b>Solicitation Title:</b> FY23 Implementing Crisis Intervention Teams- Community Policing Development Solicitation			
<b>Federal Award Amount:</b> \$351,568.00	<b>Federal Award Date:</b> 11/2/23		
<b>Awarding Agency:</b>	Office of Community Oriented Policing Services		
<b>Funding Instrument Type:</b>	Grant		
<b>Opportunity Category:</b> D			
<b>Assistance Listing:</b>	16.710 - Public Safety Partnership and Community Policing Grants		
<b>Project Period Start Date:</b> 10/1/23	<b>Project Period End Date:</b> 9/30/25		
<b>Budget Period Start Date:</b> 10/1/23	<b>Budget Period End Date:</b> 9/30/25		
<b>Project Description:</b>			
Southern University and A&M College seek to support the HBCU campus community effort to provide 24/7 access to mental health crisis intervention support (currently they only have support during normal business hours), through the addition of mental health specialists to their SUPD staff, and the training of sworn and nonsworn CIT members. It would specifically add after hours crisis response and a vehicle.			

## Award Letter

November 2, 2023

Dear Michael Stubblefield,

On behalf of Attorney General Merrick B. Garland, it is my pleasure to inform you the Office of Community Oriented Policing Services (the COPS Office) has approved the application submitted by SOUTHERN UNIVERSITY AND A & M COLLEGE for an award under the funding opportunity entitled 2023 FY23 Implementing Crisis Intervention Teams-Community Policing Development Solicitation. The approved award amount is \$351,568. Review the Award Instrument below carefully and familiarize yourself with all conditions and requirements before accepting your award. The Award Instrument includes the Award Offer (Award Information, Project Information, Financial Information, and Award Conditions) and Award Acceptance. For COPS Office and OVW funding the Award Offer also includes any Other Award Documents.

Please note that award requirements include not only the conditions and limitations set forth in the Award Offer, but also compliance with assurances and certifications that relate to conduct during the period of performance for the award. These requirements encompass financial, administrative, and programmatic matters, as well as other important matters (e.g., specific restrictions on use of funds). Therefore, all key staff should receive the award conditions, the assurances and certifications, and the application as approved by the COPS Office, so that they understand the award requirements. Information on all pertinent award requirements also must be provided to any subrecipient of the award.

Should you accept the award and then fail to comply with an award requirement, DOJ will pursue appropriate remedies for non-compliance, which may include termination of the award and/or a requirement to repay award funds.

Prior to accepting the award, your Entity Administrator must assign a Financial Manager, Grant Award Administrator, and Authorized Representative(s) in the Justice Grants System (JustGrants). The Entity Administrator will need to ensure the assigned Authorized Representative(s) is current and has the legal authority to accept awards and bind the entity to the award terms and conditions. To accept the award, the Authorized Representative(s) must accept all parts of the Award Offer in the Justice Grants System (JustGrants), including by executing the required declaration and certification, within 45 days from the award date.

To access your funds, you will need to enroll in the Automated Standard Application for Payments (ASAP) system, if you haven't already completed the enrollment process in ASAP. The Entity Administrator should have already received an email from ASAP to initiate this process.

Congratulations, and we look forward to working with you.

HUGH CLEMENTS

COPS Director

**Office for Civil Rights Notice for All Recipients**

The Office for Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) has been delegated the responsibility for ensuring that recipients of federal financial assistance from the OJP, the Office of Community Oriented Policing Services (COPS), and the Office on Violence Against Women (OVW) are not engaged in discrimination prohibited by law. Several federal civil rights laws, such as Title VI of the Civil Rights Act of 1964 and Section 504 of the Rehabilitation Act of 1973, require recipients of federal financial assistance to give assurances that they will comply with those laws. Taken together, these civil rights laws prohibit recipients of federal financial assistance from discriminating in services and employment because of race, color, national origin, religion, disability, sex, and, for grants authorized under the Violence Against Women Act, sexual orientation and gender identity. Recipients are also prohibited from discriminating in services because of age. For a complete review of these civil rights laws and nondiscrimination requirements, in connection with DOJ awards, see <https://ojp.gov/funding/Explore/LegalOverview/CivilRightsRequirements.htm>.

Under the delegation of authority, the OCR investigates allegations of discrimination against recipients from individuals, entities, or groups. In addition, the OCR conducts limited compliance reviews and audits based on regulatory criteria.

These reviews and audits permit the OCR to evaluate whether recipients of financial assistance from the Department are providing services in a nondiscriminatory manner to their service population or have employment practices that meet equal-opportunity standards.

If you are a recipient of grant awards under the Omnibus Crime Control and Safe Streets Act or the Juvenile Justice and Delinquency Prevention Act and your agency is part of a criminal justice system, there are two additional obligations that may apply in connection with the awards: (1) complying with the regulation relating to Equal Employment Opportunity Programs (EEOs); and (2) submitting findings of discrimination to OCR. For additional information regarding the EEO requirement, see 28 CFR Part 42, subpart E, and for additional information regarding requirements when there is an adverse finding, see 28 C.F.R. §§ 42.204(c), .205(c)(5).

The OCR is available to help you and your organization meet the civil rights requirements that are associated with DOJ grant funding. If you would like the OCR to assist you in fulfilling your organization's civil rights or nondiscrimination responsibilities as a recipient of federal financial assistance, please do not hesitate to contact the OCR at askOCR@ojp.usdoj.gov.

### Award Information

This award is offered subject to the conditions or limitations set forth in the Award Information, Project Information, Financial Information, and Award Conditions.

### Recipient Information

#### Recipient Name

SOUTHERN UNIVERSITY AND A & M COLLEGE

#### UEI

H7CJA7NX9WN3

#### ORI Number

#### Street 1

730 HARDING BLVD

#### Street 2

#### City

BATON ROUGE

#### State/U.S. Territory

Louisiana

#### Zip/Postal Code

70807

#### Country

United States

#### County/Parish

#### Province

### Award Details

#### Federal Award Date

11/2/23

#### Award Type

Initial

#### Award Number

15JCOPS-23-GG-01706-PPSE

#### Supplement Number

00

#### Federal Award Amount

\$351,568.00

#### Funding Instrument Type

Grant

**Assistance Listing  
Number**

**Assistance Listings Program Title**

16.710

Public Safety Partnership and Community Policing Grants

**Statutory Authority**

The Public Safety Partnership and Community Policing Act of 1994, 34 U.S.C. § 10381 et seq

[ ]

*I have read and understand the information presented in this section of the Federal Award Instrument.*

**Project Information**

This award is offered subject to the conditions or limitations set forth in the Award Information, Project Information, Financial Information, and Award Conditions.

**Solicitation Title**

**Awarding Agency**

2023 FY23 Implementing Crisis Intervention Teams-  
Community Policing Development Solicitation

COPS

**Application Number**

GRANT13863925

**Grant Manager Name**

JEREMY KOMMEL-BERNSTEIN

**Phone Number**

202-305-1264

**E-mail Address**

Jeremy.Kommel-Bernstein@usdoj.gov

**Project Title**

FY23 Southern University And A & M College , LA CIT Grant

**Performance Period Start**

**Date**

10/01/2023

**Performance Period End Date**

09/30/2025

**Budget Period Start Date**

10/01/2023

**Budget Period End Date**

09/30/2025

**Project Description**

Southern University and A&M College seek to support the HBCU campus community effort to provide 24/7 access to mental health crisis intervention support (currently they only have support during normal business hours), through the addition of mental health specialists to their SUPD staff, and the training of sworn and nonsworn CIT members. It would specifically add after hours crisis response and a vehicle.

[ ]

*I have read and understand the information presented in this section of the Federal Award Instrument.*

**Financial Information**

This award is offered subject to the conditions or limitations set forth in the Award Information, Project Information, Financial Information, and Award Conditions.

A financial analysis of budgeted costs has been completed. All costs listed in the approved budget below were programmatically approved based on the final proposed detailed budget and budget narratives submitted by your agency to the COPS Office. Any adjustments or edits to the proposed budget are explained below.

Budget Clearance Date: 8/23/23 3:13 PM

**Comments**

Your proposed budget included costs which were deemed unallowable, unreasonable, unnecessary, outside the scope of the program, or inconsistent with program guidelines and the program solicitation. Those costs were removed from the approved budget.

Budget Category	Proposed Change Budget		Approved Budget	Percentages
Sworn Officer Positions:	\$0	\$0	\$0	
Civilian or Non-Sworn Personnel:	\$258,528	\$0	\$258,528	
Travel:	\$0	\$8,040	\$8,040	
Equipment:	\$0	\$50,000	\$50,000	
Supplies:	\$0	\$0	\$0	
SubAwards:	\$0	\$0	\$0	
Procurement Contracts:	\$0	\$35,000	\$35,000	
Other Costs:	\$0	\$0	\$0	
Total Direct Costs:	\$258,528	\$93,040	\$351,568	
Indirect Costs:	\$0	\$0	\$0	
Total Project Costs:	\$258,528	\$93,040	\$351,568	
Federal Funds:	\$361,568	-\$10,000	\$351,568	100.00%
Match Amount:	\$0	\$0	\$0	0.00%
Program Income:	\$0	\$0	\$0	0.00%

**Budget Category**

Sworn Officer

Civilian Personnel

Travel

Equipment

Supplies

SubAwards

Procurement Contracts

Other Costs

Indirect Costs

*I have read and understand the information presented in this section of the Federal Award Instrument.*

**Other Award Documents**

*I have read and understand the information presented in this section of the Federal Award Instrument.*

No other award documents have been added.

**Award Conditions**

**This award is offered subject to the conditions or limitations set forth in the Award Information, Project Information, Financial Information, and Award Conditions.**

1

Reporting Subawards and Executive Compensation

The recipient agrees to comply with the following requirements of 2 C.F.R. Part 170, Appendix A to Part 170 – Award Term:

I. Reporting Subawards and Executive Compensation

a. Reporting of first-tier subawards.

Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that equals or exceeds \$30,000 in Federal funds for a subaward to a non-Federal entity or Federal agency (see definitions in paragraph e. of this award term).

2. Where and when to report.

- i. The non-Federal entity or Federal agency must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrs.gov>.
- ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. What to report. You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.

b. Reporting total compensation of recipient executives for non-Federal entities.

1. Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—

i. The total Federal funding authorized to date under this Federal award equals or exceeds \$30,000 as defined in 2 CFR 170.320;

ii. in the preceding fiscal year, you received—

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards), and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and,

iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:

i. As part of your registration profile at <https://www.sam.gov>.

ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

1. Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier non-Federal entity subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—

i. in the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards) and,

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. Where and when to report. You must report subrecipient executive total compensation described in paragraph c.1.



of this award term:

i. To the recipient.

ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions.

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

i. Subawards, and

ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. Federal Agency means a Federal agency as defined at 5 U.S.C. 551(1) and further clarified by 5 U.S.C. 552(f).

2. Non-Federal entity means all of the following, as defined in 2 CFR part 25:

i. A Governmental organization, which is a State, local government, or Indian tribe;

ii. A foreign public entity;

iii. A domestic or foreign nonprofit organization; and,

iv. A domestic or foreign for-profit organization

3. Executive means officers, managing partners, or any other employees in management positions.

4. Subaward:

i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200.331).

iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

5. Subrecipient means a non-Federal entity or Federal agency that:

i. Receives a subaward from you (the recipient) under this award; and

ii. Is accountable to you for the use of the Federal funds provided by the subaward.

6. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)).

2

Restrictions on Internal Confidentiality Agreements: No recipient or subrecipient under this award, or entity that receives a contract or subcontract with any funds under this award, may require any employee or contractor to sign an internal confidentiality agreement or statement that prohibits or otherwise restricts the lawful reporting of waste, fraud, or abuse to an investigative or law enforcement representative of a federal department or agency authorized to receive such information. Consolidated Appropriations Act, 2023, Public Law 117-328, Division E, Title VII, Section 742.

Prohibited conduct by recipients and subrecipients related to trafficking in persons (including reporting requirements and COPS Office authority to terminate award): The recipient and subrecipient agree to comply with the requirements in 2 C.F.R. § 175.15(b) – Award Term:

I. Trafficking in persons.

a. Provisions applicable to a recipient that is a private entity.

1. You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—

- i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
- ii. Procure a commercial sex act during the period of time that the award is in effect; or
- iii. Use forced labor in the performance of the award or subawards under the award.

2. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —

- i. Is determined to have violated a prohibition in paragraph a.1 of this award term; or
- ii. Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either—

A. Associated with performance under this award; or

B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by DOJ at 2 C.F.R. Part 2867.

b. Provision applicable to a recipient other than a private entity. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—

1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or
2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either—

i. Associated with performance under this award; or

ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by DOJ at 2 C.F.R. Part 2867.

c. Provisions applicable to any recipient.

1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.

2. Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:

i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended 22 U.S.C. 7104(g), and

ii. Is in addition to all other remedies for noncompliance that are available to us under this award.

3. You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.

d. Definitions. For purposes of this award term:

1. “Employee” means either:

i. An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or

ii. Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

2. “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjecting to involuntary servitude, peonage, debt bondage, or slavery.

3. “Private entity”:

i. Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.

ii. Includes:

A. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).

B. A for-profit organization.

4. “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

Duplicative Funding: The recipient understands and agrees to notify the COPS Office if it receives, from any other source, funding for the same item or service also funded under this award.

## 5

Termination: Recipient understands and agrees that the COPS Office may terminate funding, in whole or in part, for the following reasons:

- (1) When the recipient fails to comply with the terms and conditions of a Federal award.
- (2) When an award no longer effectuates the program goals or agency priorities, to the extent such termination is authorized by law.
- (3) When the recipient agrees to the termination and termination conditions.
- (4) When the recipient provides the COPS Office written notification requesting termination including the reasons, effective date, and the portion of the award to be terminated. The COPS Office may terminate the entire award if the remaining portion will not accomplish the purposes of the award.
- (5) Pursuant to any other termination provisions included in the award.

2. C.F.R. § 200.340.

## 6

Award Owner's Manual: The recipient agrees to comply with the terms and conditions in the applicable 2023 COPS Office Program Award Owner's Manual; DOJ Grants Financial Guide; COPS Office statute (34 U.S.C. § 10381, et seq.) as applicable; Students, Teachers, and Officers Preventing (STOP) School Violence Act of 2018 (34 U.S.C. § 10551, et seq.) as applicable; the requirements of 2 C.F.R. Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) as adopted by the U.S. Department of Justice in 2 C.F.R. § 2800.101; 48 C.F.R. Part 31 (FAR Part 31) as applicable (Contract Cost Principles and Procedures); the Cooperative Agreement as applicable; representations made in the application; and all other applicable program requirements, laws, orders, regulations, or circulars.

Failure to comply with one or more award requirements may result in remedial action including, but not limited to, withholding award funds, disallowing costs, suspending, or terminating the award, or other legal action as appropriate.

Should any provision of an award condition be deemed invalid or unenforceable by its terms, that provision will be applied to give it the maximum effect permitted by law. Should the provision be deemed invalid or unenforceable in its entirety, such provision will be severed from this award.

## 7

Authorized Representative Responsibility: The recipient understands that, in accepting this award, the Authorized Representatives declare and certify, among other things, that they possess the requisite legal authority to accept the award on behalf of the recipient entity and, in so doing, accept (or adopt) all material requirements throughout the period of performance under this award. The recipient further understands, and agrees, that it will not assign anyone to the role of Authorized Representative during the period of performance under the award without first ensuring that the individual has the requisite legal authority.

## 8

Award Monitoring Activities: Federal law requires that recipients receiving federal funding from the COPS Office must be monitored to ensure compliance with their award conditions and other applicable statutes and regulations. The COPS Office is also interested in tracking the progress of our programs and the advancement of community policing. Both aspects of award implementation—compliance and programmatic benefits—are part of the monitoring process coordinated by the U.S. Department of Justice. Award monitoring activities conducted by the COPS Office include site visits, enhanced office-based grant reviews, alleged noncompliance reviews, financial and programmatic reporting, and audit resolution. As a COPS Office award recipient, you agree to cooperate with and respond to any requests for information pertaining to your award. This includes all financial records, such as general accounting ledgers and all supporting documents. All information pertinent to the implementation of the award is subject to agency review throughout the life of the award, during the close-out process and for three-years after the submission of the final expenditure report. 34 U.S.C. § 10385(a) and 2 C.F.R. §§ 200.334 and 200.337.

## 9

Contract Provision: All contracts made by the award recipients under the federal award must contain the provisions

required under 2 C.F.R. Part 200, Appendix II to Part 200—Contract Provisions for Non-Federal Entity Contracts Under Federal Awards. Please see appendices in the Award Owner's Manual for a full text of the contract provisions.

## 10

**Assurances and Certifications:** The recipient acknowledges its agreement to comply with the Assurances and Certifications forms that were signed as part of its application.

## 11

**Conflict of Interest:** Recipients and subrecipients must disclose in writing to the COPS Office or pass-through entity, as applicable, any potential conflict of interest affecting the awarded federal funding in 2 C.F.R. § 200.112.

## 12

**Debarment and Suspension:** The recipient agrees not to award federal funds under this program to any party which is debarred or suspended from participation in federal assistance programs. 2 C.F.R. Part 180 (Government-wide Nonprocurement Debarment and Suspension) and 2 C.F.R. Part 2867 (DOJ Nonprocurement Debarment and Suspension).

## 13

**Employment Eligibility:** The recipient agrees to complete and keep on file, as appropriate, the Department of Homeland Security, U.S. Citizenship and Immigration Services (USCIS) Employment Eligibility Verification Form (I-9). This form is to be used by recipients of federal funds to verify that persons are eligible to work in the United States. Immigration Reform and Control Act of 1986 (IRCA), Public Law 99-603.

## 14

**Enhancement of Contractor Protection from Reprisal for Disclosure of Certain Information:** Recipients and subrecipients agree not to discharge, demote, or otherwise discriminate against an employee as reprisal for the employee disclosing information that he or she reasonably believes is evidence of gross mismanagement of a federal contract or award, a gross waste of federal funds, an abuse of authority relating to a federal contract or award, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract) or award. Recipients and subrecipients also agree to provide to their employees in writing (in the predominant native language of the workforce) of the rights and remedies provided in 41 U.S.C. § 4712. Please see appendices in the Award Owner's Manual for a full text of the statute.

## 15

**Equal Employment Opportunity Plan (EEOP):** All recipients of funding from the COPS Office must comply with the federal regulations pertaining to the development and implementation of an Equal Employment Opportunity Plan. 28 C.F.R. Part 42 subpart E.

## 16

**False Statements:** False statements or claims made in connection with COPS Office awards may result in fines, imprisonment, debarment from participating in federal awards or contracts, and/or any other remedy available by law. 31 U.S.C. § 3729-3733.

## 17

**Federal Civil Rights:** The Applicant understands that the federal statutes and regulations applicable to the award (if any) made by the Department based on the application specifically include statutes and regulations pertaining to civil rights and nondiscrimination, and, in addition—

a. the Applicant understands that the applicable statutes pertaining to civil rights will include section 601 of the Civil Rights Act of 1964 (42 U.S.C. § 2000d); section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794); section 901 of the Education Amendments of 1972 (20 U.S.C. § 1681); and section 303 of the Age Discrimination Act of 1975 (42 U.S.C. § 6102);

b. the Applicant understands that the applicable statutes pertaining to nondiscrimination may include section 809(c) of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (34 U.S.C. § 10228(c)); section 1407(e) of the Victims of Crime Act of 1984 (34 U.S.C. § 20110(e)); section 299A(b) of the Juvenile Justice and Delinquency

Prevention Act of 2002 (34 U.S.C. § 11182(b)); and that the grant condition set out at section 40002(b)(13) of the Violence Against Women Act (34 U.S.C. § 12291(b)(13)), which will apply to all awards made by the Office on Violence Against Women, also may apply to an award made otherwise;

c. the Applicant understands that it must require any subrecipient to comply with all such applicable statutes (and associated regulations); and

d. on behalf of the Applicant, I make the specific assurances set out in 28 C.F.R. §§ 42.105 and 42.204.

The Applicant also understands that (in addition to any applicable program-specific regulations and to applicable federal regulations that pertain to civil rights and nondiscrimination) the federal regulations applicable to the award (if any) made by the Department based on the application may include, but are not limited to, 2 C.F.R. Part 2800 (the DOJ "Part 200 Uniform Requirements") and 28 C.F.R. Parts 22 (confidentiality - research and statistical information), 23 (criminal intelligence systems), 38 (regarding faith-based or religious organizations participating in federal financial assistance programs), and 46 (human subjects protection).

## 18

**Mandatory Disclosure:** Recipients and subrecipients must timely disclose in writing to the Federal awarding agency or pass-through entity, as applicable, all federal criminal law violations involving fraud, bribery, or gratuity that may potentially affect the awarded federal funding. Recipients that receive an award over \$500,000 must also report certain civil, criminal, or administrative proceedings in SAM and are required to comply with the Term and Condition for Recipient Integrity and Performance Matters as set out in 2 C.F.R. Part 200, Appendix XII to Part 200. Failure to make required disclosures can result in any of the remedies, including suspension and debarment, described in 2 C.F.R. § 200.339. 2 C.F.R. § 200.113.

## 19

**Reports/Performance Goals:** To assist the COPS Office in monitoring and tracking the performance of your award, your agency will be responsible for submitting semi-annual programmatic performance reports that describe project activities during the reporting period and quarterly Federal Financial Reports using Standard Form 425 (SF-425). 2 C.F.R. §§ 200.328 - 200.329. The performance report is used to track your agency's progress toward implementing community policing strategies and to collect data to gauge the effectiveness of increasing your agency's community policing capacity through COPS Office funding. The Federal Financial Report is used to track the expenditures of the recipient's award funds on a cumulative basis throughout the life of the award.

## 20

**Recipient Integrity and Performance Matters:** For awards over \$500,000, the recipient agrees to comply with the following requirements of 2 C.F.R. Part 200, Appendix XII to Part 200 – Award Term and Condition for Recipient Integrity and Performance Matters:

### A. Reporting of Matters Related to Recipient Integrity and Performance

#### 1. General Reporting Requirement

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

#### 2. Proceedings About Which You Must Report

Submit the information required about each proceeding that:

a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;

b. Reached its final disposition during the most recent five-year period; and

c. Is one of the following:

- (1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
- (2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
- (3) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
- (4) Any other criminal, civil, or administrative proceeding if:
  - (i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;
  - (ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
  - (iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

### 3. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

### 4. Reporting Frequency

During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

### 5. Definitions

For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

- (1) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and
- (2) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

## 21

System for Award Management (SAM) and Universal Identifier Requirements: The recipient agrees to comply with the following requirements of 2 C.F.R. Part 25, Appendix A to Part 25 – Award Term:

### I. System for Award Management and Universal Identifier Requirements

#### A. Requirement for System for Award Management

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain current information in the SAM. This includes information on your immediate and highest level owner and subsidiaries, as well as on all of your predecessors that have been awarded a Federal contract or Federal financial assistance within the last three years, if applicable, until you submit the final financial report required under this Federal award or receive the

final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another Federal award term.

#### B. Requirement for Unique Entity Identifier

If you are authorized to make subawards under this Federal award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you until the entity has provided its Unique Entity Identifier to you.
2. May not make a subaward to an entity unless the entity has provided its Unique Entity Identifier to you. Subrecipients are not required to obtain an active SAM registration, but must obtain a Unique Entity Identifier.

#### C. Definitions

For purposes of this term:

1. System for Award Management (SAM) means the Federal repository into which a recipient must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM internet site (currently at <https://www.sam.gov>).
2. Unique Entity Identifier means the identifier assigned by SAM to uniquely identify business entities.
3. Entity includes non-Federal entities as defined at 2 CFR 200.1 and also includes all of the following, for purposes of this part:
  - a. A foreign organization;
  - b. A foreign public entity;
  - c. A domestic for-profit organization; and
  - d. A Federal agency.
4. Subaward has the meaning given in 2 CFR 200.1.
5. Subrecipient has the meaning given in 2 CFR 200.1.

#### 22

**Additional High-Risk Recipient Requirements:** The recipient agrees to comply with any additional requirements that may be imposed during the award performance period if the awarding agency determines that the recipient is a high-risk recipient. 2 C.F.R. § 200.208.

#### 23

**Allowable Costs:** The funding under this award is for the payment of approved costs for program-specific purposes. The allowable costs approved for your agency's award are limited to those listed in your agency's award package. In accordance with 2 C.F.R. § 200.400(g), the recipient must forgo any profit or management fee. Your agency may not use award funds for any costs not identified as allowable in the award package.

#### 24

**Computer Network Requirement:** The recipient understands and agrees that no award funds may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography. Nothing in this requirement limits the use of funds necessary for any federal, state, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities. Consolidated Appropriations Act, 2023, Public Law 117-328, Division B, Title V, Section 527.

#### 25

**Domestic preferences for procurements:** Recipient agrees that it, and its subrecipients, to the greatest extent practicable, will provide a preference for the purchase, acquisition, or use of goods, products, and materials produced

in, and services offered in, the United States. 2. C.F.R. § 200.322 and Executive Order 14005, Ensuring the Future is Made in All of America by All of America's Workers, January 25, 2021.

## 26

Extensions: Recipients may request an extension of the award period to receive additional time to implement their award program. Such extensions do not provide additional funding. Only those recipients that can provide a reasonable justification for delays will be granted no-cost extensions. Extension requests must be received prior to the end date of the award. 2 C.F.R. §§ 200.308(e)(2) and 200.309.

## 27

Copyright: If applicable, the recipient may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under this award in accordance with 2 C.F.R. § 200.315(b). The COPS Office reserves a royalty-free, nonexclusive and irrevocable license to reproduce, publish, or otherwise use the work, in whole or in part (including create derivative works), for Federal Government purposes, and to authorize others to do so. The COPS Office also reserves the right, at its discretion, not to publish deliverables and other materials developed under this award as a U.S. Department of Justice resource.

Products and deliverables developed with award funds and published as a U.S. Department of Justice resource will contain the following copyright notice:

"This resource was developed under a federal award and may be subject to copyright. The U.S. Department of Justice reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use the work for Federal Government purposes and to authorize others to do so. This resource may be freely distributed and used for noncommercial and educational purposes only."

## 28

Evaluations: The COPS Office may conduct monitoring or sponsor national evaluations of its award programs. The recipient agrees to cooperate with the monitors and evaluators. 34 U.S.C. § 10385(b).

## 29

Human Subjects Research: The recipient agrees to comply with the provisions of the U.S. Department of Justice's common rule regarding Protection of Human Subjects, 28 C.F.R. Part 46, prior to the expenditure of Federal funds to perform such activities, if applicable. The recipient also agrees to comply with 28 C.F.R. Part 22 regarding the safeguarding of individually identifiable information collected from research participants.

## 30

Requirement to report actual or imminent breach of personally identifiable information (PII).

The recipient (and any subrecipient at any tier) must have written procedures in place to respond in the event of an actual or imminent breach (as defined in OMB M-17-12) if it (or a subrecipient)-- 1) creates, collects, uses, processes, stores, maintains, disseminates, discloses, or disposes of personally identifiable information (PII) (as defined in 2 C.F.R. 200.1) within the scope of a COPS Office grant-funded program or activity, or 2) uses or operates a Federal information system (as defined in OMB Circular A-130). The recipient's breach procedures must include a requirement to report actual or imminent breach of PII to the recipient's COPS Office Program Manager no later than 24 hours after an occurrence of an actual breach, or the detection of an imminent breach.

## 31

Prohibition on Certain Telecommunications and Video Surveillance Services or Equipment: Recipient agrees that it, and its subrecipients, will not use award funds to extend, renew, or enter into any contract to procure or obtain any covered telecommunication and video surveillance services or equipment as described in 2 CFR §200.216. Covered services and equipment include telecommunications or video surveillance services or equipment produced or provided by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities); Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities); or an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity



owned or controlled by, or otherwise connected to, the government of China. The use of award funds on covered telecommunications or video surveillance services or equipment are unallowable.

2. C.F.R. § § 200.216 & 471. See also Section 889 of the John S. McCain National Defense Authorization Act of Fiscal Year 2019, Public Law 115-232.

### 32

**Modifications:** Award modifications are evaluated on a case-by-case basis in accordance with 2 C.F.R. § 200.308(f). For federal awards in excess of \$250,000, any modification request involving the reallocation of funding between budget categories that exceed or are expected to exceed 10 percent (10%) of the total approved budget requires prior written approval by the COPS Office. Regardless of the federal award amount or budget modification percentage, any reallocation of funding is limited to approved budget categories. In addition, any budget modification that changes the scope of the project requires prior written approval by the COPS Office.

### 33

**The Paperwork Reduction Act Clearance and Privacy Act Review:** Recipient agrees, if required, to submit all surveys, interview protocols, and other information collections to the COPS Office for submission to the Office of Management and Budget (OMB) for clearance under the Paperwork Reduction Act (PRA). Before submission to OMB, all information collections that request personally identifiable information must be reviewed by the COPS Office to ensure compliance with the Privacy Act. The Privacy Act compliance review and the PRA clearance process may take several months to complete. 44 U.S.C. §§ 3501-3520 and 5 U.S.C. § 552a.

### 34

**Public Release Information:** The recipient agrees to submit one copy of all reports and proposed publications resulting from this award ninety (90) days prior to public release. Any publications (written, curricula, visual, sound, or websites) or computer programs, whether or not published at government expense, shall contain the following statement:

"This project was supported, in whole or in part, by federal award number [YYYY-XX-XXXX] awarded to [Entity] by the U.S. Department of Justice, Office of Community Oriented Policing Services. The opinions contained herein are those of the author(s) or contributor(s) and do not necessarily represent the official position or policies of the U.S. Department of Justice. References to specific individuals, agencies, companies, products, or services should not be considered an endorsement by the author(s), contributor(s), or the U.S. Department of Justice. Rather, the references are illustrations to supplement discussion of the issues.

The Internet references cited in this publication were valid as of the date of publication. Given that URLs and websites are in constant flux, neither the author(s) nor the COPS Office can vouch for their current validity."

### 35

**Sole Source Justification:** Recipients who have been awarded funding for the procurement of an item (or group of items) or service in excess of \$250,000 and who plan to seek approval for use of a noncompetitive procurement process must provide a written sole source justification to the COPS Office for approval prior to obligating, expending, or drawing down award funds for that item or service. 2 C.F.R. § 200.325(b)(2).

### 36

**Supplementing, not Supplanting:** State, local, and tribal government recipients must use award funds to supplement, and not supplant, state, local, or Bureau of Indian Affairs (BIA) funds that are already committed or otherwise would have been committed for award purposes (hiring, training, purchases, and/or activities) during the award period. In other words, state, local, and tribal government recipients may not use COPS Office funds to supplant (replace) state, local, or BIA funds that would have been dedicated to the COPS Office-funded item(s) in the absence of the COPS Office award. 34 U.S.C. § 10384(a).

### 37

**Travel Costs:** Travel costs for transportation, lodging and subsistence, and related items are allowable with prior approval from the COPS Office. Payment for allowable travel costs will be in accordance with 2 C.F.R. § 200.475.

### 38

Training Guiding Principles: Any training or training materials developed or delivered with award funding provided by the Office of Community Oriented Policing Services is to adhere to the following guiding principles –

1. Trainings must comply with applicable law.

In developing and conducting training under the award, recipients (and any subrecipients) shall not violate the Constitution or any federal law, including any law prohibiting discrimination.

2. The content of trainings and training materials must be accurate, appropriately tailored, and focused.

The content of training programs must be accurate, useful to those being trained, and well matched to the program's stated objectives. Training materials used or distributed at trainings must be accurate, relevant, and consistent with these guiding principles.

3. Trainers must be well-qualified in the subject area and skilled in presenting it.

Trainers must possess the subject-matter knowledge and the subject-specific training experience necessary to meet the objectives of the training. In selecting or retaining a trainer, recipients (or subrecipients) should consider such factors as the trainer's resume and written materials, interviews with the trainer, observation of other trainings conducted by the trainer, feedback from other entities with which the trainer has worked, training participant feedback and evaluations, and the general reputation of the trainer.

4. Trainers must demonstrate the highest standards of professionalism.

Trainers must comport themselves with professionalism. While trainings will necessarily entail varying teaching styles, techniques, and degrees of formality, as appropriate to the particular training goal, professionalism demands that trainers instruct in the manner that best communicates the subject matter while conveying respect for all.

[ ]

*I have read and understand the information presented in this section of the Federal Award Instrument.*

## **Award Acceptance**

### **Declaration and Certification to the U.S. Department of Justice as to Acceptance**

By checking the declaration and certification box below, I--

A. Declare to the U.S. Department of Justice (DOJ), under penalty of perjury, that I have authority to make this declaration and certification on behalf of the applicant.

B. Certify to DOJ, under penalty of perjury, on behalf of myself and the applicant, to the best of my knowledge and belief, that the following are true as of the date of this award acceptance: (1) I have conducted or there was conducted (including by applicant's legal counsel as appropriate and made available to me) a diligent review of all terms and conditions of, and all supporting materials submitted in connection with, this award, including any assurances and certifications (including anything submitted in connection therewith by a person on behalf of the applicant before, after, or at the time of the application submission and any materials that accompany this acceptance and certification); and (2) I have the legal authority to accept this award on behalf of the applicant.

C. Accept this award on behalf of the applicant.

D. Declare the following to DOJ, under penalty of perjury, on behalf of myself and the applicant: (1) I understand that, in taking (or not taking) any action pursuant to this declaration and certification, DOJ will rely upon this declaration and certification as a material representation; and (2) I understand that any materially false, fictitious, or fraudulent information or statement in this declaration and certification (or concealment or omission of a material fact as to either) may be the subject of criminal prosecution (including under 18 U.S.C. §§ 1001 and/or 1621, and/or 34 U.S.C. §§ 10271-10273), and also may subject me and the applicant to civil penalties and administrative remedies under the federal False Claims Act (including under 31 U.S.C. §§ 3729-3730 and/or §§ 3801-3812) or otherwise.

## **Agency Approval**

**Title of Approving Official**  
COPS Director

**Name of Approving Official**  
HUGH CLEMENTS

**Signed Date And Time**  
9/11/23 1:58 PM

**Authorized Representative**



State of Louisiana  
Parish of  
Natchitoches

Contract No. \_\_\_\_\_  
For Office Use Only

**CONTRACT**  
**For Personal, Professional, Consulting or Social Services**  
**Over \$2,000**  
**Between Northwestern State University And**

1. Contractor Legal Name:	Southern University and A&M College				
2. Contractor Street Address:	PO Box 9494				
Contractor City:	Baton Rouge	State:	LA	Zip:	70813

3. Contractor hereby agrees that the responsibility for payment of taxes from the funds thus received under this Contract shall be contractor's obligation and identified under Federal Employer ID or Social Security Number:	REQUIRED <b>72-6000817</b> FED ID or SSN
--	--

4. Contractor hereby agrees to furnish the following services ( if the scope of services are more lengthy than space provided here or contractor requires an additional form of agreement, it may be attached separately and incorporated by reference, i.e., Attachment 1 shall be a part hereof ):  
See Attachment 1, Scope of Work/Budget/Other Terms and Conditions, which is hereby incorporated in full text.

5. Maximum Contract Amount for Services Described in Item 4:	<b>\$1,992,162.00</b>
--	-----------------------

6. If progress and/or completion to the reasonable satisfaction of the State is obtained, payments are scheduled as follows (mark and complete one payable only):

<input type="checkbox"/>	Payable in ( 1 ) one installment of _____ upon completion
<input type="checkbox"/>	Payable in _____ monthly installments of _____ per month
<input type="checkbox"/>	Payable in (multiple) installments of _____
<input checked="" type="checkbox"/>	Payable as follows: Cost reimbursable. See SoW.

7. Travel and Other Reimbursable Expenses (mark one only):

<input type="checkbox"/>	A. Not applicable to contract. Maximum contract amount is for services only.
<input checked="" type="checkbox"/>	B. Maximum contract amount <u>includes</u> travel, lodging, meals and other expenses. <b>Note: Travel expenses detailed to be reimbursed are subject to PPM 49 State Travel regulations; Any other expenses detailed to be reimbursed shall be invoiced and itemized with receipts.</b> <b>State expenses to be reimbursed:</b> _____

8. Payment will be made only on the approval of (name and title):

Dr. Andrew Fultz or Designee

9. Contract Start Date:

July 1, 2023

End Date:

June 30, 2026

10. Other conditions for termination in addition to termination for cause and termination for convenience may be stated here, if any.

**11. Contract**

NORTHWESTERN STATE UNIVERSITY (hereinafter sometimes referred to as "State") and CONTRACTOR AS IDENTIFIED UNDER SECTION 1 (hereinafter sometimes referred to as "Contractor") do hereby enter into contract under the terms and conditions stated herein.

**12. Taxes**

Contractor hereby agrees that the responsibility for payment of taxes from the funds thus received under this Contract and/or legislative appropriation shall be Contractor's obligation and identified under tax identification number in Section 3. In accordance with R.S. 39:1624(A)(10), the Louisiana Department of Revenue must determine that the prospective contractor is current in the filing of all applicable tax returns and reports and in payment of all taxes, interest, penalties, and fees owed to the state and collected by the Department of Revenue prior to the approval of this contract by the Office of State Procurement. The prospective contractor hereby attests to its current and/or prospective compliance, and agrees to provide its seven-digit LDR Account Number to the contracting agency so that the prospective contractor's tax payment compliance status may be verified. The prospective contractor further acknowledges understanding that issuance of a tax clearance certificate by the Louisiana Department of Revenue is a necessary precondition to the approval and effectiveness of this contract by the Office of State Procurement. The contracting agency reserves the right to withdraw its consent to this contract without penalty and proceed with alternate arrangements should the vendor fail to resolve any identified apparent outstanding tax compliance discrepancies with the Louisiana Department of Revenue within seven (7) days of such notification.

**13. Termination For Cause**

The State may terminate this Contract for cause based upon the failure of the Contractor to comply with the terms and/or conditions of the Contract; provided that the State shall give the Contractor written notice specifying the Contractor's failure. If within thirty (30) days after receipt of such notice, the Contractor shall not have either corrected such failure or, in the case which cannot be corrected in thirty (30) days, begun in good faith to correct said failure and thereafter proceeded diligently to complete such correction, then the State may, at its option,

place the Contractor in default and the Contract shall terminate on the date specified in such notice. The Contractor may exercise any rights available to it under Louisiana law to terminate for cause upon the failure of the State to comply with the terms and conditions of this contract; provided that the Contractor shall give the State written notice specifying the State's failure and a reasonable opportunity for the state to cure the defect.

#### 14. Termination For Convenience

The State may terminate the Contract at any time by giving thirty (30) days written notice to the Contractor. The Contractor shall be entitled to payment for deliverables in progress, to extent work has been performed satisfactorily.

#### 15. Remedies for Default

Any claim or controversy arising out of this contract shall be resolved by the provisions of LSA - R.S. 39:1672.2 - 39:1672.4

#### 16. Other Remedies

If the Contractor fails to perform in accordance with the terms and conditions of this Contract, or if any lien or claim for damages, penalties, costs and the like is asserted by or against the State, then, upon notice to the Contractor, the State may pursue all remedies available to it at law or equity, including retaining monies from amounts due the Contractor and proceeding against any surety of the Contractor.

#### 17. Governing Law

This Contract shall be governed by and interpreted in accordance with the laws of the State of Louisiana, including but not limited to La. R.S. 39:1551-1736; rules and regulations; executive orders; standard terms and conditions, special terms and conditions, and this Contract.

Venue of any action brought, after exhaustion of administrative remedies, with regard to this Contract shall be in the Nineteenth Judicial District Court, Parish of East Baton Rouge, State of Louisiana.

#### 18. Ownership

All records, reports, documents and other material delivered or transmitted to Contractor by State shall remain the property of State, and shall be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract. All records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall, upon request, be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.

#### 19. Assignment

The Contractor shall not assign any interest in this contract and shall not transfer any interest in same (whether by assignment or novation), without prior written consent of the State, provided however, that claims for money due or to become due to the Contractor from the State may be assigned to a bank, trust company, or other financial institution without such prior written consent. Notice of any such assignment or transfer shall be furnished promptly to the State.

#### 20. Auditors and Records Retention

It is hereby agreed that the Legislative Auditor of the State of Louisiana and/or the Office of the Governor, Division of Administration and Federal Government auditors shall have the option of auditing all accounts of Contractor which is related to this contract for a period of five years

from the date of final payment under the prime contract and any subcontract. Contractor and subcontractor shall comply with federal and state laws authorizing an audit of their operations as a whole, or of specific program activities.

#### 21. Term of Contract

This contract shall commence and terminate on the dates as stated in Section 9.

#### 22. Fiscal Funding

The continuation of this contract is contingent upon the appropriation of funds to fulfill the requirements of the contract by the legislature. If the legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful

purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date beginning of the first fiscal year for which funds are not appropriated.

#### 23. Confidentiality



Contractor shall protect from unauthorized use and disclosure all information relating to the State's operations and data (e.g. financial, statistical, personal, technical, etc.) that becomes available to the Contractor in carrying out this Contract.

Contractor shall use protecting measures that are the same or more effective than those used by the State. Contractor is not required to protect information or data that is publicly available outside the scope of this Contract; already rightfully in the Contractor's possession;

independently developed by the Contractor outside the scope of this Contract; or rightfully obtained from third parties. Under no circumstance shall the Contractor discuss and/or release information to the media concerning this project without prior express written approval of the State.

#### **24. Amendments**

Any modification to the provisions of this Contract shall be in writing, signed by all parties, and approved by the required authorities.

#### **25. Cybersecurity Training**

In accordance with La. R.S. 42:1267(B)(3) and the State of Louisiana's Information Security Policy, if the Contractor, any of its employees, agents, or subcontractors will have access to State government information technology assets, the Contractor's employees, agents, or subcontractors with such access must complete cybersecurity training annually, and the Contractor must present evidence of such compliance annually and upon request.

The Contractor may use the cybersecurity training course offered by the Louisiana Department of State Civil Service without additional cost or may use any alternate course approved in writing by the State.

#### **26. Code Of Ethics**

The Contractor acknowledges that Chapter 15 of Title 42 of the Louisiana Revised Statutes (R.S. 42:1101 et. seq., Code of Governmental Ethics) applies to the Contracting Party in the performance of services called for in this Contract. The Contractor agrees to immediately notify the State if potential violations of the Code of Governmental Ethics arise at any time during the term of this Contract.

#### **27. Discrimination Clause**

The contractor agrees to abide by the requirements of the following as applicable: Title VI of the Civil Rights Act of 1964 and Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972, Federal Executive Order 11246 as amended, the Rehabilitation Act of 1973, as amended, the Vietnam Era Veteran's Readjustment Assistance Act of 1974, Title IX of the Education Amendments of 1972, the Age Discrimination Act of 1975, the Fair Housing Act of 1968 as amended, and contractor agrees to abide by the requirements of the Americans with Disabilities Act of 1990.

Contractor agrees not to discriminate in its employment practices, and will render services under this contract without regard to race, color, religion, sex, sexual orientation, national origin, veteran status, political affiliation, disabilities or age.

Any act of discrimination committed by Contractor, or failure to comply with these statutory obligations when applicable shall be grounds for termination of this contract.

#### **28. Prohibition of Discriminatory Boycotts of Israel**

In accordance with R.S. 39:1602.1, for any contract for \$100,000 or more and for any contractor with five or more employees, Contractor, or any Subcontractor, shall certify it is not engaging in a boycott of Israel, and shall, for the duration of this contract, refrain from a boycott of Israel.

The State reserves the right to terminate this contract if the Contractor, or any Subcontractor, engages in a boycott of Israel during the term of the contract.

THUS DONE AND SIGNED AT Natchitoches, Louisiana, on the day, month and year signed and dated by the State.

CONTRACTOR SIGNATURE	STATE AGENCY SIGNATURE
<b>Contractor Name</b> <b>Southern University and A&amp;M College</b>	<b>State Agency Name</b> <b>Northwestern State University</b>
<b>Signature</b>	<b>Signature ( * )</b>  <b>( * ) Signature of University President required on contract to bind State</b>
<b>Title</b>	
<b>Date</b>	<b>Title</b>
<b>Telephone No.</b>	<b>Date</b>

**NOTE: For contracts in excess of \$50,000, this contract is not effective until approved by the Director of the Office of State Procurement in accordance with LA R.S. 39:1595.1. It is the responsibility of the contractor to advise the agency in advance if contract funds or contract terms may be insufficient to complete contract.**

Rvsd. 3/22

**ATTACHMENT 1**  
**Statement of Work/Budget/Other Terms and Conditions**

**I. OVERVIEW**

The Louisiana Child Welfare Training Academy (LCWTA) is committed to providing a comprehensive array of training and professional development opportunities to child welfare staff and stakeholders. The LCWTA will strive to develop, through training, coaching, and mentoring, a community of professionals, paraprofessionals and caregivers with relevant knowledge, skills and expertise to effectively intervene with vulnerable children and families involved in Louisiana's child welfare system. The LCWTA is integral in helping the state improve safety, permanency and well-being outcomes for children and families.

LCWTA is a partnership between the Department of Children and Family Services (DCFS), the Pelican Center for Children and Families, and the Louisiana University Child Welfare Workforce Alliance (University Alliance) comprised of university partners from seven social work programs within Louisiana's public universities and one public university's psychology department. The University Alliance members include Southeastern Louisiana University (Southeastern) as the LCWTA Lead, Northwestern State University of Louisiana (NSU) as the Title IV-E Scholars and LCWTA/University Alliance Lead, Grambling State University (GSU), Louisiana State University (LSU), Southern University Baton Rouge (SUBR), Southern University New Orleans (SUNO), and the University of Louisiana at Monroe (ULM), and Nicholls State University.

In collaboration with the LCWTA/Southeastern and DCFS, NSU shall lead the Title IV-E Child Welfare Scholars Program, formerly known as the Title IV-E Stipend Program. This program also includes the DCFS/LCWTA Child Welfare Employee Educational Support Program. The scholars program awards stipends and provides educational support to prospective and current child welfare employees to obtain a Bachelor of Social Work (BSW) or Master of Social Work (MSW) degree.

As part of the collaboration, NSU also provides leadership, coordination, and support to achieve overall LCWTA/University Alliance partnership goals in Recruitment, Retention, Learning, and Infrastructure. In collaboration with the LCWTA and DCFS, NSU shall also lead and support the development of certificate training programs, workforce development simulation activities, clinical supervision of child welfare staff, support groups and the community of practice initiative, and other specialized learning programs at partner universities. In addition, they will expand the capacity of the partnership to provide high quality research and evaluation, and evidence-based practice and implementation models.

## **Mission/Vision**

The mission of the LCWTA and the University Alliance is to work collaboratively to strengthen the recruitment, training, and retention of child welfare professionals to achieve safety, permanency, and well-being of children and families in Louisiana.

The vision is to cultivate excellence in child welfare through competent, qualified, dedicated, and supported child welfare professionals, who in partnership with families and communities, will transform the system and achieve outcomes supporting thriving children and families. Four key goals of the partnership include: (1) Recruitment: Recruit competent, dedicated child welfare professionals; (2) Retention: Support the retention of child welfare professionals; (3) Learning: Offer comprehensive quality learning opportunities; and (4) Infrastructure: Build capacity to effectively and efficiently fulfill the LCWTA University Alliance mission. These goals are carried out within the five arcs of success that include Outstanding Customer Service; Impressive Delivery of Training and Expansion of Learning/Learning Opportunities; Measuring and Communicating Outcomes; Blending/Merging Operations within the LCWTA/University Alliance Partnership; and Fiscal Responsibility.

## **II. SCOPE OF WORK**

NSU shall lead the a) Title IV-E Student Scholars Program, including the Child Welfare Employees Educational Support Program and Title IV-E Child Welfare Scholars Community of Practice Professional Development, Title IV-E Support Groups, and related recruitment, learning, and retention goals; b) the Social Work Advanced Practice and Clinical Supervision Program to support child welfare employees becoming advanced social work practitioners; c) research and evaluation capacity building within the partnership; and d) other child welfare workforce recruitment, retention and learning goals committed to on behalf of the LCWTA, University Alliance and DCFS. This includes expanding and leveraging the strengths of partnering universities to expand certificate programs in advanced areas of practice, to offer more engaging, interactive, accessible learning experiences through practice simulations, community of practice groups, and other state-of-the-art teaching and learning practices, support advanced social work licensure, and overall capacity building and investment in the child welfare workforce at the university, department, and community level.

NSU shall provide programmatic and fiscal direction and oversight for each program and serve as a core member of the LCWTA Steering Committee and other committees and work groups where needed to support achievement of DCFS and LCWTA/University Alliance goals.

### **University Alliance**

NSU shall subcontract with Grambling State University, Louisiana State University, Nicholls State University, Southern University at Baton Rouge, Southern University at New Orleans, and the University of Louisiana at Monroe, and as agreed upon by the partnership other universities, to operate a scholars program within their respective universities and support achievement of agreed upon learning, recruitment, and retention goals.

This program relies on funds generated through identifying Certified Public Expenditures universities expend toward the further provision of training child welfare workers to serve Title IV-E eligible children and implementation of child welfare workforce development strategies.

### **Title IV-E Funding:**

This project relies on reimbursement of costs incurred while delivering child welfare training and education services under Title IV-E of the Social Security Act. The reimbursement of Title IV-E from the federal government will be provided to DCFS. DCFS retains the right to gather and audit any information pertaining to substantiating the claiming of Title IV-E dollars. Reimbursement to DCFS is based on the following: All education and training costs associated with child welfare preparation and worker skill enhancement are submitted as the cost is incurred. Each dollar spent is then discounted by the states IV- E penetration rate and then the appropriate Federal Financial Participation rate is applied (75% for training, and 50% for administrative activities).

### **Responsibilities:**

#### **A. NSU Shall**

1. Provide payment to the SUBR within 30 calendar days of submission of completed and accurate invoices. NSU shall provide immediate communication regarding the need for any additional information so processing of the payment will not be delayed.
2. Provide technical assistance regarding rules, regulations, and policies governing the Title IV-E Program agreement.

3. Review all contract and agreement forms to be utilized for contractual agreements with other universities and/or professionals for compliance with Title IV-E requirements prior to the finalization of the agreements.

4. Review SUBR's expenditures to ensure that Title IV-E funds are expended appropriately for allowable expenditures during the contract period. If SUBR fails to expend the Title IV-E funds in accordance with this contract NSU shall meet with SUBR to determine the cause of the deviation, discuss a performance improvement plan necessary to alleviate the problem, and set a deadline for the performance improvement plan to be implemented.

5. Review SUBR's performance measures on a quarterly basis to ensure the outcomes set forth are being achieved during the contract period. The contract monitor will meet with the university at least quarterly to discuss the contract outcomes, any special projects, and all other terms and agreements contained within this contract.

6. Review monthly cost reports and backup documentation for every expenditure in accordance with the monitoring plan and determine if the charges are allowable. Backup documentation submitted each month must include payroll records for direct reimbursement and Certified Public Expenditures. If deficiencies are detected in the review of invoices, NSU will request clarification or additional information, and may, if warranted, request back up documentation on additional invoices both past and future. If any overpayments are determined from the review, the recoupment of the overpayment will occur on future invoices.

7. Assign specific agency personnel to serve as a liaison and monitor. The person will be responsible for monthly review of the request for cost reimbursement; quarterly reports; and ongoing meetings with SUBR to discuss program operations.

8. Provide criteria for stipend recipients set forth by DCFS and be available on matters related to the development of child welfare curriculum as needed.

9. There will be no known relationship or association between SUBR and employees of NSU which would be prohibited by the Code of Ethics (such as family relationships or business association), or which would give the appearance of affecting the judgment of employees in negotiating, monitoring or paying for this service.

B. SUBR shall:

1. Assign specific university personnel to serve as a liaison and monitor. The person will be responsible for monthly review of the request for cost reimbursement;

quarterly reports; and ongoing meetings with NSU to discuss program operations including attending all quarterly alliance meetings.

2. Retain all books, records, and other documents relevant to the contract and funds expended thereunder for at least five (5) federal fiscal years after final payment or as described in 45 CFR 235.61 and 235.63 through 235.66(a) whichever is longest.

3. Grant to the state of Louisiana, through the Office of the Legislative Auditor, DCFS, Inspector General Office, Federal Government and/or other such officially designated body, the right to inspect and review all books and records pertaining to services rendered under this contract

4. Grant permission, as evidenced by the signing of this contractual agreement to DCFS to request, receive, and communicate with the Office of the Legislative Auditor or other auditing firm regarding any audit concerns or findings as they relate to the performance of any audit conducted for the provision of Title IV-E funded services under this agreement.

5. Comply with applicable federal and/or state laws (31 USC 7501 through 7507, Revised OMB Circular A-133, 45 CFR, Vol.1 and LA R.S. 24:513 and 514) pertaining to required audits or annual financial statement of NSU Title IV-E program operation as a whole, or of specific program activities.

6. Ensure all service delivery providers and subcontractors are informed of any applicable audit requirements and that all necessary requirements are complied with. NSU shall have the option to conduct an audit for any and all service delivery providers to ensure compliance.

7. Submit invoices for services and backup documentation (administrative consortium costs separated from the program or service unit costs) rendered by the 20th of each subsequent month. June invoices must be submitted no later than July 12th • Backup documentation will include payroll records for direct reimbursement and certified public expenditures. Invoices should be sent to NSU at the following address:

**Northwestern State University**  
Title IV-E Program  
343K Kyser Hall  
Northwestern State University  
Natchitoches, LA 71497  
Attention: Tonie Sonnier



Email: [harwellt@nsula.edu](mailto:harwellt@nsula.edu)

Phone: 318-357-6880

8. Repay, to NSU, any federal sanction or penalty amount (not to exceed the amount received under this contract) determined by the single state audit or other reviews only if the sanction or penalty is directly related to the services provided pursuant to this contract and is imposed as a result of SUBR's failure to comply with agreements of and or federal policy/law or as otherwise stated.

9. Inform NSU' s contract manager within 7 business days of any legislative or federal audit findings directly related to the Title IV-E funded training program. A copy of the pertinent audit report will be submitted to the following address:

**Northwestern State University**

Department of Social Work

149 Kyser Hall

Northwestern State University

Natchitoches, LA 71497

Attention: Tonie Sonnier

Email: [harwellt@nsula.edu](mailto:harwellt@nsula.edu)

Phone: 318-357-6880

10. Submit quarterly, a status report regarding program progress and subcontractor program progress toward meeting the state outcomes for the Title IV-E program, including a report on program goals and objectives, performance measures, and quarterly expenditures to NSU. Reports should include any barriers or concerns that would deter the contractor and/or subcontractors from realizing success in the service delivery or funding of the program.

11. Be responsible for the maintenance of documentation of training and services provided and detailed expenditure data as provided by law.

12. Communicate in writing requests for any programmatic or budgetary changes for review and approval by NSU and the LCWTA

13. There will be no known relationship or association between SUBR and employees of NSU which would be prohibited by the Code of Ethics (such as family relationships or business association), or which would give the appearance of affecting the judgment of employees in negotiating, monitoring or paying for this service.

14. By signing and executing this agreement SUBR agrees and understands the following:

a. Title IV-E funds received pursuant to the attached contract are for the stated fiscal years and are non-recurring funds. Receipt of these funds does not guarantee funding past the expiration date specified in this contract. NSU agrees to conduct the planning and Implementation of specified initiative, taking into consideration these funds are for the contract fiscal years pending further negotiation of agency training plans.

b. Funding is for the specific contract period only.

**Funding Agreements, Conditions, Payment Terms, and Administrative Allocations:**

A. Funding for this program is contingent upon availability and appropriation of Title IV-E funds, and the ability of SUBR and other universities generating a sufficient amount of Certified Public Expenditures to claim Title IV-E dollars to provide full financial support for the program. All Certified Public Expenditures identified in the projected budget shall be billed each month. Invoices shall reflect the total eligible expenses; the amount of reimbursement to be directed to each university, at its request; and the portion of reimbursement each university is directing to the LCWTA and associated University Alliance efforts toward child welfare workforce development and retention. On an annual basis, unless otherwise directed and agreed by LCWTA, up to 10% SUBR's reimbursement shall be directed to the LCWTA-University Alliance partnership's overall efforts to support stipend graduates and others working in the child welfare system through training and professional development, support groups, clinical supervision, and other child welfare workforce development and retention activities.

B. All funds generated in excess of those necessary to support program operations shall be maintained by Southeastern in the LCWTA/Southeastern-University Alliance Fund (LCWTA Fund) for the exclusive use of the LCWTA and associated University Alliance. The balance of funds in excess of those necessary for the efficient use of the LCWTA shall be disclosed to all University Alliance members by August 30th of each year. All universities will be asked to participate in an annual planning meeting to identify and prioritize opportunities for expanding and strengthening the LCWTA partnership.

Example:

University X generates eligible IV-E expenses= \$150,000

UX request reimbursement of Title IV-E eligible expenses based on approved budget= \$130,000 UX authorizes remainder to CWTA/SLU-Alliance Fund= \$20,000

C. As a party to this agreement, SUBR understands and agrees to the following. Title IV-E funds shall:

1. Be used only for the designated purposes. Any overpayments will be offset from future payments within the contract period.
2. Be utilized in accordance with the legislative intent as specified within 45 CFR 235.61.
3. Used for the provision of services during the contract period.

D. Administrative expenses for Title IV-E funded services shall be reimbursable through the contract using the budget template. These expenses should remain segregated from programmatic costs.

E. Requests to redirect or reallocate funds shall be communicated, in writing, to NSU for review and approval.

F. SUBR shall submit invoices for services rendered by the 20th day after the month's end. June invoice must be submitted no later than July 1 2th to coincide with the fiscal year end. Failure to submit fiscal year end invoice by the designated date may result in non-payment.

G. Documentation deemed acceptable to support invoices for services shall be maintained by SUBR and made available upon request by NSU.

H. This contract is subject to and contingent upon the availability and appropriation of Federal and/or State funds; and no liability or obligation for payment will develop between the parties until the contract has been approved by required authorities of Northwestern State University of Louisiana and Southern University.

I. Funding for this agreement is subject to revisions at the discretion of NSU and the LCWTA.

J. Funding for this agreement is one-time and non-recurring. SUBR shall inform any and all subcontractors that funding for service delivery specified in this agreement is one time and non-recurring.

K. NSU shall ensure all invoicing for services rendered under this contract are submitted timely, and requests for reimbursement are received by NSU no later than

the 20th day after the end of the month. Invoices not received by these dates may be subject to non-payment.

## **Performance Measures**

A. SUBR will award stipends/educational support to students in accordance with their approved budget.

B. SUBR will continue to develop and implement the Simulation Lab program with students and DCFS employees and partner with the NSU Title IV-E Statewide team to publish and present findings related to the sim lab.

C. SUBR will submit invoices and backup documentation in accordance with the contract terms in the attached Scope of Work.

D. SUBR will ensure that a contract and other required paperwork is completed in a timely manner for each stipend student.

E. SUBR, in collaboration with DCFS, will assist with selecting supervisors and place students in the appropriate DCFS office and provide orientation to the assigned Field supervisor (instructor).

F. SUBR will provide ongoing monitoring of the field placement experience in accordance with their program policies.

G. SUBR will complete and submit timely data collection for the scholars and certificate program enrollees as designated by NSU, DCFS, and/or the LCWTA and cooperate with all outcome evaluation efforts. This includes, but not limited to, the following information related to student information and outcomes:

1. Student email address;
2. Student personal address;
3. Student birthdate;
4. Student address (temporary and permanent);
5. Updates on progress in the field placement;
6. Graduation status, including dates of graduation or reasons for not graduating;
7. In the event that a student is removed from the program, the information as to why the removal occurred.

H. SUBR will submit quarterly reports to NSU on Title IV-E activities and performance measures.

I. Complete and provide accurate workload distributions each semester/term in order to assist in accurate documentation of time related to the distribution of time (training and administrative) for each individual charged to the grant for reimbursement or for generating CPEs.

J. Provide documentation of child welfare course curriculum to NSU in order to standardize these courses required for potential scholars across the state. SUBR agrees to align these course offerings with the other universities across the state to ensure continuity of training.

### **Monitoring Plan**

NSU will assign specific agency personnel to serve as a liaison and monitor. The person will be responsible for monthly review of the request for cost reimbursement; quarterly reports; and ongoing meetings with SUBR to discuss program operations.

### **Confidentiality**

Contractor shall protect from unauthorized use and disclosure all information relating to the State's operations and data (e.g., financial, statistical, personal, technical, etc.) that become available to the Contractor in carrying out this Contract. Contractor shall use protecting measures that are the same or more effective than those used by the State. Contractor is not required to protect information or data that is publicly available outside the scope of this Contract; already rightfully in the Contractor's possession; independently developed by the Contractor outside the scope of this Contract; or rightfully obtained from third parties.

### **Data/Record Retention**

Contractor shall retain all its books, records, and other documents relevant to this contract and the funds expended hereunder for at least five (5) years after final payment, or as required by applicable Federal law, if Federal funds are used to fund this Contract. Contractor shall comply with all applicable State and Federal laws regarding data retention and provide for a transition period that accommodates all data retention requirements of the State, including data retained and length of retention, following Contract termination, regardless of the reason for Contract termination. Additionally, all State data must be sanitized in compliance with the most currently approved revision of NIST SP 800-66.

### **Modifications**

Any changes to the scope of work as listed will require the written approval of both parties.

### **Substitution of Key Personnel**

The Contractor's personnel assigned to this Contract shall not be replaced without the written consent of the State. Such consent shall not be unreasonably withheld or delayed provided an equally qualified replacement is offered. In the event that any State or Contractor personnel become unavailable due to resignation, illness, or other factors, excluding assignment to project outside this contract, outside of the State's or Contractor's reasonable control, as the case may be, the State or the Contractor, shall be responsible for providing an equally qualified replacement in time to avoid delays in completing tasks. The contractor will make every reasonable attempt to assign the personnel listed in contract.

### **Title IV-E Reimbursement**

Reimbursement requested by the universities is directly related to costs incurred to administer the program from DCFS (State Title IV-E Agency). The reimbursement to the individual universities is not from the federal awarding agency and is considered state funding. The costs of the program are related to salary/fringe of personnel hired to administer the Title IV-E program, operating costs, travel costs, supplies, and the amount for stipends. The reimbursement to the university is not tied to the claiming of funds to the Federal Title IV-E agency. The reimbursement should be used in accordance with the budget document.

**SECTION A. SALARY – (Contracted employees not included)**

Complete this section only for expenses that will be invoiced to the contract. Percentage of salary charged to contract must correlate to the actual percentage of time worked in the program.

NAME POSITION/TITLE	ANNUAL SALARY	% OF TIME TO PROGRAM	TOTAL
Xavier Henson, Principal Investigator	\$13,950		\$13,950
Patsy Johnson, Director Trg, IV-E Coordinator	\$83,543	100%	\$83,543
Bronwynn Dickson, Project Manager	\$65,868	100%	\$65,868
Shirley Jones, Executive Clerical Asst. – Sum.	\$13,125	100%	\$13,125
Executive Clerical Asst - TBN	\$28,080	100%	\$28,080
Lillian Smith, Senior Program Trainer	\$28,500	100%	\$28,500
Charmaine Magee, Program Trainer	\$36,608	100%	\$36,608
Shirley Jones, Training Logistics Spec(Pt time)	\$17,280	100%	\$17,280
Stephen Gaines, Training Logistics Spec(Pt time)	\$26,000	100%	\$26,000
<b>SECTION A. TOTAL</b>			<b>\$312,954</b>

**SECTION B. Fringe Benefits**

Note: Itemize the fringe benefits for each position listed. Fringe benefits are not included in gross salary.

<b>NAME POSITION/TITLE</b>	<b>Annual Salary</b>	<b>Fringe Rate</b>	<b>Total</b>
Xavier Henson, Principal Investigator	\$13,950		\$ 4,039
Patsy Johnson, Director Trg, IV-E Coordinator	\$83,543	26.62%	\$22,239
Bronwynn Dickson, Project Manager	\$65,868	37.12%	\$24,451
Shirley Jones, Executive Clerical Asst. – Sum.	\$13,125	26.62%	\$ 3,494
Executive Clerical Asst - TBN	\$28,080	37.12%	\$10,423
Lillian Smith, Senior Program Trainer	\$28,500	7.72%	\$ 2,200
Charmaine Magee, Program Trainer	\$36,608	37.12%	\$13,589
Shirley Jones, Training Logistics Spec(Pt time)	\$17,280	7.72%	\$ 1,334
Stephen Gaines, Training Logistics Spec(Pt time)	\$26,000	7.72%	\$ 2,007
<b>SECTION B. TOTAL</b>			<b>\$83,776</b>



**SECTION C. TRAVEL EXPENSES**

Complete this section only for expenses identified to the contract. Expenditures for training and travel for contract related purposes as authorized in the contract and in accordance with State of Louisiana Travel Policies and Procedures (**PPM 49**) unless otherwise stated in the contract such as, registration fees, mileage, meals, lodging, etc.

LINE ITEM	BUDGET PERIOD TOTAL
Administrative Travel	\$8,475
Training Travel	\$9,282
<b>SECTION C. TOTAL</b>	<b>\$17,757</b>

**SECTION D. OPERATING EXPENSES**

Operating services include, but are not limited to, expenditures such as advertising, utilities, telephone services, printing, insurance, maintenance, rentals, dues and subscriptions, and communication services.

LINE ITEM	BUDGET PERIOD TOTAL
Printing, Postage, Parking Passes, Software, Advertising	\$12,000
<b>SECTION D. TOTAL</b>	<b>\$12,000</b>

**SECTION E. SUPPLIES**

Expenditures for articles and commodities which are consumed, to be consumed, or materially altered when used in the operations of a business. List each type with complete description of item and costs. For purposes of this contract all technology will be classified as supplies. **Attach a detailed explanation of these charges.**

LINE ITEM	BUDGET PERIOD TOTAL
Office Supplies (Computer supplies, pens, ink, etc...)	\$10,000
Training Materials	\$10,000
<b>SECTION E. TOTAL</b>	<b>\$20,000</b>

**SECTION F. EQUIPMENT**

Complete this section only for expenses identified to the contract. Include tangible assets purchased for use in the operations of an office such as, office machines and furniture. Cost would include purchase price, delivery charges, taxes, and other purchase related costs. Equipment is defined as any item of value and/or has a useful life of more than one (1) year. The value of equipment is defined by the user agency and funding source.

LINE ITEM	BUDGET PERIOD TOTAL
<b>SECTION F. TOTAL</b>	

**SECTION G. PROFESSIONAL SERVICES**

Expenditures for services provided in specialized or highly technical fields by sources outside of the contractor. Professional services include accounting and auditing, management consulting, engineering and architectural, legal, medical, and dental. (**Subcontracts and non-salaried personnel should be included in this section.**)

<b>LINE ITEM</b>	<b>BUDGET PERIOD TOTAL</b>
Operations Assistant-SAdolph	\$ 7,200
Standardized Client/F-KWashington	\$20,000
Standardized Client/F-LStephens	\$20,000
Standardized Client-LCrockett	\$20,000
Standardized Client/Technical Support Spec.-JCurry	\$13,600
Standardized Client-Sallen	\$12,800
Standardized Client-ZWilliams	\$12,000
SMEs-Law Enforcement MSW, LCSWs, BACS, Child Welfare Experts, & other professionals	\$35,000
<b>SECTION G. TOTAL</b>	<b>\$140,600</b>

**SECTION H. STUDENT STIPENDS**

Complete this section only for expenses identified to the contract. Include Stipend Amount and number of stipends awarded in a fiscal year period.

LINE ITEM	BUDGET PERIOD TOTAL
Stipends – 3 BSW @ \$10,000	\$30,000
<b>SECTION H. TOTAL</b>	<b>\$30,000</b>

**SECTION I. Administrative Fee**

Complete this section only for expenses identified to the contract. Indirect costs should be no more than the agreed on budgeted amount. **Attach a copy of the contractor’s approved indirect rate agreement or rate plan.**

LINE ITEM	BUDGET PERIOD TOTAL
8% Administrative Fee	\$46,967
<b>SECTION I. TOTAL</b>	<b>\$46,967</b>

### BUDGET SUMMARY

All budget justifications including computation of this budget must be retained and provided upon request. Funding for this program is contingent upon availability and appropriation of Title IV-E funds, and the ability of the University Alliance members to generate a sufficient amount of Certified Public Expenditures to claim Title IV-E dollars to support the program. Total Provider Share (Match) will be based on actual expenditures. Contractor is responsible for all cost incurred which are not agreed upon for providing services through this contract.

BUDGET CATEGORY	Total	Three Year Contract Total
Section A: Salaries	\$312,954	\$931,332
Section B: Fringe Benefits	\$ 83,776	\$251,290
Section C: Travel	\$17,757	\$ 47,757
Section D: Operating	\$ 12,000	\$ 42,000
Section E: Supplies	\$ 20,000	\$ 67,082
Section F: Equipment	\$ 0	\$ 0
Section G: Professional Services	\$140,600	\$421,800
Section H: Student Stipends	\$ 30,000	\$ 90,000
Section I: Administrative Fee	\$ 46,967	\$140,901
<b>Total</b>	<b>\$664,054</b>	<b>\$1,992,162</b>

**SECTION A. SALARY – (Contracted employees not included)**

Complete this section only for expenses that will be invoiced to the contract. Percentage of salary charged to contract must correlate to the actual percentage of time worked in the program.

NAME POSITION/TITLE	ANNUAL SALARY	% OF TIME TO PROGRAM	TOTAL
Xavier Henson, Principal Investigator	\$13,950		\$13,950
Patsy Johnson, Director Trg, IV-E Coordinator	\$83,543	100%	\$83,543
Bronwynn Dickson, Project Manager	\$65,868	100%	\$65,868
Executive Clerical Asst - TBN	\$37,440	100%	\$37,440
Lillian Smith, Senior Program Trainer	\$28,500	100%	\$28,500
Charmaine Magee, Program Trainer	\$36,608	100%	\$36,608
Shirley Jones, Training Logistics Spec(Pt time)	\$17,280	100%	\$17,280
Stephen Gaines, Training Logistics Spec(Pt time)	\$26,000	100%	\$26,000
<b>SECTION A. TOTAL</b>			<b>\$309,189</b>

**SECTION B. Fringe Benefits**

Note: Itemize the fringe benefits for each position listed. Fringe benefits are not included in gross salary.

<b>NAME POSITION/TITLE</b>	<b>Annual Salary</b>	<b>Fringe Rate</b>	<b>Total</b>
Xavier Henson, Principal Investigator	\$13,950		\$ 4,039
Patsy Johnson, Director Trg, IV-E Coordinator	\$83,543	26.62%	\$22,239
Bronwynn Dickson, Project Manager	\$65,868	37.12%	\$24,451
Executive Clerical Asst - TBN	\$37,440	37.12%	\$13,898
Lillian Smith, Senior Program Trainer	\$28,500	7.72%	\$ 2,200
Charmaine Magee, Program Trainer	\$36,608	37.12%	\$13,589
Shirley Jones, Training Logistics Spec(Pt time)	\$17,280	7.72%	\$ 1,334
Stephen Gaines, Training Logistics Spec(Pt time)	\$26,000	7.72%	\$ 2,007
<b>SECTION B. TOTAL</b>			<b>\$83,757</b>

**SECTION C. TRAVEL EXPENSES**

Complete this section only for expenses identified to the contract. Expenditures for training and travel for contract related purposes as authorized in the contract and in accordance with State of Louisiana Travel Policies and Procedures (**PPM 49**) unless otherwise stated in the contract such as, registration fees, mileage, meals, lodging, etc.

LINE ITEM	BUDGET PERIOD TOTAL
Administrative Travel	\$10,000
Training Travel	\$ 5,000
<b>SECTION C. TOTAL</b>	<b>\$15,000</b>

**SECTION D. OPERATING EXPENSES**

Operating services include, but are not limited to, expenditures such as advertising, utilities, telephone services, printing, insurance, maintenance, rentals, dues and subscriptions, and communication services.

LINE ITEM	BUDGET PERIOD TOTAL
Printing, Postage, Parking Passes, Software, Advertising	\$15,000
<b>SECTION D. TOTAL</b>	<b>\$15,000</b>



**SECTION E. SUPPLIES**

Expenditures for articles and commodities which are consumed, to be consumed, or materially altered when used in the operations of a business. List each type with complete description of item and costs. For purposes of this contract all technology will be classified as supplies. **Attach a detailed explanation of these charges.**

LINE ITEM	BUDGET PERIOD TOTAL
Office Supplies (Computer supplies, pens, ink, etc...)	\$10,000
Training Materials	\$13,541
<b>SECTION E. TOTAL</b>	<b>\$23,541</b>

**SECTION F. EQUIPMENT**

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LINE ITEM	BUDGET PERIOD TOTAL
<b>SECTION F. TOTAL</b>	

**SECTION G. PROFESSIONAL SERVICES**

Expenditures for services provided in specialized or highly technical fields by sources outside of the contractor. Professional services include accounting and auditing, management consulting, engineering and architectural, legal, medical, and dental. **(Subcontracts and non-salaried personnel should be included in this section.)**

LINE ITEM	BUDGET PERIOD TOTAL
Operations Assistant-SAdolph	\$ 7,200
Standardized Client/F-KWashington	\$20,000
Standardized Client/F-LStephens	\$20,000
Standardized Client-LCrockett	\$20,000
Standardized Client/Techincal Support Spec.-JCurry	\$13,600
Standardized Client-Sallen	\$12,800
Standardized Client-ZWilliams	\$12,000
SMEs-Law Enforcement MSW, LCSWs, BACS, Child Welfare Experts, & other professionals	\$35,000
<b>SECTION G. TOTAL</b>	<b>\$140,600</b>

**SECTION H. STUDENT STIPENDS**

Complete this section only for expenses identified to the contract. Include Stipend Amount and number of stipends awarded in a fiscal year period.

LINE ITEM	BUDGET PERIOD TOTAL
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Stipends – 3 BSW @ \$10,000	\$30,000
<b>SECTION H. TOTAL</b>	<b>\$30,000</b>

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LINE ITEM	BUDGET PERIOD TOTAL
8% Administrative Fee	\$46,967
<b>SECTION I. TOTAL</b>	<b>\$46,967</b>

### BUDGET SUMMARY

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Section C: Travel	\$15,000	\$ 47,757
Section D: Operating	\$ 15,000	\$ 42,000
Section E: Supplies	\$ 23,541	\$ 67,082
Section F: Equipment	\$ 0	\$ 0
Section G: Professional Services	\$140,600	\$421,800
Section H: Student Stipends	\$ 30,000	\$ 90,000
Section I: Administrative Fee	\$ 46,967	\$140,901
<b>Total</b>	<b>\$664,054</b>	<b>\$1,992,162</b>

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<b>SECTION A. TOTAL</b>			<b>\$309,189</b>

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<b>SECTION C. TOTAL</b>	<b>\$15,000</b>

**SECTION D. OPERATING EXPENSES**

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Standardized Client-Sallen	\$12,800
Standardized Client-ZWilliams	\$12,000
SMEs-Law Enforcement MSW, LCSWs, BACS, Child Welfare Experts, & other professionals	\$35,000
<b>SECTION G. TOTAL</b>	<b>\$140,600</b>

**SECTION H. STUDENT STIPENDS**

Complete this section only for expenses identified to the contract. Include Stipend Amount and number of stipends awarded in a fiscal year period.

LINE ITEM	BUDGET PERIOD TOTAL
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<b>SECTION H. TOTAL</b>	<b>\$30,000</b>

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LINE ITEM	BUDGET PERIOD TOTAL
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<b>SECTION I. TOTAL</b>	<b>\$46,967</b>

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Section I: Administrative Fee	\$ 46,967	\$140,901
<b>Total</b>	<b>\$664,054</b>	<b>\$1,992,162</b>

## MEMORANDUM:

FROM: Dr. Catrice L. Tolbert, Executive Director  
Louisiana Center for Prevention Resources (LCPR)

DATE: October 3, 2023

RE: Selection of Performance First Media

Dear Chancellor Pierre,

This email communication is an explanation of the process for selecting Performance First Media for our Statewide Media campaign contract. In our 2021-2022 budget, we were allocated funds to develop the media and marketing for LCPR. It was at that time that we researched and sought out media firms in the Baton Rouge area. Unfortunately, we were unable to obtain any firms in the Baton Rouge area because the firms were unwilling to work with SU due to financial concerns (payment) for services in a timely manner or they wanted payment before services were rendered. Needless to say, we did not fulfill the deliverable due to the inability to find a company by the end of the contract. As we fast-forward to this contract, I began looking outside of Baton Rouge because of my prior experience in the area and reached out to other universities and companies who had used marketing firms in the New Orleans area. In my research, there were two firms in which I was provided names. I researched each firm, reached out to them, and ultimately connected with Performance First which has a stellar marketing and media portfolio. I have attached the portfolio. Performance First has been willing to work with us and has been meeting with us to ensure that we can meet our deliverables for this contract in the time period.

It is my hope that we are able to approve this media company because of their skills and willingness to work with us.

Your attention to this statement is deeply appreciated. If any other information is needed, please do not hesitate to contact me.

# Subaward Agreement

Institution/Organization ("Prime Recipient")

Name: **Southern University and A&M College**

Prime Award No.: **2000732888**

Awarding Agency:

**Louisiana Department of Health**

Institution/Organization ("Subrecipient")

Name: **Performance First Media, LLC**

Subaward No.: **OSP-02-8300-2023-0010**

CFDA #:

Amount Funded This Action: Est. Total (if incrementally funded)

**\$ 750,000.00**

**Office of Behavioral Health**

Subaward Period of Performance:

Budget Period: From:

**July 1, 2022**

To:

**March 1, 2024**

Estimated Project Period (if incrementally funded):

From:

To:

Project Title:

**Statewide Media Campaign**

Reporting Requirements (Check here if applicable):

See Attachment 4

FFATA (Attachment 3B)

ARRA Funds (Attachment 4A)

4A)

## Terms & Conditions

- 1) Prime Recipient hereby awards a fee for service basis subaward, as described above, to Subrecipient. The statement of work and budget for this subaward are as shown in Attachment 4. In its performance of the subaward work, Subrecipient shall be an independent entity and not an employee or agent of Prime Recipient.
- 2) Prime Recipient Shall reimburse Subrecipient not more often than monthly for allowable costs. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), subaward number, and certification as to truth and accuracy of invoice. *Invoices that do not reference Prime Recipient's Subaward Number shall be returned to Subrecipient.* Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party as shown in Attachment 3A.
- 3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL" must be submitted to the appropriate party as shown in Attachment 3A, NOT LATER THAN thirty (30) days after subaward end date. The final statement of costs shall constitute Subrecipient's final financial report.
- 4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient. Prime recipient reserves the right to reject an invoice.
- 5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Principal Investigator, as shown in Attachment 3A. Technical reports are required as shown above, "Reporting Requirements".
- 6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement, and any changes requiring prior approval, should be directed to the appropriate party as shown in Attachment 3A. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official as shown in Attachments 3A & 3B.
- 7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or director's, to the extent allowed by law.
- 8) Either party may terminate this subaward with thirty days written notice to the appropriate party's Contact as shown in Attachments 3A & 3B. Prime Recipient shall pay Subrecipient for termination costs as allowable under 2 CFR 200.471, as applicable.
- 9) No-cost extensions require the approval of the Prime Recipient. Any requests for a no-cost extension should be addressed to and received by the appropriate party, as shown in Attachment 3A, not less than sixty (60) days prior to the desired effective date of the requested change.
- 10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachment 2.
- 11) By signing below Subrecipient makes the certifications and assurances shown in Attachments 1 and 2. Subrecipient also assures that it will comply with applicable statutory and regulatory requirements.

By an Authorized Official of Prime Recipient

By an Authorized Official of Subrecipient

*Krista Pouncy-Dyson*

09.5.2023

Date

Date

**Attachment 1  
Subaward Agreement  
Certifications and Assurances**

By signing the Subaward Agreement, the authorized official of Subrecipient certifies, to the best of his/her knowledge and belief that:

**Certification Regarding Lobbying**

- 1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- 2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Subrecipient shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying", to the Prime Recipient.
- 3) The Subrecipient shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**Debarment, Suspension, and Other Responsibility Matters**

Subrecipient certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency.

**OMB 2 CFR 200 Uniform Assurance**

Subrecipient assures Prime Recipient that it complies with 2 CFR Subpart F, 200.500 and that it will notify Prime Recipient of completion of required audits and of any adverse findings which impact this subaward.

**Attachment 2**  
**Subaward Agreement**  
**Louisiana Department of Health, Office of Behavioral Health**  
**Prime Award Terms and Conditions**

**Certifications/Assurances**

1. By signing this Subaward Agreement Subrecipient makes the certifications and assurances specified in the Terms and Conditions found in the Prime State Contract.

**General terms and conditions** as of the effective date of this Subaward Agreement:

1. The restrictions on the expenditure of federal funds in appropriations acts are applicable to this subaward to the extent those restrictions are pertinent.
2. OMB 2 CFR Part 200, as applicable.
3. This subaward is subject to the Terms and Conditions found in the Prime State Contract (Attachment 5) and any prior approvals are to be sought from the Prime Recipient and not the Awarding Agency.

***Special terms and conditions:***

**All invoices must include the following certification (or something substantially similar) and the Purchase Order Number:**  
"I certify to the best of my knowledge and belief that the billed costs or disbursements are in accordance with the terms and conditions of the subaward and that payment is due and has not previously been requested." **Send invoices to OSP@subr.edu.**

**Audit:** The Comptroller General of the United States or a duly authorized representative from the General Accounting Office or any other appropriate Federal agency, as well as the Legislative Auditor of the State of Louisiana and/or the Office of the Governor, Division of Administration, and/or Prime Recipient shall have access to and the right to examine and/or audit any of the Subrecipient's directly pertinent books, documents, papers or other records involving transactions related to this Subaward.

The prime agency or SUBR will have the right to perform administrative and technical site visits, necessary compliance with cost principles (2 CFR Subpart E, 200.400) and administrative requirements such as 2 CFR, Conflict of Interest, Davis-Bacon and Human Subjects, when applicable.

**Intellectual Property:** Subrecipient grants to Prime Recipient an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any patents, copyrights, or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward Agreement solely for the purpose of and only to the extent required to meet Prime Recipient's obligations to the Federal Government under its Prime Award.

**Data Rights:** Subrecipient grants to Prime Recipient the right to use data created in the performance of this Subaward Agreement solely for the purpose of and only to the extent required to meet Prime Recipient's obligations to the State and Federal Government under its Prime State Contract

**Patent Rights:** Standard Patent Rights clause of 37 CFR 401.14 or FAR 52.227-11, as appropriate, is hereby included by reference.

**Statutory Employee:** If and to the extent that the provisions of Louisiana Worker's Compensation laws might apply to any injury involving one of the Subrecipient's employees, then solely for that purpose, Prime Recipient and Subrecipient, as direct employer, mutually agree that it is their intention to recognize Prime Recipient as the statutory employer of Subrecipient's employees, to include direct employees or statutory employees of Subrecipient, while Subrecipient's employees are providing work and/or services to Prime Recipient under this Subaward.

**Inspections:** The services to be undertaken by the Subcontractor under this subcontract shall commence promptly after the execution of this subcontract. Louisiana Department of Health, Office of Behavioral Health, SUBR, and its representatives shall have the right to inspect the progress of the work, as well as financial records pertaining to the work. Upon expiration of the subcontract term, Louisiana Department of Health, Office of Behavioral Health and/or SUBR reserve(s) the right of future inspections.

**Publication by Subcontractor:** No publicity releases (including news releases and advertising) related to this subcontract and the work hereunder, shall be issued by the Subcontractor or by any other lower-tier subcontractor without the prior written approval of the prime, Louisiana Department of Health, Office of Behavioral Health or SUBR.

**Civil Rights Compliance:** The Subcontractor agrees to abide by the requirements of the following as applicable: Title VI and VII of the Civil Rights Act of 1964 as amended by the Equal Opportunity Act of 1972, Federal Executive Order 11246, The Federal Rehabilitation Act of 1973, as amended, the Vietnam Era Veterans Readjustment Assistance Act of 1974, Title IX of the Education Amendments of 1972, the Age Discrimination Act of 1972. The Subcontractor agrees to abide by the requirements of the Americans with Disabilities Act of 1990. The Subcontractor further agrees not to discriminate in its employment practices, and will render services under this subcontract without regard to race, color, religion, sex, national origin, veteran status, political affiliation, disabilities or sexual orientation. Any act of discrimination committed by the Subcontractor or failure to comply with these statutory obligations when applicable shall be grounds for termination of this subcontract. By signing this subcontract, the signatories certify that the institution and proposed project are in compliance with all other applicable laws and regulations.

**Prohibition of Discriminatory Boycotts of Israel:**

In accordance with R.S. 39:1602.1, for any contract for \$100,000 or more and for any contractor with five or more employees, the Contractor certifies that neither it nor its subcontractors are engaged in a boycott of Israel, and that the Contractor and any subcontractors shall, for the duration of this contract, refrain from a boycott of Israel. The State reserves the right to terminate this contract subcontractors shall, if the Contractor, or any Subcontractor, engages in a boycott of Israel during the term of this contract.



Attachment 3A  
Subaward Agreement

Subaward Number:

OSP-02-8300-2023-0010

**Prime Recipient Contacts**

Institution/Organization ("Prime Recipient")

Name: Southern University and A&M College

Address: P. O. Box 12596

City: Baton Rouge

State: LA

ZipCode: 70813

Administrative Contact

Name: Norma Jean Frank, Ph.D. - Executive Director, Office of Sponsored Programs

Address: P. O. Box 12596

City: Baton Rouge

State: LA

ZipCode: 70813

Telephone: 225-771-2809 x 203

Fax: 225-771-5231

Email: osp@subr.edu

Principal Investigator

Name: Guang-Lin Zhao, Ph.D.

Address: Physics Department

City: Baton Rouge

State: LA

ZipCode: 70813

Telephone: 225-771-4491

Fax:

Email: Guang-Lin\_Zhao@subr.edu

Financial Contact

Name: Desiree Honore-Thomas - Associate Vice President and Senior Administrative Operations Officer

Address: 3rd Floor, J. S. Clark Administration Bldg.

City: Baton Rouge

State: LA

ZipCode: 70813

Telephone: 225-771-3571

Fax: 225-771-5791

Email: Desiree.HonoreThomas@sus.edu

Authorized Official

Name: Michael A. Stubblefield, Ph.D. - Vice Chancellor for Research

Address: P. O. Box 9272

City: Baton Rouge

State: LA

ZipCode: 70813

Telephone: 225-771-3890

Fax: 225-771-5231

Email: Michael\_Stubblefield@subr.edu

Attachment 3B  
Subaward Agreement

Subaward Number:

OSP-02-8300-2022-0011

**Subrecipient Contacts**

Institution/Organization ("Subrecipient")

Name: Performance First Media, LLC

Address: 3014 Amazon Street

City: New Orleans

State: LA

ZipCode: 70114

EIN No.: 46-4745311

Reg. in CCR?  Yes  No

DUNS No.:

UEI No:

XJNFXSJ3J7K5

Congressional District:

02 - Orleans

Congressional District:

Administrative Contact

Name: Krista Pouncy-Dyson

Address: 3014 Amazon Street

City: New Orleans

State: LA

ZipCode: 70114

Telephone: 504-462-1002

Fax: 504-617-6114

Email: Krista@performancefirstdigital.com

Principal Investigator

Name: Krista Pouncy-Dyson

Address: 3014 Amazon Street

City: New Orleans

State: LA

ZipCode: 70114

Telephone: 504-462-1002

Fax: 504-617-6114

Email: Krista@performancefirstdigital.com

Financial Contact

Name: Krista Pouncy-Dyson

Address: 3014 Amazon Street

City: New Orleans

State: LA

ZipCode: 70114

Telephone: 504-462-1002

Fax: 504-617-6114

Email: Krista@performancefirstdigital.com

Authorized Official

Name: Krista Pouncy-Dyson

Address: 3014 Amazon Street

City: New Orleans

State: LA

ZipCode: 70114

Telephone: 504-462-1002

Fax: 504-617-6114

Email: Krista@performancefirstdigital.com

**ATTACHMENT 4**

**SCOPE OF WORK & BUDGET**

Attach Statement of Work

**GOAL/PURPOSE**

The purpose of this contract is to create a statewide media campaign that shows the impact of substance use disorder paired with COVID-19 across Louisiana. This contract will also provide trainings and awareness campaigns for Service Members, Veterans, and their Families (SMVF) with targeted messages that focus on behavioral health prevention.

The Louisiana Center for Prevention Resources (LCPR) was established at Southern University and A&M College to provide training and technical assistance services to the Substance Abuse Prevention Workforce. The LCPR works directly with the Louisiana Department of Health (LDH), Office of Behavioral Health (OBH), and other statewide entities aimed at improving implementation and delivery of effective substance abuse prevention interventions.

**COMPONENT A:**

**OVERVIEW:**

The LCPR will develop a Statewide Media Alcohol Awareness Campaign. The Statewide Media Alcohol and Awareness campaign is to increase awareness of alcohol use and misuse due to COVID-19 and the associated consequences. Similar to other trauma-induced epidemics and pandemics that result in increased stress, COVID-19 social isolations are more likely to increase alcohol misuse; thus, the need for targeted prevention messages. Alcohol misuse adversely affects the immune system resulting in increased susceptibility to respiratory illness that contribute to more severe COVID-19 symptoms and ultimately greater risk of mortality. This campaign will be used to address the risk factors and educate community members on the increase in substance abuse and how it can increase COVID-19 exposure and symptoms.

**DELIVERABLE A-1**

**Develop Statewide Media Campaign to address the impact of substance abuse and COVID across Louisiana.**

**Contractor shall:**

- Identify a marketing firm to create and develop messaging for a Statewide Media Campaign.
- Develop Statewide Media messaging based upon combined regional COVID-19 and alcohol use data to address the co-occurrence of these behavioral health concerns.
- Identify evaluation methods/tools used for prevention workforce to determine the effectiveness and fidelity of the Statewide Media Campaigns.

**OUTCOMES:**

- Billboards to be placed in 64 parishes within the state with messaging regarding substance use and COVID-19.
- Local newspapers will share messaging regarding substance abuse on their websites.
- Messages will be shared on the radio.
- Resource documents will be created and disseminated. This will include but not limited to infographics, brochures, flyers, personal stories, and frequently asked questions (FAQs) to be shared statewide.
- Data will be provided quarterly from the advertising company on the number of views for the billboards, and the number of documents shared.

**PAYMENT FOR DELIVERABLE A-1**

Payment will be made upon satisfactory completion of deliverables listed in deliverable A-1. Statewide Media Campaign totaling \$750,000.00.

13. Attach Approved Budget(s)



Sept. 1 - March 30, 2024, FY 2023 Spend @ \$750K. Billing Each Month @ \$107, 143 (campaign elements can run past the billing end date of the campaign)

Sept. (Creative Development)

Oct. (Campaign Launch)

Nov.

Dec.

Jan.

Feb.

March (Comprehensive report)

#### **Target: State of Louisiana –10 LCPR Regions**

Develop a Statewide Media Alcohol Awareness Campaign. The Statewide Media Alcohol and Awareness campaign is to increase awareness of alcohol use and misuse due to COVID-19 and the associated consequences.

Adults who over-consume alcohol, Individuals negatively affected by Covid 19 who are prone to over-consume alcohol.

Secondary Target - 12-24 years old and Veterans who over consume alcohol.

#### **Campaign Elements**

- Digital Billboards & Digital Out of Home Across all the State of Louisiana - 378 Digital Boards - Available / Office, Grocery Stores, Gyms, Restaurants, Bars, Transit, Ride Share Display – **14.1 million Impressions \$385K**

- Digital Online Display and Streaming Audio Ads on brand safe websites – Across all the State of Louisiana - **10 million Banner ads \$150K**

Video Pre-Roll Units on brand Safe Websites - Across all the State of Louisiana - **1 million Video Units - \$25K**

- Full Bus Wrap - 6 Bus Shelters (1 Year/Production Included) **\$50K (New Orleans or Jefferson Parish Based on Availability)**

- Louisiana Newspaper Websites **24-Hour Dynamic Units \$20K**
  - Creative Development (**\$40K**), Reporting Strategy, Campaign Management **\$100K**
  - E-Mail Marketing - 8 E-Blasts / **1 million Targeted E-Mails \$20K**
-

**ATTACHMENT 5**  
**PRIME AWARD**

■ SEE ATTACHED

RECEIVED  
11/25/2023  
J. B. Jnr.



## Office of State Procurement Contract Certification of Approval

**This certificate serves as a confirmation that the Office of State Procurement has reviewed and approved the contract referenced below.**

**Reference Number:** 2000732888

**Vendor:** SOUTHERN UNIV DEPT OF SOC WORK C/O OFFICE OF SPONSORED RESEAR

**Description:** SOUTHERN UNIVERSITY (STATEWIDE MEDIA)

**Approved By:** BRADFORD VAN OSS

**Approval Date:** 06/12/2023 13:45:28

The above referenced number has been assigned by this office and will be used as identification for the approved contract. Please use this number when referring to the contract in any future correspondence or amendment(e).

The Internal Revenue Service (IRS) may find that this contract creates an employment relationship between your agency and the contractor. You should be advised that your agency is responsible for all taxes and penalties if such a finding is forthcoming. It is incumbent upon your agency to determine if an employee/employer relationship exists. Your agency must make the appropriate withholdings in accordance with law and IRS regulations, if applicable.

CONTRACT BETWEEN STATE OF LOUISIANA  
LOUISIANA DEPARTMENT OF HEALTH

LaGov # 20K10732888

Office of Behavioral Health Agency # 890  
Headquarters  
AND  
Southern University A & M College  
FOR

Personal Service  Professional Service  Consulting Services  Social Services  Governmental (State/Agency)  Governmental (Local)   
RFP NUMBER (if applicable) \_\_\_\_\_ Emergency  Sole Source

1) Contractor (Registered Legal Name) Southern University A & M College	5) Vendor Supplier # 72800081736	5a) State LDR Account # (if applicable) 107368800100
2) Street Address P.O. Box 72596	6) Parish(es) Served ST	(Check all that apply)
City Baton Rouge State LA Zip Code 70813	7) License or Certification # N/A	
3) Telephone Number (225) 774-2809	8) Contractor Status	
4) Mailing Address (if different) N/A	Subcontract: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
City N/A State N/A Zip Code N/A	Corporation: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
	For Profit: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
	Publicly Traded: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
	8a) CFDA# (Federal Grant#) N/A	

9) Brief Description Of Services To Be Provided:  
The purpose of this contract is to create a Statewide Media Campaign that shows the impact of substance abuse paired with COVID across Louisiana. This contract will also provide trainings and awareness campaigns for Service Members, Veterans and their Families (SMVF) with targeted messages that focus on behavioral health prevention.

10) Effective Date 07/01/2022 11) Termination Date 06/30/2022

12) Maximum Contract Amount \$ 265,000.00

13) Estimated Amounts by Fiscal Year FY23 \$182,500.00; FY24 \$78,300.00

14) Terms of Payment  
If progress and/or completion of services are provided to the satisfaction of the issuing Office/Facility, payments are to be made as follows:  
Contractor will be paid on fee for service basis in accordance with the Statement of Work (Attachment I) within the contractual agreement. Payments will be approved by the Program Manager after a review of compliance with Statement of Work. Payment will be withheld if any portion of the contract's deliverables are not completed within such time as the provider retains compliance. If resolution cannot be reached within 30 days the contract may be canceled in compliance with terms of the contractual agreement. Travel expenses shall be determined in accordance with Division of Administration Policy and Procedure Memorandum PPM445.  
Contractor obligated to submit final invoices to Agency within fifteen (15) days after termination of contract.

14a) PAYMENT WILL BE MADE ONLY UPON APPROVAL OF:

First Name Felicia	Last Name Johnson
Title Program Manager	Phone Number (225) 342-8830

15) Special or Additional Provisions which are incorporated herein, if any (IF NECESSARY, ATTACH SEPARATE SHEET AND REFERENCE):

List all required Attachments	List all required Exhibits	Types of Attachments and Exhibits
		<b>ATTACHMENTS</b> • Statement of work • Fee Schedule/Budget • Special Provisions • Bonded Provisions <b>EXHIBITS</b> • Board Resolution/Signature of Authority • Disclosure of Ownership • Certificate of Authority • Multi Year Letter • Lien Letter • Out of State Jurisdiction Letter • Resume • License



LDH CF-1  
Revised 2022-01-31

During the performance of this contract, the Contractor hereby agrees to the following terms and conditions:

1. **Discrimination Clause:** Contractor hereby agrees to abide by the requirements of the following, as applicable: Section 1657 of the Patient Protection and Affordable Care Act (42 U.S.C. §18116); Title VI of the Civil Rights Act of 1964 (42 U.S.C. §2000d, et seq.); Title VII of the Civil Rights Act of 1964 (42 U.S.C. §2000e, et seq.); Title IX of the Education Amendments of 1972 (20 U.S.C. §1681, et seq.); the Age Discrimination Act of 1975 (42 U.S.C. §9101, et seq.); Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. §794); the Americans with Disabilities Act of 1990 (42 U.S.C. §12101, et seq.); the Vietnam Era Veterans' Readjustment Assistance Act of 1974 (38 U.S.C. §4212); the Fair Housing Act of 1968 (42 U.S.C. §3601, et seq.); and Federal Executive Order 11246; and all applicable requirements imposed by or pursuant to the regulations of the U. S. Department of Health and Human Services.

Contractor agrees not to discriminate in the rendering of services to and/or employment of individuals because of race, color, religion, sex, sexual orientation, age, national origin, disability, political affiliation, veteran status, or any other non-merit factor. Any act of discrimination committed by Contractor, or failure to comply with these statutory obligations when applicable, shall be grounds for termination of this Contract.

2. **Confidentiality:** Contractor shall abide by the laws and regulations concerning confidentiality which safeguard information and patient/client confidentiality. Information obtained under this Contract shall not be used in any manner except as necessary for the proper discharge of Contractor's obligations. (Contractor shall establish, subject to review and approval of the Department, confidentiality rules and facility access procedures.)
3. **Right to Audit:** The Louisiana Legislative Auditor, Office of the Governor, Division of Administration, and Department auditors or those designated by the Department shall have the option of auditing all accounts pertaining to this Contract during the Contract and for a period of five (5) years following final payment. Contractor grants to the State of Louisiana, through the Office of the Louisiana Legislative Auditor, Louisiana Department of Health, and State Inspector General's Office, Federal Government and/or other such officially designated body the right to inspect and review all books and records pertaining to services rendered under this contract, and further agrees to guidelines for fiscal administration as may be promulgated by the Department. Records will be made available during normal working hours.

Contractor shall comply with federal and state laws and/or Department policy requiring an audit of Contractor's operation as a whole or of specific program activities. Audit reports shall be sent within thirty (30) days after the completion of the audit, but no later than six (6) months after the end of the audit period. If an audit is performed within the term of this contract, for any period, four (4) copies of the audit report shall be sent to the Louisiana Department of Health, Attention: Division of Fiscal Management, P. O. Box 91117, Baton Rouge, LA 70821-3797 and one (1) copy of the audit shall be sent to the originating office within the Department.

4. **Record Retention:** Contractor agrees to retain all books, records, and other documents relevant to the Contract and funds expended thereunder for at least four (4) years after final payment or as prescribed in 45 CFR 75.361, whichever is longer.

Contractor shall make available to the Department such records within thirty (30) days of the Department's written request and shall deliver such records to the Department's central office in Baton Rouge, Louisiana, all without expense to the Department. Contractor shall allow the Department to inspect, audit, or copy records at Contractor's site, without expense to the Department.

5. **Record Ownership:** All records, reports, documents, and other material delivered or transmitted to Contractor by the Department shall remain the property of the Department, and shall be returned by Contractor to the Department, at Contractor's expense, at termination or expiration of this contract. All records, reports, documents, or other material related to this Contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of the Department, and shall, upon request, be returned by Contractor to the Department, at Contractor's expense, at termination or expiration of this contract.
6. **Nonassignability:** Contractor shall not assign any interest in this Contract and shall not transfer any interest in the same (whether by assignment or novation), without written consent of the Department thereto; provided, however, that claims for money due or to become due to Contractor from the Department under this Contract may be assigned to a bank, trust company, or other financial institution without advanced approval. Notice of any such assignment or transfer shall be promptly furnished to the Department and the Division of Administration, Office of State Procurement.

7. **Taxes:** Contractor hereby agrees that the responsibility for payment of taxes from the funds received under this Contract shall be Contractor's. Contractor assumes responsibility for its personnel providing services hereunder and shall make all deductions for withholding taxes, and contributions for unemployment compensation funds.

8. **Insurance:** Contractor shall obtain and maintain during the term of this Contract all necessary insurance including automobile insurance, workers' compensation insurance, and general liability insurance. The required insurances shall protect Contractor, the Louisiana Department of Health, and the State of Louisiana from all claims related to Contractor's performance of this contract. Certificates of insurance shall be filed with the Department for approval. Said policies shall not be canceled, permitted to expire, or be changed without thirty (30) days advance written notice to the Department. Commercial General Liability Insurance shall provide protection during the performance of work covered by the Contract from claims or damages for personal injury, including accidental death, as well as claims for property damages, with combined single limits prescribed by the Department.

9. **Travel:** In cases where travel and related expenses are required to be identified separate from the fee for services, such costs shall be in accordance with State Travel Regulations. The Contract contains a maximum compensation that shall be inclusive of all charges including fees and travel expenses.

10. **Political Activities:** No funds provided herein shall be used to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the Legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition or any election ballot or a proposition or matter having the effect of law being considered by the Legislature or any local governing authority. Contracts with individuals shall be exempt from this provision.

11. **State Employment:** Should Contractor become an employee of the classified or unclassified service of the State of Louisiana during the term of the contract, Contractor must notify his/her appointing authority of any existing Contract with the State of Louisiana and notify the contracting office with the Department of any additional State employment. This is applicable only to contracts with individuals.

12. **Ownership of Proprietary Data:** All non-third party software and source code, records, reports, documents, and other material delivered or transmitted to Contractor by the State shall remain the property of the State, and shall be returned by Contractor to the State, at Contractor's expense, at termination or expiration of this contract. All non-third party software and source code, records, reports, documents, or other material related to this Contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of the State, and shall be returned by Contractor to the State, at Contractor's expense, at termination or expiration of this contract.

13. **Subcontracting:** Contractor shall not enter into any subcontract for work or services contemplated under this Contract without obtaining prior written approval of the Department. Any subcontracts approved by the Department shall be subject to conditions and provisions as the Department may deem necessary; provided, however, that notwithstanding the foregoing, unless otherwise provided in this contract, such prior written approval shall not be required for the purchase by Contractor of items and services that are incidental but necessary for the performance of the work required under this contract.

No subcontract shall relieve Contractor of the responsibility for the performance of contractual obligations described herein.

14. **Conflict of Interest:** Contractor acknowledges that the Code of Governmental Ethics, La. R.S. 42:1101, et seq., applies to Contractor in the performance of services under this contract. Contractor warrants that no person and no entity providing services pursuant to this Contract on behalf of Contractor or any subcontractor is prohibited from providing such services by the provisions of La. R.S. 42:1113. Contractor agrees to immediately notify the Department if potential violations of the Code of Governmental Ethics arise at any time during the term of the contract.

15. **Unauthorized Services:** No claim for services furnished or requested for reimbursement by Contractor, not provided for in this contract, shall be allowed by the Department. In the event the Department determines that certain costs that have been reimbursed to Contractor pursuant to this or previous contracts are not allowable, the Department shall have the right to offset and withhold said amounts from any amount due to Contractor under this Contract for costs that are allowable.

16. **Fiscal Funding:** This Contract is subject to and conditioned upon the availability and appropriation of federal and/or state funds; and no liability or obligation for payment will develop between the parties until the Contract has been approved by required authorities of the Department; and, if Contract exceeds \$2,000, the Division of Administration, Office of State Procurement.

The continuation of this Contract is contingent upon the appropriation of funds from the Legislature to fulfill the requirements of the contract. If the Legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the Contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

17. **State and Federal Funding Requirements:** Contractor shall comply with all applicable requirements of state or federal laws or regulations relating to Contractor's receipt of state or federal funds under this contract.

If Contractor is a "subrecipient" of federal funds under this contract, as defined in 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards), Contractor shall comply with all applicable requirements of 2 CFR Part 200, including but not limited to the following:

- Contractor must disclose any potential conflict of interest to the Department and the federal awarding agency as required by 2 CFR §200.112.
- Contractor must disclose to the Department and the federal awarding agency, timely and in writing, all violations of federal criminal laws that may affect the federal award, as required by 2 CFR §200.113.
- Contractor must safeguard protected personally identifiable information and other sensitive information, as required by 2 CFR §200.303.
- Contractor must have and follow written procurement standards and procedures in compliance with federally approved methods of procurement, as required by 2 CFR §§200.317 - 200.326.
- Contractor must comply with the audit requirements set forth in 2 CFR §§200.501 - 200.521, as applicable, including but not limited to:
  - o Electronic submission of data and reports to the Federal Audit Clearinghouse (FAC) (2 CFR §200.512(d)).
  - o Ensuring that reports do not include protected personally identifiable information (2 CFR §200.512(a)(2)).

Notwithstanding the provisions of paragraph 3 (Auditors) of these Terms and Conditions, copies of audit reports for audits conducted pursuant to 2 CFR Part 200 shall not be required to be sent to the Department.

18. **Amendments:** Any alteration, variation, modification, or waiver of provisions of this Contract shall be valid only when reduced to writing, as an amendment duly signed, and approved by required authorities of the Department; and, if the Contract exceeds \$5,000, by the Division of Administration, Office of State Procurement. Budget revisions approved by both parties in cost reimbursement contracts do not require an amendment if the revision only involves the realignment of monies between originally approved cost categories.
19. **Non-Infringement:** Contractor will warrant all materials, products, and/or services produced hereunder will not infringe upon or violate any patent, copyright, trade secret, or other proprietary right of any third party. In the event of any such claim by any third party against the Department, the Department shall promptly notify Contractor in writing and Contractor shall defend such claim in the Department's name, but at Contractor's expense and shall indemnify and hold the Department harmless against any loss, expense, or liability arising out of such claim, whether or not such claim is successful. This provision is not applicable to contracts with physicians, psychiatrists, psychologists, or other allied health providers solely for medical services.
20. **Purchased Equipment:** Any equipment purchased under this Contract remains the property of Contractor for the period this Contract and future continuing contracts for the provision of the same services. Contractor must submit a vendor invoice with the reimbursement request. For the purpose of this contract, equipment is defined as any tangible, durable property having a useful life of at least (1) year and acquisition cost of one thousand dollars (\$1,000.00) or more. Contractor has the responsibility to submit to the Contract Monitor an inventory list of equipment items when acquired under the Contract and any additions to the listing as they occur. Contractor will submit an updated, complete inventory list on a quarterly basis to the Contract Monitor. Contractor agrees that upon termination of the contracted services, the equipment purchased under this Contract reverts to the Department. Contractor agrees to deliver any such equipment to the Department within thirty (30) days of termination of services.
21. **Indemnity:** Contractor agrees to protect, indemnify, and hold harmless the State of Louisiana and the Department from all claims for damages, costs, expenses, and attorney fees arising in Contract or tort from this Contract or from any acts or omissions of Contractor's agents, subcontractors, employees, officers, or clients, including, but not limited to, premises liability and any claim based on any theory of strict liability. This provision does not apply to actions or omissions for which La. R.S. 40:1237.1, et seq. provides malpractice coverage to Contractor, nor claims related to treatment and performance of evaluations of evaluations of persons when such persons cause harm to third parties (La. R.S. 13:5108.1(E)). Further, it does not apply to premises liability when the services are being performed on premises owned and operated by the Department.

22. **Severability:** Any provision of this Contract is severable if that provision is in violation of the laws of the State of Louisiana or the United States, or becomes inoperative due to changes in state or federal law, or applicable state or federal regulations.
23. **Entire Agreement:** Contractor agrees that the current Contract supersedes all previous contracts, negotiations, and all other communications between the parties with respect to the subject matter of this contract.
24. **E-Verify:** Contractor acknowledges and agrees to comply with the provision of La. R.S. 38:2212.10 and federal law pertaining to E-Verify in the performance of services under this contract.
25. **Remedies for Default:** Any claim or controversy arising out of this Contract shall be resolved by the provisions of La. R.S. 39:1872.2-1872.4.  
**Other Remedies:** If the Contractor fails to perform in accordance with the terms and conditions of this Contract, or if any lien or claim for damages, penalties, cost and the like is asserted by or against the State, then, upon notice to the Contractor, the State may pursue all remedies available to it at law or equity, including retaining monies from amounts due the Contractor and proceeding against any surety of the Contractor.
26. **Governing Law:** This Contract shall be governed by and interpreted in accordance with the laws of the State of Louisiana, including but not limited to La. R.S. 39:1551-1738; rules and regulations; executive orders; standard terms and conditions, and specifications listed in the Request for Proposals (RFP), if applicable; and this contract.
27. **Contractor's Cooperation:** Contractor has the duty to fully cooperate with the State and provide any and all requested information, documentation, etc. to the State, when requested. This applies even if this Contract is terminated and/or a lawsuit is filed. Specifically, Contractor shall not limit or impede the State's right to audit or shall not withhold State-owned documents.
28. **Continuing Obligation:** Contractor has a continuing obligation to disclose to the Department any suspension or debarment by any government entity, including, but not limited to, the General Services Administration (GSA). Failure to disclose may constitute grounds for suspension and/or termination of the Contract and debarment from future contracts.
29. **Eligibility Status:** Contractor and each tier of subcontractors, shall certify that it is not excluded, disqualified, disbarred, or suspended from contracting with or receiving Federal funds or grants from the Federal Government. Contractor and each tier of subcontractors shall certify that it is not on the List of Parties Excluded from Federal Procurement and Nonprocurement Programs promulgated in accordance with Executive Orders 12548 and 12689, and "NonProcurement Debarment and Suspension" set forth at 2 CFR Part 376.
30. **Act 211 Taxes Clause:** In accordance with La. R.S. 39:1624(A)(10), the Louisiana Department of Revenue must determine that Contractor is current in the filing of all applicable tax returns and reports and in payment of all taxes, interest, penalties, and fees owed to the State and collected by the Louisiana Department of Revenue prior to the approval of this Contract by the Office of State Procurement. Contractor hereby attests to its current and/or prospective compliance, and agrees to provide its seven-digit LDR Account Number to the Department so that Contractor's tax payment compliance status may be verified. Contractor further acknowledges understanding that issuance of a tax clearance certificate by the Louisiana Department of Revenue is a necessary precondition to the approval and effectiveness of this Contract by the Office of State Procurement. The Department reserves the right to withdraw its consent to this Contract without penalty and proceed with alternate arrangements should Contractor fail to resolve any identified apparent outstanding tax compliance discrepancies with the Louisiana Department of Revenue within seven (7) business days of such notification.
31. **Termination for Cause:** The Department may terminate this Contract for cause based upon the failure of Contractor to comply with the terms and/or conditions of the contract; provided that the Department shall give Contractor written notice specifying Contractor's failure. If within thirty (30) days after receipt of such notice, Contractor shall not have either corrected such failure or, in the case of failure which cannot be corrected in thirty (30) days, begun in good faith to correct said failure and thereafter proceeded diligently to complete such correction, then the Department may, at its option, place Contractor in default and the Contract shall terminate on the date specified in such notice. Contractor may exercise any rights available to it under Louisiana law to terminate for cause upon the failure of the Department to comply with the terms and conditions of this contract; provided that Contractor shall give the Department written notice specifying the Department's failure and a reasonable opportunity for the State to cure the defect.
32. **Termination for Convenience:** The Department may terminate this Contract at any time by giving thirty (30) days written notice to Contractor. Contractor shall be entitled to payment for deliverables in progress, to the extent work has been performed satisfactorily.
33. **Confidentiality:** Contractor shall protect from unauthorized use and disclosure all information relating to the State's operations and data (e.g. financial, statistical, personal, technical, etc.) that becomes available to the Contractor in carrying out this Contract. Contractor shall use protecting measures that are the same or more effective than those used by the State. Contractor is not required to protect information or data that is publicly available outside the scope of this Contract; already rightfully in the Contractor's possession; independently developed by the Contractor outside the scope of this Contract; or rightfully obtained from third parties. Under no circumstance shall the Contractor discuss and/or release information to the media concerning this project without prior express written approval of the State.
34. **Prohibition of Discriminatory Boycotts of Israel:** In accordance with La. R.S. 39:1802.1, any Contract for \$100,000 or more and for any contractor with five (5) or more employees, Contractor, and any subcontractor, shall certify it is not engaging in a boycott of Israel, and shall, for the duration of this Contract, refrain from a boycott of Israel. The State reserves the right to terminate this Contract if Contractor, or any subcontractor, engages in a boycott of Israel during the term of the contract.
35. **Cybersecurity Training:** In accordance with La. R.S. 42: 1267 (B)(3) and the State of Louisiana's Information Security Policy, if the Contractor, any of its employees, agents, or subcontractors will have access to State government information technology assets, the Contractor's employees, agents, or subcontractors with such access must complete cybersecurity training annually, and the Contractor must present evidence of such compliance annually and upon request. The Contractor may use the cybersecurity training course offered by the Louisiana Department of State Civil Service without additional cost.

For purposes of this Section, "access to State government information technology assets" means the possession of credentials, equipment, or authorization to access the internal workings of State information technology systems or networks. Examples would include but not be limited to State-issued laptops, VPN credentials to access the State network, badging to access the State's telecommunications closets or systems, or permissions to maintain or modify IT systems used by the State. Final determination of scope inclusions or exclusions relative to access to State government information technology assets will be made by the Office of Technology Services.

36. **Code of Ethics:** The Contractor acknowledges that Chapter 16 of Title 42 of the Louisiana Revised Statutes (R.S. 42:1101 et. seq., Code of Governmental Ethics) applies to the Contracting Party in the performance of services called for in this Contract. The Contractor agrees to immediately notify the state if potential violations of the Code of Governmental Ethics arise at any time during the term of this Contract.
37. **Countersignature:** This Contract may be executed in two or more counterparts, each of which shall be deemed an original, but all of which, taken together, shall constitute one and the same instrument.
38. **No Employment Relationship:** Nothing in this Contract shall be construed to create an employment or agency relationship, partnership, or joint venture between the employees, agents, or subcontractors of Contractor and the State of Louisiana.
39. **Venue:** Venue for any action brought with regard to this Contract shall be in the Nineteenth Judicial District Court, Parish of East Baton Rouge, State of Louisiana.
40. **Commissioner's Statements:** Statements, acts, and omissions made by or on behalf of the Commissioner of Administration regarding the RFP or RFP process, this contract, Contractor, and/or any subcontractor of Contractor shall not be deemed a conflict of interest when the Commissioner is discharging his duties and responsibilities under law, including, but not limited, to the Commissioner of Administration's authority in procurement matters.
41. **Order of Precedence Clause:** In the event of any inconsistent or incompatible provisions in a Contract which resulted from an RFP, this signed Contract (excluding the RFP and Contractor's proposal) shall take precedence, followed by the provisions of the RFP, and then by the terms of Contractor's proposal. *This Order of Precedence Clause applies only to contracts that resulted from an RFP.*
42. **Contractor must comply with the Office of Technology Services (OTS) Information Security Policy,** <https://www.doa.la.gov/Pages/ots/InformationSecurity.aspx>.
- a. Contractor must report to the State any known breach of security no later than forty-eight (48) hours after confirmation of the event. Notify the Information Security Team ("IST") by calling the Information Security Hotline at 1-844-692-8019 and emailing the security team at [infosec@la.gov](mailto:infosec@la.gov).
  - b. Contractor must follow OTS Information Security Policy for Data Sanitization requirements for any equipment replaced during the Contract and at the end of the contract, for all equipment which house confidential/restricted data provided by the State.
  - c. Contractor must ensure appropriate protections of data is in accordance with HIPAA Rules and HITECH Acts.
  - d. If Contractor will have access to data originating from the Centers for Medicare and Medicaid Services (CMS), then Contractor must ensure their computer system is in compliance with CMS latest version of the Minimum Acceptable Risk Standards for Exchanges (MARS-E) Document Suite, currently MARS-E 2.0. The CMS MARS-E 2.0 requirements include but are not limited to the below listed requirements:
    - Multi-factor authentication is a CMS requirement for all remote users, privileged accounts and non-privileged accounts. In this context, a "remote user" is referencing staff accessing the network from offsite, normally with a client virtual private network with the ability to access CMS data.
    - Perform criminal history check for all staff prior to granting access to CMS data. All employees and contractors requiring access to Patient Protection and Affordable Care Act (PL 111-148) sensitive information must meet personnel suitability standards. These suitability standards are based on a valid need-to-know, which cannot be assumed from position or title, and favorable results from a background check. The background checks for prospective and existing employees (if not previously completed) should include, at a minimum, contacting references provided by the employee as well as the local law enforcement agency or agencies.
43. **HIPAA Business Associate Provisions**  
If Contractor is a Business Associate of the Department, as that term is defined herein, because Contractor either: (a) creates, receives, maintains, or transmits protected health information (PHI) for or on behalf of the Department; or (b) provides legal, actuarial, accounting, consulting, data aggregation, management, administrative, accreditation, or financial services for the Department involving the disclosure of PHI, the following provisions will apply:
- a. **Definitions:** As used in these provisions -
    - i. The term "HIPAA Rules" refers to the federal regulations known as the HIPAA Privacy, Security, Enforcement, and Breach Notification Rules, found at 45 CFR Parts 160 and 164, which were originally promulgated by the U. S. Department of Health and Human Services (DHHS) pursuant to the Health Insurance Portability and Accountability Act ("HIPAA") of 1996 and were subsequently amended pursuant to the Health Information Technology for Economic and Clinical Health ("HITECH") Act of the American Recovery and Reinvestment Act of 2009.
    - ii. The terms "Business Associate", "Covered Entity", "disclosure", "electronic protected health information" ("electronic PHI"), "health care provider", "health information", "health plan", "protected health information" ("PHI"), "subcontractor", and "use" have the same meaning as set forth in 45 CFR §160.103.
    - iii. The term "security incident" has the same meaning as set forth in 45 CFR §164.304.
    - iv. The terms "breach" and "unsecured protected health information" ("unsecured PHI") have the same meaning as set forth in 45 CFR §164.402.
  - b. Contractor and its agents, employees and subcontractors shall comply with all applicable requirements of the HIPAA Rules and shall maintain the confidentiality of all PHI obtained by them pursuant to this Contract as required by the HIPAA Rules and by this Contract.
  - c. Contractor shall use or disclose PHI solely: (a) for meeting its obligations under the contract; or (b) as required by law, rule, regulation (including the HIPAA Rules), or as otherwise required or permitted by this Contract.
  - d. Contractor shall implement and utilize all appropriate safeguards to prevent any use or disclosure of PHI not required or permitted by this Contract, including administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the electronic protected health information that it creates, receives, maintains, or transmits on behalf of the Department.
  - a. In accordance with 45 CFR §164.502(a)(1)(ii) and (if applicable) §164.308(b)(2), Contractor shall ensure that any agents, employees, subcontractors, or others that create, receive, maintain, or transmit PHI on behalf of Contractor agree to the same restrictions, conditions, and requirements that apply to Contractor with respect to such information, and it shall

ensure that they implement reasonable and appropriate safeguards to protect such information. Contractor shall take all reasonable steps to ensure that its agents', employees', or subcontractors' actions or omissions do not cause Contractor to violate this Contract.

- f. Contractor shall, within three (3) days of becoming aware of any use or disclosure of PHI, other than as permitted by this Contract, report such disclosure in writing to the person(s) named in Terms of Payment on page 1 of this document. Disclosures which must be reported by Contractor include, but are not limited to, any security incident, any breach of unsecured PHI, and any "breach of the security system" as defined in the Louisiana Database Security Breach Notification Law, La. R.S. 51:3071 et seq. At the option of the Department, any harm or damage resulting from any use or disclosure which violates this Contract shall be mitigated, to the extent practicable, either: (a) by Contractor at its own expense; or (b) by the Department, in which case Contractor shall reimburse the Department for all expenses that the Department is required to incur in undertaking such mitigation activities.
- g. To the extent that Contractor is to carry out one or more of the Department's obligations under 45 CFR Part 164, Subpart E, Contractor shall comply with the requirements of Subpart E that apply to the Department in the performance of such obligation(s).
- h. Contractor shall make available such information in its possession which is required for the Department to provide an accounting of disclosures in accordance with 45 CFR §164.528. In the event that a request for accounting is made directly to Contractor, Contractor shall forward such request to the Department within two (2) days of such receipt. Contractor shall implement an appropriate record keeping process to enable it to comply with the requirements of this provision. Contractor shall maintain data on all disclosures of PHI for which accounting is required by 45 CFR §164.528 for at least six (6) years after the date of the last such disclosure.
- i. Contractor shall make PHI available to the Department upon request in accordance with 45 CFR §164.524.
- j. Contractor shall make PHI available to the Department upon request for amendment and shall incorporate any amendments to PHI in accordance with 45 CFR §164.526.
- k. Contractor shall make its internal practices, books, and records relating to the use and disclosure of PHI received from or created or received by Contractor on behalf of the Department available to the Secretary of the DHHS for purposes of determining the Department's compliance with the HIPAA Rules.
- l. Contractor shall indemnify and hold the Department harmless from and against any and all liabilities, claims for damages, costs, expenses and attorneys' fees resulting from any violation of this provision by Contractor or by its agents, employees or subcontractors, without regard to any limitation or exclusion of damages provision otherwise set forth in the contract.
- m. The parties agree that the legal relationship between the Department and Contractor is strictly an independent contractor relationship. Nothing in this Contract shall be deemed to create a joint venture, agency, partnership, or employer-employee relationship between the Department and Contractor.
- n. Notwithstanding any other provision of the contract, the Department shall have the right to terminate the Contract immediately if the Department determines that Contractor has violated any provision of the HIPAA Rules or any material term of this contract.
- o. At the termination of the contract, or upon request of the Department, whichever occurs first, Contractor shall return or destroy (at the option of the Department) all PHI received or created by Contractor that Contractor still maintains in any form and retain no copies of such information; or if such return or destruction is not feasible, Contractor shall extend the confidentiality protections of the Contract to the information and limit further uses and disclosure to those purposes that make the return or destruction of the information infeasible.

**SIGNATURES TO FOLLOW ON THE NEXT PAGE**

THIS CONTRACT CONTAINS OR HAS ATTACHED HERETO ALL THE TERMS AND CONDITIONS AGREED UPON BY THE CONTRACTING PARTIES. IN WITNESS THEREOF, THIS CONTRACT IS SIGNED ON THE DATE INDICATED BELOW.

CONTRACTOR

STATE OF LOUISIANA, LOUISIANA  
DEPARTMENT OF HEALTH

*Michael Stubbs*  
SIGNATURE DATE

SIGNATURE DATE

NAME

NAME

TITLE

TITLE

[Redacted Signature]

[Redacted Signature]

*Karen Stubbs*  
SIGNATURE DATE

DocuSigned by:  
*Karen Stubbs* 6/6/2023  
771AAADF357B490  
SIGNATURE DATE

NAME

NAME

TITLE

TITLE

**GOAL/PURPOSE**

The purpose of this contract is to create a statewide media campaign that shows the impact of substance use disorder paired with COVID-19 across Louisiana. This contract will also provide trainings and awareness campaigns for Service Members, Veterans and their Families (SMVF) with targeted messages that focus on behavioral health prevention.

The Louisiana Center for Prevention Resources (LCPR) was established at Southern University and A&M College to provide training and technical assistance services to the Substance Abuse Prevention Workforce. The LCPR works directly with the Louisiana Department of Health (LDH), Office of Behavioral Health (OBH) and other statewide entities aimed at improving implementation and delivery of effective substance abuse prevention interventions.

**COMPONENT A:**

**OVERVIEW:**

The LCPR will develop a Statewide Media Alcohol Awareness Campaign. The Statewide Media Alcohol and Awareness campaign is to increase awareness of alcohol use and misuse due to COVID-19 and the associated consequences. Similar to other trauma-induced epidemics and pandemics that results in increased stress, COVID-19 social isolations are more likely to increase alcohol misuse; thus, the need for targeted prevention messages. Alcohol misuse adversely affects the immune system resulting in increased susceptibility to respiratory illness that contribute to more severe COVID-19 symptoms and ultimately greater risk of mortality. This campaign will be used to address the risk factors and educate community members on the increase in substance abuse and how it can increase COVID-19 exposure and symptoms.

**DELIVERABLE A-1**

**Develop Statewide Media Campaign to address the impact of substance abuse and COVID across Louisiana.**

**Contractor shall:**

- Identify a marketing firm to create and develop messaging for a Statewide Media Campaign.
- Develop Statewide Media messaging based upon combined regional COVID-19 and alcohol use data to address co-occurrence of these behavioral health concerns.
- Identify evaluation methods/tools used for prevention workforce to determine the effectiveness and fidelity of the Statewide Media Campaigns.

**OUTCOMES:**

- Billboards to be placed in 64 parishes within the state with messaging regarding substance use and COVID-19.
- Local newspaper will share messaging regarding substance abuse on their website.
- Messages will be shared on radio stations.
- Resource documents will be created and disseminated. This will include, but not limited to infographics, brochures, flyers, personal stories, and frequently asked questions (FAQs) to be shared statewide.
- Data will be provided quarterly from the advertising company on the number of views for the billboards, and number of documents shared.

**PAYMENT FOR DELIVERABLE A-1**

See attached document

**COMPONENT B:**

**OVERVIEW:**

Trainings provided to SMVF will focus on behavioral health prevention services. Most active-duty service members and veterans have family members that are adversely impacted by separations, constant transitions and the stress of possible endangerment. Mental health stigma and career concerns often prohibit SMVFs from seeking needed behavioral health services. LCPR will offer trainings that encourage support for SMVF vulnerable populations whose behavioral health

outcomes can be positively impacted. Trainings related to substance use/abuse will also be provided.

**DELIVERABLES B-1**

**Provide a Training Series for Service Members, Veterans, and their Families to include but not limited to the following topics.**

**Contractor shall:**

- Training Series for Service Members, Veterans and their families (SMVF) to include the following: Cultural Competency for Service Members, Veterans and their Families, Suicide Prevention for SMVF, Psychological Impacts of Transition for Military Service Members and Substance Use education and Mental Health First Aid Train-the-Trainer (TOT) for SMVF.

**OUTCOMES:**

- Two trainings will be provided annually. Training materials will be provided for up to fifty (50) participants.
- Two Mental Health First Aid Train-the-Trainer (TOT) for SMVF One training will be provided annually. Materials will be provided for up to fifteen (15) participants.

**PAYMENT FOR DELIVERABLE B-1**

Payment will be made upon satisfactory completion of deliverables listed in deliverable B-1. Training Series totaling \$65,000 in year one and year two.

**DELIVERABLE B-2**

Develop Statewide Media Campaign to address Service Members, Veterans and their Families

**Contractor shall:**

Develop Statewide SMVF Collaborative Awareness Campaign to increase awareness and access to resources and programs for SMVF to include veteran resource cards, brochures, flyers, one pagers and infographics.

**OUTCOMES:**

500,000 Wallet Resource Cards will be created, printed and disseminated at resource fairs, community coalition meetings, conferences.  
5000 infographics and brochures each will be created, printed and disseminated at resource fairs, community coalition meetings, conferences.

**PAYMENT FOR DELIVERABLE B-2**

**Deliverables B-2**

Payments will be made upon satisfactory completion of deliverables listed in deliverable B-2. Statewide SMVF Collaborative Awareness Campaign for Service Members, Veterans and their Families totaling \$37,500.00 in year one and year two.

**PERFORMANCE MEASURES:**

- Provide copies of agenda, participant registrations, and curriculum.
- Provide copies of all sign-in-sheets for services provided on and off site.
- Provide copies of pre-post evaluation and course satisfaction surveys to the contract monitor during monthly monitoring visits.
- Maintain a list of trainers for all trainings.
- Provide ongoing communication with trainers to maintain sustainability of the training network.
- Provide copies of training materials to the monitor during monthly monitoring visits.
- Provide data from the advertising agency on the number of vehicles and pedestrians passing the billboard.
- Provide number of printed materials disseminated.
- Provide the number of views and shares from social media platforms to include Facebook, Instagram, Snapchat and Twitter.



- Invoices should be submitted no later than 30 days after services are provided.

**MONITORING PLAN:**

- The Project will be monitored monthly by the Office of Behavioral Health, Prevention Services, Program Manager or his/her designee/successor. (Mrs. Felecia Johnson currently holds the position of Program Manager for OBH, Prevention Services).
- Conduct on-site programmatic review on a monthly to determine if the contractor is meeting the requirements of the statement of work. All documents listed under this performance indicator section shall be reviewed.
- Monitor quarterly to determine the quality of services being delivered by the program and the program monitor will also review all financial information related to this contract.
- Monitor annually to determine if all management and administrative procedures are followed and to determine if the program has implemented safety guidelines to protect the well-being of the program's enrollees and participants.
- Invoices will be reviewed monthly during on-site monitoring visits.

OFFICE OF BEHAVIORAL HEALTH (OBH)  
STANDARD PROVISIONS

1. Contractor grants to the Louisiana Department of Health (LDH) and its official designees the right to inspect the facilities in which services are being provided at all times, particularly with respect to its standards of operation, maintenance and compliance with State and Federal regulations and the terms of this contract.
2. Contractor shall establish and maintain an accounting system that contains complete and accurate records that will justify and document all expenditures, reflect all accruals, and provide a clear audit trail to the point of origin. All funds received in the furtherance of this contract, whether fees, state, federal, private or in-kind contributions, shall be accounted for in the same manner and according to generally accepted accounting principles.

Failure to establish and retain adequate documentation will result in disallowance of expenditures and represent a contractual breach.

Contractor further agrees that in the event that more than one program is operated by Contractor, the funds provided in this contract will be expended only to provide the services described herein to eligible participants. Under no circumstances are monies to be transferred from one program budget to another without contract amendment.

3. In order that costs be considered allowable under this contract, they must satisfy the following general requirements:
  - a. They must be calculated using generally acceptable accounting principles, unless some other procedure is specified in federal regulation.
  - b. They must be consistent with the contract outcomes established in the Statement of Work.
  - c. They must be reasonable and necessary for the proper administration of this contract.
4. Contractor agrees that funds provided under this contract may not be used for:
  - a. Costs that are prohibited by federal, state or local laws or regulations or by other provisions within this contract.
5. This provision applies to cost reimbursement contracts only. Contractor agrees to request reimbursement of expenses incurred in performance of this contract only after the Contractor has paid the expense. Further, should LDH determine the Contractor has not paid a reimbursable expense; LDH may withhold an amount equal to the unpaid expense from the reimbursable expenses until such time as LDH determines that payment has been made. In the event that payment has not been made by the end of the fiscal year, the Contractor will forfeit the disputed amount.
6. Contractor shall abide by the Drug Abuse Office and Treatment Act of 1972, as amended; the comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, et. seq., as amended, the Mental Health System Act, Title V: the Protection and Advocacy for Mental Ill Individuals Act of 1986, as amended; all other requirements of the U.S. Department of Health and Human Services; all applicable licensing standards and requirements; and requirements as enumerated in Title XVIII and Title XIX of the Social Security Act as applicable.

Contractor further agrees to establish and abide by internal policies and procedures that adhere to Federal and State statutory requirements and to applicable regulatory and licensure standards for reporting and investigating allegations of abuse, neglect and exploitation, and where applicable, taking appropriate preventative and correction action.

7. Contractor agrees to develop and implement a drug-free workplace policy that meets the following minimum requirements:
  - a. Contractor shall publish a statement notifying the Contractor's employees that the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in the workplace and specifying the actions that will be taken against employees for violations of such prohibition;
  - b. Contractor shall establish a drug-free awareness program to inform the Contractor's employees about (i) the dangers of drug abuse in the workplace; (ii) the Contractor's policy of maintaining a drug-free workplace; (iii) any available counseling, rehabilitation, and employee assistance programs; and (iv) the penalties that may be imposed upon employees for drug abuse violations;
  - c. Contractor shall provide each of its employees with a copy of the written statement required in A., above, and secure a signed statement from each employee indicating that the employee will, as a condition of employment, (i) abide by the terms of the statement; and (ii) notify the Contractor of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction.
  - d. Contractor shall notify OBH of any violations of the drug-free workplace policy.

8. In the preparation of any statements, press releases or printed documents describing the program provided under this contract, Contractor shall clearly acknowledge federal and/or state government funding received, and such credit will be given the same degree of prominence as any other sponsor, supporter or funding agency.
9. Contractor agrees to serve any clients that LDH refers to the Contractor whose needs meet the program's description of services.
10. Contractor agrees to permit the LDH open access to all information and data concerning the program, the program fiscal operations and the program participants. Contractor shall provide the LDH such information and data as the LDH may from time to time require or request, such information to be provided in the form and manner as may be prescribed by the LDH.
11. LDH may terminate this Contract immediately for actions or omissions of the Contractor that endanger client life, health and/or safety.
12. Contractor agrees to provide a monthly and an annual detailed written accounting of all in-kind contributions and all income generated by activities supported through funding from this contract, including payments received from clients or third parties, and to maintain records of the receipt and disposition of grant related income in the same manner as required for Federal funds received in support of the grant.
13. Contractor agrees that the Department of Health and Hospitals is entitled to and may pursue recoupment in the event of an overpayment resulting from an error in billing or as a result of an audit or monitoring reviews.
14. Contractor agrees that no funds, neither federal nor funds obtained through a cost reimbursement mechanism, may be utilized under the terms of this contract for renovation of real property.
15. Contractor agrees to secure and maintain current applicable licenses.
16. Contractor agrees that the Office of Behavioral Health is the payor of last resort.
17. Contractor shall abide by all monthly/quarterly data gathering and record keeping procedures necessary to determine the number of persons utilizing the services of the contract and other service-outcome related information as determined by the OBH designated program office.
18. Failure of the Contractor to specifically perform services required by this agreement will constitute cause for the Office of Behavioral Health to impose fiscal sanctions against the Contractor for such failure. Sanctions of up to \$100.00 a day may be imposed against the Contractor by permanently withholding payment when a determination has been made by the Office of Behavioral Health that required services are not being provided.
19. Contractor shall maintain personnel policies and procedures including job descriptions and job qualifications to assure qualified staff are employed.
20. Contractor must comply with legal mandates related to the populations being served (e.g. background checks for staff in contact with children) as provided by the Louisiana Child Protection Act (RS 15:587.1).
21. Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal program either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such federal funds. The law does not apply to children's services provided in private residences; portions of facilities used for inpatient drug or alcohol treatment; service Contractors whose sole source of applicable Federal funds is Medicare or Medicaid; or facilities where WIC coupons are redeemed. Failure to comply with the provisions of the law may result in the imposition of an administrative compliance order on the responsible entity.  
  
By signing this certification, the contractor certifies that it will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act. Contractor agrees that it will require that the language of this certification be included in any sub-contracts which contain provisions for children's services and that all sub-contracts shall certify accordingly.
22. The standard provisions specific to cost reimbursement method of payment contracts are as follows:  
  
In order to be reimbursed for expenses incurred in the delivery of services, the contractor must follow the procedures outlined below:
  - a. Submit an invoice to the Office of Behavioral Health contract office, Attention designated contract monitor, as specified on face sheet of contract (item #14)

- b. Maintain documentation of proof of purchase and payment of expenses incurred prior to the billing invoice submitted to OBH. (If pre-payment prior to receipt of services such as registration for conference is necessary, prior approval from OBH contract monitor must be granted.)
- c. Comply with all applicable state and federal laws regarding audit requirements and records retention.
- d. Comply with contractor's published policies on time and attendance.

**§ 96.135 Restrictions on the Expenditure of the Grant**

1. The contractor does not expend SAPT Block Grant funds to provide inpatient hospital substance abuse services, except in cases when each of the following conditions is met:
  - a. The individual cannot be effectively treated in a community-based, non-hospital, residential contractor
  - b. The daily rate of payment provided to the hospital for providing the services does not exceed the comparable daily rate provided by a community-based, nonhospital, residential treatment contractor
  - c. A physician makes a determination that the following conditions have been met:
    - i. The primary diagnosis of the individual is substance abuse and the physician certifies that fact
    - ii. The individual cannot be safely treated in a community-based, nonhospital, residential treatment contractor
    - iii. The service can reasonably be expected to improve the person's condition or level of functioning
    - iv. The hospital-based substance abuse contractor follows national standards of substance abuse professional practice
  - d. The service is provided only to the extent that it is medically necessary (e.g., only for those days that the patient cannot be safely treated in a residential, community-based program)
2. The contractor does not expend SAPT Block Grant funds to purchase or improve land; purchase, construct, or permanently improve (other than minor remodeling) any building or other facility; or purchase major medical equipment.
3. The contractor does not expend SAPT Block Grant funds to satisfy any requirement for the expenditure of non-Federal funds as a condition for the receipt of Federal funds.
4. The contractor does not expend SAPT Block Grant funds to provide financial assistance to any entity other than a public or nonprofit private entity.
5. The contractor does not expend SAPT Block Grant funds to make payments to intended recipients of health services.
6. The contractor does not expend SAPT Block Grant funds to provide individuals with hypodermic needles or syringes.
7. The contractor does not expend SAPT Block Grant funds to provide treatment services in penal or correctional institutions of the State.

## FDP Cost Reimbursement Subaward

**Federal Awarding Agency:** National Nuclear Security Administration (NNSA)

<b>Pass-Through Entity (PTE):</b> Elizabeth City State University	<b>Subrecipient:</b> Southern University/A&M College
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PTE PI: Dr. Abdennaceur Karoui	Sub PI: Dr. Shizhong Yang
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PTE Federal Award No: DE-NA0004112	Subaward No: 24-0019-P0001
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**Project Title:** Consortium of Nuclear Security Advanced Manufacturing Enhanced by Machine Learning (NSAM-ML-2)

<b>Subaward Budget Period:</b> Start: 10/01/2023      End: 09/30/2024	<b>Amount Funded This Action (USD):</b> \$ 170,000
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<b>Estimated Period of Performance:</b> Start: 10/01/2023      End: 09/30/2028	<b>Incrementally Estimated Total (USD):</b> \$ 850,000
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### Terms and Conditions

1. PTE hereby awards a cost reimbursable subaward, (as determined by 2 CFR 200.331), to Subrecipient. The Statement of Work and budget for this Subaward are as shown in Attachment 5. In its performance of Subaward work, Subrecipient shall be an independent entity and not an employee or agent of PTE.
2. Subrecipient shall submit invoices not more often than monthly and not less frequently than quarterly for allowable costs incurred. Upon the receipt of proper invoices, the PTE agrees to process payments in accordance with this Subaward and 2 CFR 200.305. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), breakdown by major cost category, Subaward number, and certification, as required in 2 CFR 200.415(a). Invoices that do not reference PTE Subaward number shall be returned to Subrecipient. Invoices and questions concerning invoice receipt or payments shall be directed to the party's **Financial** Contact, shown in Attachment 3A.
3. A final statement of cumulative costs incurred, including cost sharing, marked "FINAL" must be submitted to PTE's **Financial** Contact, as shown in Attachment 3A, not later than 60 days after the final Budget Period end date. The final statement of costs shall constitute Subrecipient's final financial report.
4. All payments shall be considered provisional and are subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.
5. Matters concerning the technical performance of this Subaward shall be directed to the appropriate party's Principal Investigator as shown in Attachments 3A and 3B. Technical reports are required as shown in Attachment 4.
6. Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this Subaward, and any changes requiring prior approval, shall be directed to the PTE's **Authorized Official** Contact and the Subrecipient's **Authorized Official** Contact shown in Attachments 3A and 3B. Any such change made to this Subaward requires the written approval of each party's Authorized Official as shown in Attachments 3A and 3B.
7. The PTE may issue non-substantive changes to the Budget Period(s) and Budget **Unilaterally**. Unilateral modification shall be considered valid 14 days after receipt unless otherwise indicated by Subrecipient when sent to Subrecipient's **Authorized Official** Contact, as shown in Attachment 3B.
8. Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.
9. Either party may terminate this Subaward with 30 days written notice. Notwithstanding, if the Awarding Agency terminates the Federal Award, PTE will terminate in accordance with Awarding Agency requirements. PTE notice shall be directed to the **Authorized Official** Contact, and Subrecipient notice shall be directed to the **Authorized Official** Contact as shown in Attachments 3A and 3B. PTE shall pay Subrecipient for termination costs as allowable under Uniform Guidance, 2 CFR 200, or 45 CFR Part 75 Appendix IX, as applicable.
10. By signing this Subaward, including the attachments hereto which are hereby incorporated by reference, Subrecipient certifies that it will perform the Statement of Work in accordance with the terms and conditions of this Subaward and the applicable terms of the Federal Award, including the appropriate Research Terms and Conditions ("RTCs") of the Federal Awarding Agency, as referenced in Attachment 2. The parties further agree that they intend this subaward to comply with all applicable laws, regulations, and requirements.

By an Authorized Official of the PTE:  <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <span>Name: Annemarie Delgado</span> <span>Date: _____</span> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span>Title: Director of Sponsored Programs</span> <span>_____</span> </div>	By an Authorized Official of the Subrecipient:  <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <span>Name: I _____</span> <span>Date: _____</span> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span>Title: _____</span> <span>_____</span> </div>
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**Attachment 1**  
**Certifications and Assurances**

Subaward Number:

24-0019-P0001

**Certification Regarding Lobbying (2 CFR 200.450)**

By signing this Subaward, the Subrecipient Authorized Official certifies, to the best of his/her knowledge and belief, that no Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement in accordance with 2 CFR 200.450.

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Subrecipient shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the PTE.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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**Debarment, Suspension, and Other Responsibility Matters (2 CFR 200.214 and 2 CFR 180)**

By signing this Subaward, the Subrecipient Authorized Official certifies, to the best of his/her knowledge and belief that neither the Subrecipient nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency, in accordance with 2 CFR 200.213 and 2 CFR 180.

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**Audit and Access to Records**

Subrecipient certifies that it will provide PTE with notice of any adverse findings which impact this Subaward. Subrecipient certifies compliance with applicable provisions of 2 CFR 200.501-200.521. If Subrecipient is not required to have a Single Audit as defined by 200.501, Awarding Agency requirements, or the Single Audit Act, then Subrecipient will provide notice of the completion of any required audits and will provide access to such audits upon request. Subrecipient will provide access to records as required by parts 2 CFR 200.337 and 200.338 as applicable.

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**Program for Enhancement of Contractor Employee Protections (41 U.S.C 4712)**

Subrecipient is hereby notified that they are required to: inform their employees working on any federal award that they are subject to the whistleblower rights and remedies of the program; inform their employees in writing of employee whistleblower protections under 41 U.S.C §4712 in the predominant native language of the workforce; and include such requirements in any agreement made with a subcontractor or subgrantee.

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The Subrecipient shall require that the language of the certifications above in this Attachment 1 be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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**Use of Name**

Neither party shall use the other party's name, trademarks, or other logos in any publicity, advertising, or news release without the prior written approval of an authorized representative of that party. The parties agree that each party may use factual information regarding the existence and purpose of the relationship that is the subject of this Subaward for legitimate business purposes, to satisfy any reporting and funding obligations, or as required by applicable law or regulation without written permission from the other party. In any such statement, the relationship of the parties shall be accurately and appropriately described.

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**Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment**

Pursuant to 2 CFR 200.216, Subrecipient will not obligate or expend funds received under this Subaward to: (1) procure or obtain; (2) extend or renew a contract to procure or obtain; or (3) enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services (as described in Public Law 115-232, section 889) as a substantial or essential component of any system, or as a critical technology as part of any system.

**Attachment 2**  
**Federal Award Terms and Conditions**

Subaward Number

24-0019-P0001

**Required Data Elements**

The data elements required by Uniform Guidance are incorporated in the attached Federal Award.

**This Subaward Is:**

Research & Development     Subject to FFATA

**Awarding Agency Institute (If Applicable)**

National Nuclear Security Administration		
Federal Award Issue Date	FAIN	Assistance Listing No.
09/22/223		81.123
Assistance Listing Program Title (ALPT)		
Key Personnel Per NOA		
Abdennaceur Karoui		

**General Terms and Conditions**

By signing this Subaward, Subrecipient agrees to the following:

- To abide by the conditions on activities and restrictions on expenditure of federal funds in appropriations acts that are applicable to this Subaward to the extent those restrictions are pertinent. This includes any recent legislation noted on the Federal Awarding Agency's website:  
<https://www.energy.gov/nnsa/national-nuclear-security-administration>
- 2 CFR 200
- The Federal Awarding Agency's grants policy guidance, including addenda in effect as of the beginning date of the period of performance or as amended found at:  
<http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>.
- Research Terms and Conditions, including any Federal Awarding Agency's Specific Requirements found at:  
<http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> except for the following:
  - No-cost extensions require the written approval of the PTE. Any requests for a no-cost extension shall be directed to the Authorized Official Contact shown in Attachment 3A, not less than 30 days prior to the desired effective date of the requested change.
  - Any payment mechanisms and financial reporting requirements described in the applicable Federal Awarding Agency Terms and Conditions and Agency-Specific Requirements are replaced with Terms and Conditions (1) through (4) of this Subaward; and
  - Any prior approvals are to be sought from the PTE and not the Federal Awarding Agency.
  - Title to equipment as defined in 2 CFR 200.1 that is purchased or fabricated with research funds or Subrecipient cost sharing funds, as direct costs of the project or program, shall vest in the Subrecipient subject to the conditions specified in 2 CFR 200.313.
  - Prior approval must be sought for a change in Subrecipient PI or change in Key Personnel (defined as listed on the NOA).
- Treatment of program income: Additive

**Special Terms and Conditions:**

**Data Sharing and Access:**

Subrecipient agrees to comply with the Federal Awarding Agency's data sharing and/or access requirements as reflected in the NOA or the Federal Awarding Agency's standard terms and conditions as referenced in General Terms and Conditions 1-4 above.

No additional requirements

**Data Rights:**

Subrecipient grants to PTE the right to use data created in the performance of this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its PTE Federal Award.

**Copyrights:**

Subrecipient Grants to PTE an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any copyrights or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its PTE Federal Award.

Subrecipient grants to PTE the right to use any written progress reports and deliverables created under this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its Federal Award.

**Promoting Objectivity in Research (COI):**

Subrecipient must designate herein which entity's Financial Conflicts of Interest policy (COI) will apply: Subrecipient

If applying its own COI policy, by execution of this Subaward, Subrecipient certifies that its policy complies with the requirements of the relevant Federal Awarding Agency as identified herein: National Nuclear Security Administration

Subrecipient shall report any financial conflict of interest to PTE's Administrative Representative or COI contact, as designated on Attachment 3A. Any financial conflicts of interest identified shall, when applicable, subsequently be reported to Federal Awarding Agency. Such report shall be made before expenditure of funds authorized in this Subaward and within 45 days of any subsequently identified COI.

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**Work Involving Human or Vertebrate Animals (Select Applicable Options)**

- No Human or Vertebrate Animals  
 Human Subjects  
 Human Subjects Exempt  
 Vertebrate Animals

The PTE requires verification of IRB and/or IACUC approval be sent to the  as required above:

Subrecipient agrees that any non-exempt human and/or vertebrate animal research protocol conducted under this Subaward shall be reviewed and approved by the appropriate Institutional Review Board (IRB) and/or its Institutional Animal Care and Use Committee (IACUC), as applicable and that it will maintain current and duly approved research protocols for all periods of the Subaward involving human and/or vertebrate animal research. Subrecipient certifies that the appropriate IRB and/or IACUC are in full compliance with applicable state and federal laws and regulations. The Subrecipient certifies that any submitted IRB / IACUC approval represents a valid, approved protocol that is entirely consistent with the Project associated with this Subaward. In no event shall Subrecipient invoice or be reimbursed for any human or vertebrate animals related expenses incurred in a period where any applicable IRB / IACUC approval is not properly in place.

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**Human Subjects Data (Select One)**

This section left intentionally blank

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This section left intentionally blank

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**Additional Terms**

Semi-annually, the MSIPP Evaluator (Quality Measure LLC) sends surveys to the participants and students, therefore, the PI is required to be IRB certified. Instructions was given by the Evaluator to the Sub-awardee's PI .



**Attachment 3A**  
**Pass-Through Entity (PTE) Contacts**

Subaward Number:  
24-0019-P0001

**PTE Information**

Entity Name: Elizabeth City State University

Legal Address: 1704 Weeksville Road, Elizabeth City, NC 27909

Website: www.ecsu.edu

**PTE Contacts**

Central Email: adelgado@ecsu.edu

Principal Investigator Name: Abdennaceur Karoui

Email: abkaroui@ecsu.edu Telephone Number: 919-274-9411

Administrative Contact Name: Candace Hill

Email: cthill@ecsu.edu Telephone Number: 252-335-3120

COI Contact email (if different to above):

Financial Contact Name: Natarsha Jones

Email: nejones@ecsu.edu Telephone Number: 252-335-8714

Email invoices?  Yes  No Invoice email (if different):

Authorized Official Name: Annemarie Delgado

Email: adelgado@ecsu.edu Telephone Number: 252-335-3222

**PI Address:**

Off: 421, Jenkins Science Building  
1704 Weeksville Road, Elizabeth City, NC 27909

**Administrative Address:**

1704 Weeksville Road, Elizabeth City, NC 27909

**Invoice Address:**

To: nejones@ecsu.edu  
CC: abkaroui@ecsu.edu

**Attachment 3B**  
**Research Subaward Agreement**  
**Subrecipient Contacts**

Subaward Number:  
**24-0019-P0001**

**Subrecipient Information for FFATA reporting**

Entity's UEI/DUNS Name:

EIN No.:  Institution Type:

UEI / DUNS:  Currently registered in SAM.gov:  Yes  No

Parent UEI / DUNS:  Exempt from reporting executive compensation: Yes  No   
*(if no, complete 3B pg2)*

**Place of Performance Information for FFATA reporting**

Physical Address, City, State (if U.S.) and Country:

**U.S. Entities only (insert information for Place of Performance):**

Congressional District:  Zip Code+4:  [Zip Code Look-up](#)

**Subrecipient Contacts**

Central Email:   
Website:

Principal Investigator Name:   
Email:  Telephone Number:

Administrative Contact Name:   
Email:  Telephone Number:

Financial Contact Name:   
Email:  Telephone Number:   
Invoice Email:

Authorized Official Name:   
Email:  Telephone Number:

**Legal Address:**

**Administrative Address:**

**Payment Address:**

**Attachment 3B-2**  
**Highest Compensated Officers**

Subaward Number:

24-0019-P0001

**Subrecipient:**

Institution Name: Southern University and A&M College

PI Name: Shizhong Yang

**Highest Compensated Officers**

The names and total compensation of the five most highly compensated officers of the entity(ies) must be listed if the entity in the preceding fiscal year received 80 percent or more of its annual gross revenues in Federal awards; and \$25,000,000 or more in annual gross revenues from Federal awards; and the public does not have access to this information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. See FFATA § 2(b)(1) Internal Revenue Code of 1986.

Officer 1 Name:

Officer 1 Compensation:

Officer 2 Name:

Officer 2 Compensation:

Officer 3 Name:

Officer 3 Compensation:

Officer 4 Name:

Officer 4 Compensation:

Officer 5 Name:

Officer 5 Compensation:

**Attachment 4**  
**Reporting and Prior Approval Terms**

Subaward Number:

24-0019-P0001

Subrecipient agrees to submit the following reports (PTE contacts are identified in Attachment 3A):

**Technical Reports:**

- Monthly technical/progress reports will be submitted to the PTE's Administrative Contact within 15 days of the end of the month.
- Quarterly technical/progress reports will be submitted within 30 days after the end of each project quarter to the PTE's Administrative Contact.
- Semi-Annual technical / progress reports will be submitted within 20 days prior to the end of each budget period to the PTE's Principal Investigator. Such report shall also include a detailed budget for the next Budget Period, updated other support for key personnel, certification of appropriate education in the conduct of human subject research of any new key personnel, and annual IRB or IACUC approval, if applicable.
- A Final technical/progress report will be submitted to the PTE's Principal Investigator within 30 days of the end of the Project Period or after termination of this award, whichever comes first.
- Technical/progress reports on the project as may be required by PTE's Authorized Official in order for the PTE to satisfy its reporting obligations to the Federal Awarding Agency.

**Prior Approvals:**

Carryover:

Carryover request is submitted by June 30 of each year and requires prior agency approval

**Other Reports:**

- In accordance with 37 CFR 401.14, Subrecipient agrees to notify both the Federal Awarding Agency via iEdison and PTE's Authorized Official within 60 days after Subrecipient's inventor discloses invention(s) in writing to Subrecipient's personnel responsible for patent matters. The Subrecipient will submit a final invention report using Federal Awarding Agency specific forms to the PTE's Administrative Contact within 60 days of the end of the Project Period to be included as part of the PTE's final invention report to the Federal Awarding Agency.  
A negative report is required: Yes
- Property Inventory Report (only when required by Federal Awarding Agency), specific requirements below.

**Additional Technical and Reporting Requirements:**

Quarterly, the subawardee will submit to the PI :

- 1) Report on research progress highlighting the research progress and the performances of the participants including students,
- 2) Budget Forecast for the remainder of the year (template provided),
- 3) Report on project performance to the MSIPP Evaluator, Quality Measure LLC, using:
  - The Evaluator's SmartSheet,
  - The Evaluator's SharePoint, to report on the performance of supported students

Semi-annually, the sub awardee will submit :

- 1) Technical report according to the FARC (template based on DOE FARC reporting guidelines is provided)
- 2) Budget Forecast for the remainder of the year,
- 3) Report on project performance to the MSIPP Evaluator, Quality Measure LLC, using:
  - The Evaluator's SmartSheet,
  - The Evaluator's SharePoint, to report on the performance of supported students

**Attachment 5**  
**Statement of Work, Cost Sharing, Indirects & Budget**

Subaward Number:  
24-0019-P0001

**Statement of Work**

Below  Attached,  pages

If award is FFATA eligible and SOW exceeds 4000 characters, include a *Subrecipient Federal Award Project Description*

See attachment.

**Budget Information**

<b>Indirect Information</b> Indirect Cost Rate (IDC) Applied <input type="text" value="40"/> % Rate Type: <input type="text" value="MTDC"/>	<b>Cost Sharing</b> <input type="text" value="No"/> If Yes, include Amount: \$ <input type="text"/>
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**Budget Details**  Below  Attached,  pages

See attachment.

**Budget Totals**

Direct Costs	\$	<input type="text" value="128,572"/>
Indirect Costs	\$	<input type="text" value="41,428"/>
Total Costs	\$	<input type="text" value="170,000"/>

*All amounts are in United States Dollars*

**Attachment 6**  
**Notice of Award (NOA) and any additional documents**

- The following pages include the NOA and if applicable any additional documentation referenced throughout this Subaward.
- Not incorporating the NOA or any additional documentation to this Subaward.

*Nuclear Security, Advanced Manufacturing Enhanced by Machine Learning Phase II (NSAM-ML2)*  
**Statement of Work**

SUBR PI: Dr. Shizhong Yang

Professor of Computer Science, focusing on Materials Sciences

Sub-Awardee: Southern University and A&M College (SUBR)

Southern University and A&M College-Baton Rouge (SUBR) team led by Prof. Shizhong Yang is a sub awardee of the NSAM-ML2 award. This award is for Phase II of the *Consortium for Nuclear Security, Advanced Manufacturing Enhanced by Machine Learning* sponsored by NNSA-DOE and led by Elizabeth City State University (ECSU). The project will start on Oct. 1, 2023 and will end on Sept. 30, 2028. In this framework the consortium teams will partner with NNSA National Labs, which will support the research projects and the student training and summer internship programs. The annual budget for SUBR is \$170,000, the budget and the budget narrative have been submitted to ECSU.

The SUBR team will mainly be focused on developing nuclear radiation-resistant materials, which are mainly multi-component alloys for next generation nuclear reactor applications; these research goals and methods were proposed to MSIPP program under Project 6 (P6). The research will be performed through a close collaboration with the consortium faculty and staff, along with the CINT Gateway and the LANL Ion Beam Lab's staff scientists. Also, the team will collaborate with the computational team of the Center for Computing Research (CCR) at Sandia National Labs (SNL) on high performance computing using LAMMPS and DFT for modeling the complicated system simulation. We will use advanced computation resource at the SNL Supercomputing facility. Besides the major tasks in project P6, the SUBR team will work on P2 (T4), as well as P3 (T2), which include computer modeling of various aspects related to ion implantation experiment, where we will validate the nanoscale materials structure of Arc Melting process for micro- and nano-powder production, and chemical synthesis of high entropy alloys (HEA) and their characterization. The SUBR team will continue to provide support for the consortium, chiefly through data processing methods, including Machine Learning and other new methods that the SUBR's PI is envisioning. Junior faculty, postdoc staff, and students participating in this project, will be trained with the frontier-end research state-of-the-art facility and equipment, thereby laying a solid foundation for their future success.

The SUBR team leader, Dr. Yang, will be in charge of overall SUBR research and education activities, which will include: high performance computing for understanding the phase formation, defects and radiation resistance of new resistant materials (HEA, powder produced by Arc Melting, Ball Milling produced powders), machine learning to help rapidly validating or discovering new properties of these materials, experiment validation research, training, paper preparation, travel to conferences and workshop, and reports. Also as PI, Dr. Yang will be responsible on staff and student hiring as well as student engagement in research and training on research methods, and organization of summer internships.

Dr. Feng Gao, a co-investigator for the NSAM-ML2 will be responsible on materials computer simulation using density functional theory (DFT) and molecular dynamics (MD) LAMMPS. He will be also coordinating the work with the LBNL facility for performing research using synchrotron XRD, and student training.

Dr. Lynette Jackson will be responsible for student recruiting, workshop, and outreach.

Prof. Shengmin Guo will be mainly focused on experiment synthesis (e.g. Arc Melting and spark plasma sintering (SPS)), characterization, and related student training.

Postdoc will mainly do simulation, ML and AI study on novel materials design and general experiment and safety training.

The SUBR contribution to the Consortium's milestones during this second phase are:

- Milestone 1     Develop methods for simulating nanomaterials for advancing manufacturing methods, DFT MD, and phase calculation, enhanced by Machine Learning and improving manufacturing of materials of interest to NNSA.
- Milestone 3     Develop models and algorithms, and data-basis on nanomaterials and nanomaterial processing usable for Machine Learning.
- Milestone 4     Proved Machine Learning and Artificial Intelligence methods results for extracting key properties of materials, and fabrication processes, through experiment validation: synthesis, XRD, SEM, and ion implantation.
- Milestone 5     Developed course modules on simulation, machine learning, and advanced manufacturing of nanomaterials for nuclear applications. Outreach the research frontier advances to science & technology community, middle and high school and community college.
- Milestone 6     Sustained research training during academic year, summer internships at CINT, SNL, and LANL for maintaining a robust NNSA career pipeline.

**1. Workforce Development and Student Career Pipeline:**

- Education: This includes activities of mentoring students course works, teaching specialized courses with new course module(s) related to the NNSA fields.
- Research Training: This involves both in-campus research internships and summer internships in NNSA labs.
- Outreach: Hosting SUBR High School Day and Annual Symposium with topics closely related to NNSA science and technology fields.
- Both graduate and undergraduate students will be supported by the project to do state-of-the-art research. Students from SUBR will also collaborating with ECSU team and join LANL and SNL related training, and travel to the national labs to have hands-on training and on-site visiting.

**Milestone (M5 & M6):** Two graduate and one undergraduate students supported and trained per year; two course modules designed per year; two outreach events hosted per year.

**2. Research Projects:**

SUBR team will conduct DFT and MD simulation, ML study on developing novel high performance materials, then based on the prediction, synthesize the samples. The open-source big data tools TensorFlow and PyTorch will be employed to train the model. The computational data will be obtained by using an ab initio type molecular dynamic (MD) calculations and thermodynamics method to study the randomly distributed multi-component crystal metallic alloys through a slab model. The phase diagram calculation method (CALPHAD) will be used to support developing the stable alloys by calculating the possible stable single-phase alloys. One multicomponent alloy preparation route is mechanical alloying (MA) by ball milling and arc melting. The other route will be spark plasma sintering (SPS). Experiment validation will be conducted using XRD, ion implantation, SEM, and synchrotron XRD if the materials are potentially beneficial under pressure. Our Year One tasks and Milestones are listed as follows:

**Project 2 (P2): Defects in Nanomaterials Under Extreme Environment**

T4. Ion implantation induced phase transforms in high entropy materials	Samples synthesized and tested.
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Milestone **M1, M3, M4**



**Project 3 (P3): Manufacturing Micro and Nano-powder Materials**

T2. Manufacturing superalloys by arc melting and SPS	Samples synthesized.
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**Milestone (M4)**

**Project 6 (P6): Manufacturing of High Entropy Materials and Radiation-Resistant alloys Enhanced by Machine Learning**

Machine Learning and Artificial Intelligence Methods for Design and Verification of High Performance Materials for Nuclear Applications	Milestone
T1. Structure optimization & atomistic modeling of high entropy alloys.	One structure optimized.
T2. Phase transforms and phase diagrams of high entropy alloys	Phase calculated.
T3. Bridging the gap between simulations and experiments through deep learning	Method tested.
T4. ML design of radiation-resistant alloys	Data collected and preliminary test run.

**Milestone M1, M3, & M4**

**3. Relationship with NNSA Plants or National Labs:**

We'll continue to collaborate with CINT at LANL, Dr. Yongqiang Wang's team, and SNL computational LAMMPS team. Students will travel and visit CINT annually. They will have opportunities to join SNL workshop, using HPC facilities, and learn from LAMMPS team on MD simulation.

**Milestone:** Two students supported annually on traveling to CINT or participating in SNL workshop and trained. (M6)

**4. Products:**

Overall, our SUBR project products will be:

1. Students trained on and independently using research techniques;
2. Develop new course modules and offer
3. Papers published in technical journals and presentations given in specialist conferences.
4. Organize of workshop related to the NSAM-ML research
5. Student career development and planning sessions
6. Outreach activities involving K12 and technical Colleges
7. Participation in the Consortium Seminar Series,
8. Connecting with the "Manufacturing and Nuclear Security Science Community" of the NSAM-ML consortium institutions and other MSIPP consortia
9. Participating in the MSIPP evaluation led by Quality Measure; and
10. Quarterly reporting to the lead institution, which will integrate SUBR team's reports into the Consortium's reports to DOE/NNSA.

**Intellectual Property Provisions (GNP-821-US)**  
**Grant and Cooperative Agreement**  
**Research, Development, or Demonstration**  
**Domestic Nonprofit Organization – U.S. Competitiveness**

- |     |               |   |
|-----|---------------|---|
| 01. | 2 CFR 200.315 | Intangible Property                                   |
| 02. | 37 CFR 401.14 | Modified Patent Rights Clause (U.S. Competitiveness*) |

NOTE: In reading these provisions, the terms contractor, recipient, and non-Federal Entity are used interchangeable. Similarly, the terms contract and subcontract are used interchangeable with award and subaward respectively.

\*The recipient and any subrecipients are subject to the policy of the Determination of Exceptional Circumstances (DEC) under the Bayh-Dole Act to Further Promote Domestic Manufacture of DOE Science and Energy Technologies executed by DOE on June 7, 2021. A copy of the DEC is available at <https://www.energy.gov/gc/determination-exceptional-circumstances-decs>.

## 01. 2 CFR 200.315 Intangible Property

(a) Title to intangible property (see §200.59 Intangible property) acquired under a Federal award vests upon acquisition in the non-Federal entity. The non-Federal entity must use that property for the originally-authorized purpose, and must not encumber the property without approval of the Federal awarding agency. When no longer needed for the originally authorized purpose, disposition of the intangible property must occur in accordance with the provisions in §200.313 Equipment paragraph (e).

(b) The non-Federal entity may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. The Federal awarding agency reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

(c) The non-Federal entity is subject to applicable regulations governing patents and inventions, including governmentwide regulations issued by the Department of Commerce at 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Awards, Contracts and Cooperative Agreements."

(d) The Federal government has the right to:

(1) Obtain, reproduce, publish, or otherwise use the data produced under a Federal award;  
and

(2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

(e) Freedom of Information Act (FOIA).

(1) In response to a Freedom of Information Act (FOIA) request for research data relating to published research findings produced under a Federal award that were used by the Federal government in developing an agency action that has the force and effect of law, the Federal awarding agency must request, and the non-Federal entity must provide, within a reasonable time, the research data so that they can be made available to the public through the procedures established under the FOIA. If the Federal awarding agency obtains the research data solely in response to a FOIA request, the Federal awarding agency may charge the requester a reasonable fee equaling the full incremental cost of obtaining the research data. This fee should reflect costs incurred by the Federal agency and the non-Federal entity. This fee is in addition to any fees the Federal awarding agency may assess under the FOIA (5 U.S.C. 552(a)(4)(A)).

(2) Published research findings means when:

(i) Research findings are published in a peer-reviewed scientific or technical journal; or

(ii) A Federal agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law. "Used by the Federal government in developing an agency action that has the force and effect of law" is defined as when an agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law.

(3) Research data means the recorded factual material commonly accepted in the scientific community as necessary to validate research findings, but not any of the following: preliminary analyses, drafts of scientific papers, plans for future research, peer reviews, or communications with colleagues. This "recorded" material excludes physical objects (e.g., laboratory samples). Research data also do not include:

(i) Trade secrets, commercial information, materials necessary to be held confidential by a researcher until they are published, or similar information which is protected under law; and

(ii) Personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, such as information that could be used to identify a particular person in a research study.

## **02. 37 CFR 401.14 DOE Modified Patent Rights Clause\***

*\*the standard patent rights clause at 37 CFR 401.14 has been modified to (1) reflect DOE required subcontracting instructions pursuant to 37 CFR 401.5(a) as well as the deletion of the definition of contractor that does not apply based on the subcontracting instructions; (2) change acquisition terms of contractor, contract and subcontract to financial assistance terms of recipient, award, subaward or agreement pursuant to 37 CFR 401.5(c); and (3) include paragraph (m) U.S. competitiveness provision pursuant to the Determination of Exceptional Circumstances under the Bayh-Dole Act to Further Promote Domestic Manufacture of DOE Science and Energy Technologies executed by DOE on June 7, 2021.*

### (a) Definitions

(1) Invention means any invention or discovery which is or may be patentable or otherwise protectable under Title 35 of the United States Code, or any novel variety of plant which is or may be protected under the Plant Variety Protection Act ( 7 U.S.C. 2321et seq.).

(2) Subject invention means any invention of the Recipient conceived or first actually reduced to practice in the performance of work under this agreement, provided that in the case of a variety of plant, the date of determination (as defined in section 41(d) of the Plant Variety Protection Act, 7 U.S.C. 2401(d)) must also occur during the period of agreement performance.

(3) Practical Application means to manufacture in the case of a composition or product, to practice in the case of a process or method, or to operate in the case of a machine or system; and, in each case, under such conditions as to establish that the invention is being utilized

and that its benefits are, to the extent permitted by law or government regulations, available to the public on reasonable terms.

(4) Made when used in relation to any invention means the conception or first actual reduction to practice of such invention.

(5) Small Business Firm means a small business concern as defined at section 2 of Pub. L. 85-536 ( 15 U.S.C. 632) and implementing regulations of the Administrator of the Small Business Administration. For the purpose of this clause, the size standards for small business concerns involved in government procurement and subcontracting at 13 CFR 121.3-8 and 13 CFR 121.3-12, respectively, will be used.

(6) Nonprofit Organization means a university or other institution of higher education or an organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 ( 26 U.S.C. 501(c) and exempt from taxation under section 501(a) of the Internal Revenue Code ( 25 U.S.C. 501(a)) or any nonprofit scientific or educational organization qualified under a state nonprofit organization statute.

(7) The term statutory period means the one-year period before the effective filing date of a claimed invention during which exceptions to prior art exist per 35 U.S.C. 102(b) as amended by the Leahy-Smith America Invents Act, Public Law 112-29.

#### (b) Allocation of Principal Rights

The Recipient may retain the entire right, title, and interest throughout the world to each subject invention subject to the provisions of this clause and 35 U.S.C. 203. With respect to any subject invention in which the Recipient retains title, the Federal government shall have a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States the subject invention throughout the world.

#### (c) Invention Disclosure, Election of Title and Filing of Patent Application by Recipient

(1) The Recipient will disclose each subject invention to the Federal Agency within two months after the inventor discloses it in writing to Recipient personnel responsible for patent matters. The disclosure to the agency shall be in the form of a written report and shall identify the agreement under which the invention was made and the inventor(s). It shall be sufficiently complete in technical detail to convey a clear understanding to the extent known at the time of the disclosure, of the nature, purpose, operation, and the physical, chemical, biological or electrical characteristics of the invention. The disclosure shall also identify any publication, on sale or public use of the invention and whether a manuscript describing the invention has been submitted for publication and, if so, whether it has been accepted for publication at the time of disclosure. In addition, after disclosure to the agency, the Recipient will promptly notify the agency of the acceptance of any

manuscript describing the invention for publication or of any on sale or public use planned by the Recipient.

(2) The Recipient will elect in writing whether or not to retain title to any such invention by notifying the Federal agency within two years of disclosure to the Federal agency. However, in any case where a patent, a printed publication, public use, sale, or other availability to the public has initiated the one year statutory period wherein valid patent protection can still be obtained in the United States, the period for election of title may be shortened by the agency to a date that is no more than 60 days prior to the end of the statutory period.

(3) The Recipient will file its initial patent application on a subject invention to which it elects to retain title within one year after election of title or, if earlier, prior to the end of any statutory period wherein valid patent protection can be obtained in the United States after a publication, on sale, or public use. If the Recipient files a provisional application as its initial patent application, it shall file a non-provisional application within 10 months of the filing of the provisional application. The Recipient will file patent applications in additional countries or international patent offices within either ten months of the first filed patent application or six months from the date permission is granted by the Commissioner of Patents to file foreign patent applications where such filing has been prohibited by a Secrecy Order.

(4) For any subject invention with Federal agency and Recipient co-inventors, where the Federal agency employing such co-inventor determines that it would be in the interest of the government, pursuant to 35 U.S.C. 207(a)(3), to file an initial patent application on the subject invention, the Federal agency employing such co-inventor, at its discretion and in consultation with the Recipient, may file such application at its own expense, provided that the Recipient retains the ability to elect title pursuant to 35 U.S.C. 202(a).

(5) Requests for extension of the time for disclosure, election, and filing under paragraphs (1), (2), and (3) of this clause may, at the discretion of the Federal agency, be granted. When a Recipient has requested an extension for filing a non-provisional application after filing a provisional application, a one-year extension will be granted unless the Federal agency notifies the Recipient within 60 days of receiving the request.

(d) Conditions When the Government May Obtain Title

The Recipient will convey to the Federal agency, upon written request, title to any subject invention -

(1) If the Recipient fails to disclose or elect title to the subject invention within the times specified in paragraph (c) of this clause, or elects not to retain title.

(2) In those countries in which the Recipient fails to file patent applications within the times specified in paragraph (c) of this clause; provided, however, that if the Recipient has filed

a patent application in a country after the times specified in paragraph (c) of this clause, but prior to its receipt of the written request of the Federal agency, the Recipient shall continue to retain title in that country.

(3) In any country in which the Recipient decides not to continue the prosecution of any non-provisional patent application for, to pay a maintenance, annuity or renewal fee on, or to defend in a reexamination or opposition proceeding on, a patent on a subject invention.

(4) Upon breach of paragraph (m) U.S. Competitiveness on of this Patent Rights clause.

(e) Minimum Rights to Recipient and Protection of the Recipient Right to File

(1) The Recipient will retain a nonexclusive royalty-free license throughout the world in each subject invention to which the Government obtains title, except if the Recipient fails to disclose the invention within the times specified in (c), above. The Recipient's license extends to its domestic subsidiary and affiliates, if any, within the corporate structure of which the Recipient is a party and includes the right to grant sublicenses of the same scope to the extent the Recipient was legally obligated to do so at the time the agreement was awarded. The license is transferable only with the approval of the Federal agency except when transferred to the successor of that party of the Recipient's business to which the invention pertains.

(2) The Recipient's domestic license may be revoked or modified by the funding Federal agency to the extent necessary to achieve expeditious practical application of the subject invention pursuant to an application for an exclusive license submitted in accordance with applicable provisions at 37 CFR part 404 and agency licensing regulations (if any). This license will not be revoked in that field of use or the geographical areas in which the Recipient has achieved practical application and continues to make the benefits of the invention reasonably accessible to the public. The license in any foreign country may be revoked or modified at the discretion of the funding Federal agency to the extent the Recipient, its licensees, or the domestic subsidiaries or affiliates have failed to achieve practical application in that foreign country.

(3) Before revocation or modification of the license, the funding Federal agency will furnish the Recipient a written notice of its intention to revoke or modify the license, and the Recipient will be allowed thirty days (or such other time as may be authorized by the funding Federal agency for good cause shown by the Recipient) after the notice to show cause why the license should not be revoked or modified. The Recipient has the right to appeal, in accordance with applicable regulations in 37 CFR part 404 and agency regulations (if any) concerning the licensing of Government-owned inventions, any decision concerning the revocation or modification of the license.

(f) Recipient Action to Protect the Government's Interest

(1) The Recipient agrees to execute or to have executed and promptly deliver to the Federal agency all instruments necessary to (i) establish or confirm the rights the Government has throughout the world in those subject inventions to which the Recipient elects to retain title, and (ii) convey title to the Federal agency when requested under paragraph (d) above and to enable the government to obtain patent protection throughout the world in that subject invention.

(2) The Recipient agrees to require, by written agreement, its employees, other than clerical and nontechnical employees, to disclose promptly in writing to personnel identified as responsible for the administration of patent matters and in a format suggested by the Recipient each subject invention made under agreement in order that the Recipient can comply with the disclosure provisions of paragraph (c) of this clause, to assign to the Recipient the entire right, title and interest in and to each subject invention made under agreement, and to execute all papers necessary to file patent applications on subject inventions and to establish the government's rights in the subject inventions. This disclosure format should require, as a minimum, the information required by paragraph (c)(1) of this clause. The Recipient shall instruct such employees through employee agreements or other suitable educational programs on the importance of reporting inventions in sufficient time to permit the filing of patent applications prior to U.S. or foreign statutory bars.

(3) For each subject invention, the Recipient will, no less than 60 days prior to the expiration of the statutory deadline, notify the Federal agency of any decision: Not to continue the prosecution of a non-provisional patent application; not to pay a maintenance, annuity or renewal fee; not to defend in a reexamination or opposition proceeding on a patent, in any country; to request, be a party to, or take action in a trial proceeding before the Patent Trial and Appeals Board of the U.S. Patent and Trademark Office, including but not limited to post-grant review, review of a business method patent, inter partes review, and derivation proceeding; or to request, be a party to, or take action in a non-trial submission of art or information at the U.S. Patent and Trademark Office, including but not limited to a pre-issuance submission, a post-issuance submission, and supplemental examination.

(4) The Recipient agrees to include, within the specification of any United States patent applications and any patent issuing thereon covering a subject invention, the following statement, "This invention was made with government support under (identify the agreement) awarded by (identify the Federal agency). The government has certain rights in the invention."

(g) Subawards

(1) The Recipient will include this clause, suitably modified to identify the parties, in all subawards, regardless of tier, for experimental, developmental or research work to be performed by a domestic small business firm or nonprofit organization. The subrecipient will retain all rights provided for the Recipient in this clause, and the Recipient will not, as part of



the consideration for awarding the subaward, obtain rights in the subrecipient's subject inventions.

(2) The Recipient will include in all other subawards, regardless of tier, for experimental developmental or research work the patent rights clause directed by the DOE Contracting Officer.

(h) Reporting on Utilization of Subject Inventions

The Recipient agrees to submit on request periodic reports no more frequently than annually on the utilization of a subject invention or on efforts at obtaining such utilization that are being made by the Recipient or its licensees or assignees. Such reports shall include information regarding the status of development, date of first commercial sale or use, gross royalties received by the Recipient, and such other data and information as the agency may reasonably specify. The Recipient also agrees to provide additional reports as may be requested by the agency in connection with any march-in proceeding undertaken by the agency in accordance with paragraph (j) of this clause. As required by 35 U.S.C. 202(c)(5), the agency agrees it will not disclose such information to persons outside the government without permission of the Recipient.

(i) Preference for United States Industry

Notwithstanding any other provision of this clause, the Recipient agrees that neither it nor any assignee will grant to any person the exclusive right to use or sell any subject inventions in the United States unless such person agrees that any products embodying the subject invention or produced through the use of the subject invention will be manufactured substantially in the United States. However, in individual cases, the requirement for such an agreement may be waived by the Federal agency upon a showing by the Recipient or its assignee that reasonable but unsuccessful efforts have been made to grant licenses on similar terms to potential licensees that would be likely to manufacture substantially in the United States or that under the circumstances domestic manufacture is not commercially feasible.

(j) March-in Rights

The Recipient agrees that with respect to any subject invention in which it has acquired title, the Federal agency has the right in accordance with the procedures in 37 CFR 401.6 and any supplemental regulations of the agency to require the Recipient, an assignee or exclusive licensee of a subject invention to grant a nonexclusive, partially exclusive, or exclusive license in any field of use to a responsible applicant or applicants, upon terms that are reasonable under the circumstances, and if the Recipient, assignee, or exclusive licensee refuses such a request the Federal agency has the right to grant such a license itself if the Federal agency determines that:

(1) Such action is necessary because the Recipient or assignee has not taken, or is not expected to take within a reasonable time, effective steps to achieve practical application of the subject invention in such field of use.

(2) Such action is necessary to alleviate health or safety needs which are not reasonably satisfied by the Recipient, assignee or their licensees;

(3) Such action is necessary to meet requirements for public use specified by Federal regulations and such requirements are not reasonably satisfied by the Recipient, assignee or licensees; or

(4) Such action is necessary because the agreement required by paragraph (i) of this clause has not been obtained or waived or because a licensee of the exclusive right to use or sell any subject invention in the United States is in breach of such agreement.

(k) Special Provisions for Agreements with Nonprofit Organizations

If the Recipient is a nonprofit organization, it agrees that:

(1) Rights to a subject invention in the United States may not be assigned without the approval of the Federal agency, except where such assignment is made to an organization which has as one of its primary functions the management of inventions, provided that such assignee will be subject to the same provisions as the Recipient;

(2) The Recipient will share royalties collected on a subject invention with the inventor, including Federal employee co-inventors (when the agency deems it appropriate) when the subject invention is assigned in accordance with 35 U.S.C. 202(e) and 37 CFR 401.10;

(3) The balance of any royalties or income earned by the Recipient with respect to subject inventions, after payment of expenses (including payments to inventors) incidental to the administration of subject inventions, will be utilized for the support of scientific research or education; and

(4) It will make efforts that are reasonable under the circumstances to attract licensees of subject inventions that are small business firms and that it will give a preference to a small business firm when licensing a subject invention if the Recipient determines that the small business firm has a plan or proposal for marketing the invention which, if executed, is equally as likely to bring the invention to practical application as any plans or proposals from applicants that are not small business firms; provided, that the Recipient is also satisfied that the small business firm has the capability and resources to carry out its plan or proposal. The decision whether to give a preference in any specific case will be at the discretion of the Recipient. However, the Recipient agrees that the Federal agency may review the Recipient's licensing program and decisions regarding small business applicants, and the Recipient will negotiate changes to its licensing policies, procedures, or practices with

the Federal agency when the Federal agency's review discloses that the Recipient could take reasonable steps to implement more effectively the requirements of this paragraph (k)(4). In accordance with 37 CFR 401.7, the Federal agency or the Recipient may request that the Secretary review the Recipient's licensing program and decisions regarding small business applicants.

(l) Communication

Unless otherwise directed by DOE Patent Counsel, all reports and notifications required by this clause shall be submitted in accordance with the instructions provided in the Federal Assistance Reporting Checklist (FARC) of this agreement.

(m) U.S. Competitiveness

The Recipient agrees that any products embodying any subject invention or produced through the use of any subject invention will be manufactured substantially in the United States unless the Recipient can show to the satisfaction of DOE that it is not commercially feasible. In the event DOE agrees to foreign manufacture, there will be a requirement that the Government's support of the technology be recognized in some appropriate manner, e.g., alternative binding commitments to provide an overall net benefit to the U.S. economy. The Recipient agrees that it will not license, assign or otherwise transfer any subject invention to any entity, at any tier, unless that entity agrees to these same requirements. In the event that the Recipient or other such entity receiving rights in the Subject Invention undergoes a change in ownership amounting to a controlling interest, the Recipient or other such entity receiving rights shall ensure continual compliance with the requirements of this paragraph (m) and shall inform DOE, in writing, of the change in ownership within six months of the change. The Recipient and any successor assignee will convey to DOE, upon written request from DOE, title to any subject invention, upon a breach of this paragraph (m). The Recipient will include this paragraph (m) in all subawards/contracts, regardless of tier, for experimental, developmental or research work.

(n) The requirements, rights and administration of paragraph (m) are further clarified as follows:

1. Waivers. The Recipient (or any entity subject to paragraph (m)) may request a waiver or modification of paragraph (m). Such waivers or modifications may be granted when DOE determines that (1) the Recipient (or any entity subject to paragraph (m)) has demonstrated, with quantifiable data, that manufacturing in the United States is not commercially feasible and (2) a waiver or modification would best serve the interests of the United States and the general public.
2. Final determination of breach of paragraph (m). If DOE determines the Recipient is in breach of paragraph (m), the Department may issue a final written determination of such breach. If such determination includes a demand for title to the subject

inventions under the award, the demand for title will cause an immediate conveyance and assignment of all rights to all subject inventions under the award to the United States Government, including all pending U.S. and foreign patent applications and all U.S. and foreign patents that cover any subject invention, without compensation. Any such final determination shall be signed by the cognizant DOE Contracting Officer with the concurrence of the Assistant General Counsel for Technology Transfer & Intellectual Property. Advanced notice will be provided for comment to the Recipient before any final written determination by DOE is issued.

3. Pursuant to Recipient's agreement in paragraph (m) to not license, assign or otherwise transfer rights to subject inventions at any tier unless the entity agrees to paragraph (m): any such license, assignment, or other transfer of right to any subject invention developed under the award shall contain paragraph (m) suitably modified to properly identify the parties. If a licensee, assignee, or other transferee of rights to any subject invention is finally determined by DOE in writing to be in breach of paragraph (m), the applicable license, assignment or other transfer shall be deemed null and void. Advanced notice will be provided for comment to the non-complying party before any final written determination by DOE is made.
4. For clarity, if the forfeiture of title to any subject invention is due to a breach of paragraph (m), the Recipient shall not be entitled to any compensation, or to a license to the subject invention including the reserved license in section (e)(1), unless DOE grants a license through a separately agreed upon licensing agreement.
5. Authority. The requirements and administration of paragraph (m) is in accordance with the Determination of Exceptional Circumstances (DEC) under the Bayh-Dole Act to Further Promote Domestic Manufacture of DOE Science and Energy Technologies executed by DOE on June 7, 2021. A copy of the DEC is available at <https://www.energy.gov/gc/determination-exceptional-circumstances-decs>. By accepting or acknowledging the award, the Recipient is also acknowledging that it has received a copy of the DEC through the foregoing link. As set forth in 37 CFR 401.4, any nonprofit organization or small business firm as defined by 35 U.S.C. 201 affected by any DEC has the right to appeal the imposition of the DEC within thirty (30) working days from the Recipient's acceptance or acknowledgement of this award.

(End of Clause)

**ASSISTANCE AGREEMENT**

1. Award No. DE-NA0004112		2. Modification No.:	3. Effective Date 10/01/2023	4. CFDA No. 81.123
5. Awarded To ELIZABETH CITY STATE UNIVERSITY Attn: Annemarie Delgado 1704 WEEKSVILLE RD. Campus Box 864 ELIZABETH CITY NC 279097806		6. Sponsoring Office Natl Nuclear Security Admin Office of Learning and Career Mgmt Leadership and Workforce Development, NA-MB-41 1000 Independence Avenue, S.W. Washington DC 20585		7. Period of Performance 10/01/2023 through 09/30/2028
8. Type of Agreement <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Other	9. Authority see page 2		10. Purchase Request or Funding Document No. 23NA002025	
11. Remittance Address ELIZABETH CITY STATE UNIVERSITY Attn: ELIZABETH CITY STATE UNIV 1704 WEEKSVILLE RD ELIZABETH CITY NC 279097806		12. Total Amount Govt. Share: \$5,000,000.00  Cost Share : \$0.00  Total : \$5,000,000.00		13. Funds Obligated This action: \$1,750,000.00  Total : \$1,750,000.00
14. Principal Investigator	15. Program Manager Betsy L. Snell Phone: 202-251-8567		16. Administrator NNSA Specialty Acq Branch NA-PAS-311 Albuquerque Complex P.O. Box 5400 Albuquerque NM 87185-5400	
17. Submit Payment Requests To		18. Paying Office		19. Submit Reports To See Financial Assistance Reporting Checklist for reporting due dates and Closeout
20. Accounting and Appropriation Data 00900-2023-01-100344-41010-2223262-0000000-0000000-0000000				
21. Research Title and/or Description of Project Consortium of Nuclear Security Advanced Manufacturing Enhanced by Machine Learning (NSAM-ML-2)				
For the Recipient			For the United States of America	
22. Signature of Person Authorized to Sign			25. Signature of Grants/Agreements Officer  Signature on File	
23. Name and Title	24. Date Signed	26. Name of Officer Kristee R. Hall		27. Date Signed 09/22/2023

**CONTINUATION SHEET**

REFERENCE NO. OF DOCUMENT BEING CONTINUED  
DE-NA0004112

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2 | 19

NAME OF OFFEROR OR CONTRACTOR  
ELIZABETH CITY STATE UNIVERSITY

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>UEI: K2QMZUVDPKW1</p> <p>Period of Performance: October 01, 2023 - September 30, 2028</p> <p>Budget Periods:</p> <ol style="list-style-type: none"> <li>1.) October 01, 2023 to September 30, 2024</li> <li>2.) October 01, 2024 to September 30, 2025</li> <li>3.) October 01, 2025 to September 30, 2026</li> <li>4.) October 01, 2026 to September 30, 2027</li> <li>5.) October 01, 2027 to September 30, 2028</li> </ol> <p>This is a new award fully funded for budget period 1 in the amount of \$1,750,000.00 and partially funds Budget Period 2. Costs for Budget Years 2, 3, 4 and 5 need to be authorized by the Grants Officer.</p> <p>Due to the end of NNSA's final application review and approval by the Grants Officer, the SF424 R&amp;F (Fed/Non-Fed) Application and Budget form, attached hereto, may require additional minor adjustments. Your institution is required to submit a revised OMB forms 30 days after 9-30-2023. The Data Management Plan is required to be submitted 90 days after award to the Program Manager, Betsy Snell @Betsy.Snell@nnsa.doe.gov. If an amendment to incorporate a revised budget will be required, your institution will be immediately notified by the Grants Officer.</p> <p>Incorporated under this agreement are the following attachments:</p> <ol style="list-style-type: none"> <li>1) Award Intellectual Property Provisions</li> <li>2) Statement of Project Objectives</li> <li>3) Financial Assistance Reporting Requirements</li> <li>4) R&amp;R Budget Forms</li> <li>5) Federal Wide Research Terms and Conditions</li> <li>6) DOE Agency Specific Requirements</li> </ol> <p>Point of Contact for Advance Pay Set-up: Mary-Elena Jellison Phone: (505) 845-4147 Email: maria-elena.jellison@nnsa.doe.gov</p> <p>Principal Investigator: Dr. Abdennaceur Karoui Phone: (252) 335-3222</p> <p>Recipient's Business Point of Contact: AnneMarie Delgado</p> <p>Continued ...</p>				

**CONTINUATION SHEET**

REFERENCE NO. OF DOCUMENT BEING CONTINUED  
DE-NA0004112

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NAME OF OFFEROR OR CONTRACTOR  
ELIZABETH CITY STATE UNIVERSITY

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>Phone: (252)355-3222 Email: delgado@ecs.u.edu</p> <p>Grants Officer: Kristee Hall Phone: (240) 205-0783 Email: Kristee.Hall@nnsa.doe.gov ASAP: YES Extent Competed: COMPETED Davis-Bacon Act: NO PI: Abdennaceur Karoui Delivery: 09/22/2023 Delivery Location Code: 05001 NNSA Contracting Op Div NA-PAS-31 Albuquerque Complex P.O. Box 5400 Albuquerque NM 87185-5400 USA</p> <p>Fund: 00900 Appr Year: 2023 Allottee: 01 Report Entity: 100344 Object Class: 41010 Program: 2223262 Project: 0000000 WFO: 0000000 Local Use: 0000000</p>				





**Section - - SPECIAL TERMS AND CONDITIONS FOR USE IN MOST GRANTS AND COOPERATIVE AGREEMENTS**

**LEGAL AUTHORITY AND EFFECT (JUNE 2015)**

(a) A DOE financial assistance award is valid only if it is in writing and is signed, either in writing or electronically, by a DOE Grants Officer.

(b) Recipients are free to accept or reject the award. A request to draw down DOE funds constitutes the Recipient's acceptance of the terms and conditions of this Award.

**RESOLUTION OF CONFLICTING CONDITIONS**

Any apparent inconsistency between Federal statutes and regulations and the terms and conditions contained in this award must be referred to the DOE Award Administrator for guidance.

**AWARD AGREEMENT TERMS AND CONDITIONS (DECEMBER 2014)**

This award/agreement consists of the Assistance Agreement cover page, plus the following:

a. Special terms and conditions.

b. Attachments:

Attachment No. Title

- 1 Intellectual Property Provisions
- 2 Statement of Project Objectives
- 3 Federal Assistance Reporting Checklist
- 4 Budget Pages

c. DOE Assistance Regulations, 2 CFR part 200 as amended by 2 CFR part 910 at <http://www.eCFR.gov>.

d. National Policy Assurances to Be Incorporated as Award Terms in effect on date of award at <http://www.nsf.gov/awards/managing/rtc.jsp>.

**AWARD PROJECT PERIOD AND BUDGET PERIODS**

Budget Period	Budget Period Start Date	Budget Period End Date
1	October 01, 2023	September 30, 2024
2	October 01, 2024	September 30, 2025
3	October 01, 2025	September 30, 2026
4	October 01, 2026	September 30, 2027
5	October 01, 2027	September 30, 2028

**CONFERENCE SPENDING (FEBRUARY 2015)**

The recipient shall not expend any funds on a conference not directly and programmatically related to the purpose for which the grant or cooperative agreement was awarded that would defray the cost to the United States Government of a conference held by any Executive branch department, agency, board, commission, or office for which the cost to the United States Government would otherwise exceed \$20,000, thereby circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such conference.

**PAYMENT PROCEDURES - REIMBURSEMENT THROUGH THE AUTOMATED STANDARD APPLICATION FOR PAYMENTS (ASAP) SYSTEM**

- a. Method of Payment. Payment will be made by reimbursement through the Department of Treasury's ASAP system.
- b. Requesting Reimbursement. Requests for reimbursements must be made through the ASAP system. Your requests for reimbursement should coincide with your normal billing pattern, but not more frequently than every two weeks. Each request must be limited to the amount of disbursements made for the federal share of direct project costs and the proportionate share of allowable indirect costs incurred during that billing period.
- c. Adjusting payment requests for available cash. You must disburse any funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds before requesting additional cash payments from DOE/NNSA.
- d. Payments. All payments are made by electronic funds transfer to the bank account identified on the ASAP Bank Information Form that you filed with the U.S. Department of Treasury.

**INCREMENTAL FUNDING AND MAXIMUM OBLIGATION - DIFFERENT BUDGET PERIOD AND PROJECT PERIOD**

If at any time during the award a budget period is funded on an incremental basis, the maximum obligation of the DOE/NNSA is limited to the amount shown on the Award Agreement. You are not obligated to continue performance of the project beyond the total amount obligated and your pro rata share of the project costs, if cost sharing is required.

Subject to the availability of additional funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority, DOE anticipates obligating the total estimated amount for the current budget period.

**DIRECT PAYMENT BY DOE/NNSA OF FEDERALLY FUNDED RESEARCH AND DEVELOPMENT CENTER (FFRDC) CONTRACTOR COST**

For the purposes of this term, Total Estimated Cost of Project includes DOE/NNSA FFRDC contractor costs. The DOE/NNSA FFRDC contractor cost is not included in the total approved budget for this award, because DOE/NNSA will pay the DOE/NNSA FFRDC contractor portion of the effort under an existing DOE/NNSA contract. Recipient is not responsible for reporting on that portion of the total estimated cost that is paid directly to the DOE/NNSA FFRDC contractor.

#### **REBUDGETING AND RECOVERY OF INDIRECT COSTS - REIMBURSABLE INDIRECT COSTS AND FRINGE BENEFITS**

a. If actual allowable indirect costs are less than those budgeted and funded under the award, you may use the difference to pay additional allowable direct costs during the project period. If at the completion of the award the Government's share of total allowable costs (i.e., direct and indirect), is less than the total costs reimbursed, you must refund the difference.

b. Recipients are expected to manage their indirect costs. DOE will not amend an award solely to provide additional funds for changes in indirect cost rates. DOE recognizes that the inability to obtain full reimbursement for indirect costs means the recipient must absorb the underrecovery. Such underrecovery may be allocated as part of the organization's required cost sharing.

#### **USE OF PROGRAM INCOME - ADDITION**

If you earn program income during the project period as a result of this award, you may add the program income to the funds committed to the award and use it to further eligible project objectives.

#### **STATEMENT OF FEDERAL STEWARDSHIP**

DOE/NNSA will exercise normal Federal stewardship in overseeing the project activities performed under this award. Stewardship activities include, but are not limited to, conducting site visits; reviewing performance and financial reports; providing technical assistance and/or temporary intervention in unusual circumstances to correct deficiencies which develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the award objectives have been accomplished.

#### **SITE VISITS**

DOE/NNSA's authorized representatives have the right to make site visits at reasonable times to review project accomplishments and management control systems and to provide technical assistance, if required. You must provide, and must require your subrecipients to provide, reasonable access to facilities, office space, resources, and assistance for the safety and convenience of the government representatives in the performance of their duties. All site visits and evaluations must be performed in a manner that does not unduly interfere with or delay the work.

#### **REPORTING REQUIREMENTS (APRIL 2023)**

a. Requirements. The reporting requirements for this award are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to this award. Failure to comply with these reporting requirements is considered a material noncompliance with the terms of the award. Noncompliance may result in withholding of

future payments, suspension, or termination of the current award, and withholding of future awards. A willful failure to perform, a history of failure to perform, or unsatisfactory performance of this and/or other financial assistance awards, may also result in a debarment action to preclude future awards by Federal agencies.

b. Dissemination of scientific/technical reporting products. Reporting project results in scientific and technical information (STI) publications/products to the DOE Office of Scientific and Technical Information (OSTI) ensures dissemination of research results to the public as well as preservation of the results. The DOE form F 4600.2, B. Scientific/Technical Reporting, has instructions for the DOE Energy Link (E-Link) system managed by OSTI. Scientific/technical reports and other STI products submitted under this award will be disseminated publicly on the Web via OSTI.GOV (<https://www.osti.gov>), unless the STI contains patentable material, protected data, or SBIR/STTR data, which must be indicated per instructions in DOE 4600.2.

c. Restrictions. Restrictions. STI products submitted to the DOE via E-link must not contain any Protected Personally Identifiable Information (PII), limited rights data, classified information, information subject to export control classification, or other information not subject to public release. The Contracting Officer or Technical Project Officer should be contacted with any questions. Limited rights data means data (other than computer software) developed at private expense that embody trade secrets or are commercial or financial and confidential or privileged. SBIR/STTR Protected Data, and other data subject to statutory data protection authorized by the award may be submitted, provided such data is properly marked and identified during submission. Submissions must not contain any "Proprietary", "Confidential" or "Business Sensitive" markings or similar restrictive markings not authorized by the applicable government agreement.; it is acknowledged that DOE has the right to cancel or ignore such markings.

## **PUBLICATIONS**

a. You are encouraged to publish or otherwise make publicly available the results of the work conducted under the award.

b. An acknowledgment of Federal support and a disclaimer must appear in the publication of any material, whether copyrighted or not, based on or developed under this project, as follows:

Acknowledgment: "This material is based upon work supported by the Department of Energy [National Nuclear Security Administration] Consortium of Nuclear Security Advanced Manufacturing Enhanced by Machine Learning (NSAM-ML) under Award Number(s) DE-NA0004112."

Disclaimer: "This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

## **FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS**

You must obtain any required permits and comply with applicable federal, state, and municipal laws, codes, and regulations for work performed under this award.

### **INTELLECTUAL PROPERTY PROVISIONS AND CONTACT INFORMATION**

- a. The intellectual property provisions applicable to this award are provided as an attachment to this award or are referenced on the Assistance Agreement Face Page. A list of all intellectual property provisions may be found at <http://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>
- b. Questions regarding intellectual property matters should be referred to the DOE Award Administrator and the Patent Counsel designated as the service provider for the DOE office that issued the award. The IP Service Providers List is found at <http://energy.gov/gc/downloads/intellectual-property-ip-service-providers-acquisition-and-assistance-transactions>

### **NATIONAL SECURITY: CLASSIFIABLE RESULTS ORIGINATING UNDER AN AWARD (DECEMBER 2014)**

This award is intended for unclassified, publicly releasable research. You will not be granted access to classified information. DOE/NNSA does not expect that the results of the research project will involve classified information. Under certain circumstances, however, a classification review of information originated under the award may be required. The Department may review research work generated under this award at any time to determine if it requires classification.

b. Executive Order 12958 (60 Fed. Reg. 19,825 (1995)) states that basic scientific research information not clearly related to the national security shall not be classified. Nevertheless, some information concerning (among other things) scientific, technological, or economic matters relating to national security or cryptology may require classification. If you originate information during the course of this award that you believe requires classification, you must promptly:

1. Notify the DOE Project Officer and the DOE Award Administrator;
  2. Submit the information by registered mail directly to the Director, Office of Classification and Information Control, SO-10.2; U.S. Department of Energy; P.O. Box A; Germantown, MD 20875-0963, for classification review.
  3. Restrict access to the information to the maximum extent possible until you are informed that the information is not classified, but no longer than 30 days after receipt by the Director, Office of Classification and Information Control.
- c. If you originate information concerning the production or utilization of special nuclear material (i.e., plutonium, uranium enriched in the isotope 233 or 235, and any other material so determined under section 51 of the Atomic Energy Act) or nuclear energy, you must:

1. Notify the DOE Project Officer and the DOE Award Administrator;
2. Submit the information by registered mail directly to the Director, Office of Classification and Information Control, SO-10.2; U.S. Department of Energy; P. O. Box A; Germantown, MD 20875-0963 for classification

review within 180 days of the date the recipient first discovers or first has reason to believe that the information is useful in such production or utilization; and

3. Restrict access to the information to the maximum extent possible until you are informed that the information is not classified, but no longer than 90 days after receipt by the Director, Office of Classification and Information Control.

d. If DOE determines any of the information requires classification, you agree that the Government may terminate the award with consent of the recipient in accordance with 2 CFR part 200.339(a)(3). All material deemed to be classified must be forwarded to the DOE, in a manner specified by DOE.

e. If DOE does not respond within the specified time periods, you are under no further obligation to restrict access to the information.

### **CONTINUATION APPLICATION AND FUNDING - AWARDS UNDER 2 CFR PART 200 AS AMENDED BY 2 CFR PART 910 (DECEMBER 2014)**

Continuation Application. A continuation application is a non-competitive application for an additional budget period within a previously approved project period. At least 90 days before the end of each budget period, you must submit your continuation application to the DOE Program Manager whose name is in block 15 of the Award Agreement and to the Agreements Officer/Administrator whose name is in block 25 and address is listed in block 16 of the Award Agreement

Your continuation application must include the following information:

1. A report on your progress towards meeting the objectives of the project, including any significant findings, conclusions, or developments, and an estimate of any unobligated balances remaining at the end of the budget period. If the remaining unobligated balance is estimated to exceed 20 percent of the funds available for the budget period, explain why the excess funds have not been obligated and how they will be used in the next budget period.

2. A detailed budget and supporting justification for the upcoming budget period if additional funds are requested, a reduction of funds is anticipated, or a budget for the upcoming budget period was not approved at the time of award.

3. A description of your plans for the conduct of the project during the upcoming budget period, if there are changes from the DOE approved application.

b. Continuation Funding. Continuation funding is contingent on (1) availability of funds appropriated by Congress for the purpose of this program; (2) the availability of future-year budget authority; (3) substantial progress towards meeting the objectives of your approved application; (4) submittal of required reports; and (5) compliance with the terms and conditions of the award.

### **NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS -- SENSE OF CONGRESS**

It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under this award should be American-made.

## **ENVIRONMENTAL, SAFETY AND HEALTH (ES&H) PERFORMANCE OF WORK AT DOE FACILITIES**

With respect to the performance of any portion of the work under this award which is performed at a DOE-owned or controlled site, the recipient agrees to comply with all State and Federal ES&H regulations and with all other ES&H requirements of the operator of such site.

Prior to the performance on any work at a DOE-Owned or controlled site, the recipient shall contact the site facility manager for information on DOE and site specific ES&H requirements.

The recipient shall apply this term to its sub-recipients and contractors.

### **INSURANCE COVERAGE (DECEMBER 2014)**

See 2 CFR 200.310 for insurance requirements for real property and equipment acquired or improved with Federal funds.

### **SUPPLIES (DECEMBER 2014)**

See 2 CFR Part 200.314 for requirements pertaining to supplies acquired under a Federal award.

See also § 200.453 Materials and supplies costs, including costs of computing devices.

### **INTANGIBLE PROPERTY (DECEMBER 2014)**

Title to intangible property (as defined in 2 CFR Part 200.59) acquired under a Federal award vests upon acquisition in the non-Federal entity. Intangible property includes trademarks, copyrights, patents and patent applications.

See 2 CFR Part 200.315 for additional requirements pertaining to intangible property acquired under a Federal award.

Also see 2 CFR Part 910.362 for amended requirements for Intellectual Property for For-Profit recipients.

## **REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION**

### **a. Reporting of first-tier subawards.**

1. Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

### **2. Where and when to report.**

i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrs.gov>.

ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. What to report. You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.

b. Reporting Total Compensation of Recipient Executives.

1. Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if

- i. the total Federal funding authorized to date under this award is \$25,000 or more;
- ii. in the preceding fiscal year, you received;

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:

- i. As part of your registration profile at <http://www.sam.gov>.
- ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

1. Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if;

- i. in the subrecipient's preceding fiscal year, the subrecipient received;



(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. Where and when to report. You must report subrecipient executive total compensation described in paragraph c.1. of this award term:

i. To the recipient.

ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

i. Subawards,

and

ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 CFR part 25:

i. A Governmental organization, which is a State, local government, or Indian tribe;

ii. A foreign public entity;

iii. A domestic or foreign nonprofit organization;

iv. A domestic or foreign for-profit organization;

v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. Executive means officers, managing partners, or any other employees in management positions.

### 3. Subaward:

i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. \_\_\_\_ .210 of the attachment to OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations).

iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

### 4. Subrecipient means an entity that:

i. Receives a subaward from you (the recipient) under this award; and

ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

i. Salary and bonus.

ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

v. Above-market earnings on deferred compensation which is not tax-qualified.

vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## **SYSTEM FOR AWARD MANAGEMENT AND UNIVERSAL IDENTIFIER REQUIREMENTS**

A. Requirement for System for Award Management (SAM) Unless exempted from this requirement under 2 CFR 25.110, the prime recipient must remain registered and maintain current information in SAM for the entire period of performance of the award. This includes providing information on the prime recipient's immediate and highest level owner and subsidiaries, as well as on all of its predecessors that have been awarded a Federal

contract or Federal financial assistance agreements within the last three years, if applicable, until the prime recipient submits the final financial report required under this award or receives the final payment, whichever is later. This requires the prime recipient to review its information in SAM at least annually after the initial registration, and to update its information as soon as there are changes. Reviews and updates may be required more frequently due to changes in recipient information or as required by another award term.

#### B. Requirement for Unique Entity Identifier

If authorized to make subawards under this award, the prime recipient:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward until the entity has provided its unique entity identifier to the prime recipient.

2. Must not make a subaward to an entity unless the entity has provided its unique entity identifier to the prime recipient. Subrecipients are not required to obtain an active SAM registration, but must obtain a unique entity identifier.

#### C. Definitions

For purposes of this term:

1. System for Award Management (SAM) means the Federal repository into which a recipient must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM internet site (currently at <https://www.sam.gov>).

2. Unique Entity Identifier means the identifier assigned by SAM to uniquely identify business entities.

3. Entity includes non-Federal entities as defined at 2 CFR 200.1 and also includes all of the following for purposes of this part:

- a. A foreign organization;
- b. A foreign public entity;
- c. A domestic for-profit organization; and
- d. A Federal agency.

4. Subaward has the meaning given in 2 CFR 200.1.

5. Subrecipient has the meaning given in 2 CFR 200.1.

#### **FINAL INCURRED COST AUDIT (DECEMBER 2014)**

In accordance with 2 CFR Part 200 as amended by 2 CFR Part 910, DOE reserves the right to initiate a final incurred cost audit on this award. If the audit has not been performed or completed prior to the closeout of the award, DOE retains the right to recover an appropriate amount after fully considering the recommendations on disallowed costs resulting from the final audit.

**INDEMNITY**

The Recipient shall indemnify the Government and its officers, agents, or employees for any and all liability, including litigation expenses and attorneys' fees, arising from suits, actions, or claims of any character for death, bodily injury, or loss of or damage to property or to the environment, resulting from the project, except to the extent that such liability results from the direct fault or negligence of Government officers, agents or employees, or to the extent such liability may be covered by applicable allowable costs provisions.

**LOBBYING RESTRICTIONS (MARCH 2012)**

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

**CORPORATE FELONY CONVICTION AND FEDERAL TAX LIABILITY ASSURANCES (MARCH 2014)**

By entering into this agreement, the undersigned attests that the Elizabeth City State University has not been convicted of a felony criminal violation under Federal law in the 24 months preceding the date of signature.

The undersigned further attests that Elizabeth City State University does not have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these assurances, the following definitions apply:

A Corporation includes any entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations]. It includes both for-profit and non-profit organizations.

**NONDISCLOSURE AND CONFIDENTIALITY AGREEMENTS ASSURANCES (JUNE 2015)**

(1) By entering into this agreement, the undersigned attests that Elizabeth City State University does not and will not require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(2) The undersigned further attests that Elizabeth City State University does not and will not use any Federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:

a. "These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and

specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling.”

b. The limitation above shall not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

c. Notwithstanding provision listed in paragraph (a), a nondisclosure or confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States Government, may contain provisions appropriate to the particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received in the course of such activity unless specifically authorized to do so by the United States Government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosures to Congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.

#### **REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE (DECEMBER 2015)**

##### **a. General Reporting Requirement**

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

##### **b. Proceedings About Which You Must Report**

Submit the information required about each proceeding that:

1. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
2. Reached its final disposition during the most recent five year period; and
3. Is one of the following:

(A) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

(B) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;

(C) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or

(D) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

#### c. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

#### d. Reporting Frequency

During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

#### e. Definitions

For purposes of this award term and condition:

1. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or A. Reporting of Matters Related to Recipient Integrity and Performance.

2. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

3. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

- (A) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and
- (B) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

### **PARTICIPATING IN GRANT ACTIVITIES AND COMPLIANCE**

Any individual person receiving funding support under this grant must be a U.S. Person, defined as an individual that is a citizen of the United States or an alien lawfully admitted for permanent residence, or the Principal Investigator must request and receive written permission for such funding from the Program Manager or their representative.

The DOE/NNSA Grants Officer or the Program Manager or their representative can request, in writing, personally identifiable information (PII), such as full name, nationality, date of birth, and social security number, of non-U.S. citizens engaged in activities of, receiving support from, or benefiting from the resources of the grant.

The DOE/NNSA Program Manager or their representative can exclude any individual from receiving funding from the grant, from using the resources of the grant, and from participating in grant activities.

### **EXPORT CONTROL**

All applicants are responsible for ensuring compliance with all applicable U.S. Export Control laws and regulations and all other applicable security requirements relating to any work performed under a resulting award.

### **PRIOR APPROVAL REQUIREMENTS**

For non-construction Federal awards, recipients must request prior approvals from Federal awarding agencies for one or more of the following program or budget-related reasons

- (1) Change in the scope or the objective of the project or program (even if there is no associated budget revision requiring prior written approval).
- (2) Change in a key person specified in the application or the Federal award.
- (3) The disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.
- (4) The transfer of funds budgeted for participant support costs as defined in §200.75 Participant support costs to other categories of expense.
- (5) Unless described in the application and funded in the approved Federal awards, the subawarding, transferring or contracting out of any work under a federal award, including fixed amount subawards as

described in 2 CFR 200.333. This provision does not apply to the acquisition of supplies, material, equipment or general support services.

### **NO COST EXTENSION**

For one-time extensions, you may initiate a one-time no cost extension of the period of performance by up to 12 months, the recipient must notify the Federal awarding agency in writing with the supporting reasons and revised period of performance at least 10 calendar days before the end of the period of performance specified in the Federal award. This one-time extension must not be exercised merely for the purpose of using unobligated balances.

Extensions require explicit prior Federal awarding agency approval when:

- (1) The terms and conditions of the Federal award prohibit the extension.
- (2) The extension requires additional Federal funds.
- (3) The extension involves any change in the approved objectives or scope of the project.
- (4) The carry forward of unobligated balances to subsequent budget periods.



**U.S. Department of Energy  
FEDERAL ASSISTANCE REPORTING CHECKLIST  
AND INSTRUCTIONS**

DOE F 4600.2 (3/2017) All Other Editions Are Obsolete	1. Identification Number: NA0004112	2. Program/Project Title:  Consortium of Nuclear Security Advanced Manufacturing Enhanced by Machine Learning (NSAM-ML-2)																															
3. Recipient: Elizabeth City State University PI: Abdennaceur Karoui		<table border="1"> <thead> <tr> <th data-bbox="818 394 993 491">Frequency (Codes at bottom)</th> <th data-bbox="993 394 1555 491">Addressees (Codes on page 2)</th> </tr> </thead> <tbody> <tr> <td>--</td> <td>--</td> </tr> <tr> <td>S</td> <td>1, 2</td> </tr> <tr> <td>A</td> <td>1, 2</td> </tr> <tr> <td>S</td> <td><a href="https://www.osti.gov/eink-2413">https://www.osti.gov/eink-2413</a></td> </tr> <tr> <td>F</td> <td><a href="https://www.osti.gov/eink-2413">https://www.osti.gov/eink-2413</a> <a href="https://www.osti.gov/estsc/241-4.jsp">https://www.osti.gov/estsc/241-4.jsp</a> <a href="https://www.osti.gov/eink-2413">https://www.osti.gov/eink-2413</a> <a href="https://www.osti.gov/eink-2413">https://www.osti.gov/eink-2413</a></td> </tr> <tr> <td>Q</td> <td>1, 2</td> </tr> <tr> <td>F</td> <td>1, 2</td> </tr> <tr> <td>F</td> <td>1, 2, 3</td> </tr> <tr> <td>-</td> <td>-</td> </tr> <tr> <td>-</td> <td>-</td> </tr> <tr> <td>O</td> <td>1, 2, 3</td> </tr> <tr> <td>O</td> <td>-</td> </tr> <tr> <td>Y</td> <td>1, 2</td> </tr> <tr> <td>S</td> <td><u>Electronic Report</u></td> </tr> </tbody> </table>		Frequency (Codes at bottom)	Addressees (Codes on page 2)	--	--	S	1, 2	A	1, 2	S	<a href="https://www.osti.gov/eink-2413">https://www.osti.gov/eink-2413</a>	F	<a href="https://www.osti.gov/eink-2413">https://www.osti.gov/eink-2413</a> <a href="https://www.osti.gov/estsc/241-4.jsp">https://www.osti.gov/estsc/241-4.jsp</a> <a href="https://www.osti.gov/eink-2413">https://www.osti.gov/eink-2413</a> <a href="https://www.osti.gov/eink-2413">https://www.osti.gov/eink-2413</a>	Q	1, 2	F	1, 2	F	1, 2, 3	-	-	-	-	O	1, 2, 3	O	-	Y	1, 2	S	<u>Electronic Report</u>
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4. Reporting Requirements:  <b>A. MANAGEMENT REPORTING (instructions page 3)</b> <input type="checkbox"/> Research Performance Progress Report (RPPR) (RD&D Projects) <input checked="" type="checkbox"/> Progress Report (Non-RD&D Projects) <input checked="" type="checkbox"/> Special Status Report  <b>B. SCIENTIFIC/TECHNICAL REPORTING (instructions page 5)</b> (Dissemination of results is required for RD&D projects. Reports & other S&T publications/products must be submitted using the appropriate DOE Announcement Notice (AN) located at: <a href="https://www.osti.gov/eink">https://www.osti.gov/eink</a> )  <table border="0"> <thead> <tr> <th align="left">Product</th> <th align="left">Announcement Notice (AN)</th> </tr> </thead> <tbody> <tr> <td><input checked="" type="checkbox"/> Scientific &amp; Technical Reporting Product</td> <td></td> </tr> <tr> <td>    A. Journal Article-Accepted Manuscript</td> <td>DOE AN 241.3</td> </tr> <tr> <td>    B. Scientific/Technical Conference Paper/Presentation or Proceedings</td> <td>DOE AN 241.3</td> </tr> <tr> <td>    C. Scientific/Technical Software &amp; Manual</td> <td>DOE AN 241.4</td> </tr> <tr> <td>    D. Other STI (e.g., dissertation/thesis, see instructions)</td> <td>DOE AN 241.3</td> </tr> <tr> <td><input checked="" type="checkbox"/> Final Scientific/Technical Report</td> <td>DOE AN 241.3</td> </tr> </tbody> </table> <b>C. FINANCIAL REPORTING (instructions page 10)</b> <input checked="" type="checkbox"/> SF-425 Federal Financial Report  <b>D. CLOSEOUT REPORTING (instructions page 10)</b> <input checked="" type="checkbox"/> Patent Certification <input checked="" type="checkbox"/> SF-428 & 428B Final Property Report <input type="checkbox"/> Other (see special instructions)  <b>E. OTHER REPORTING (instructions page 10)</b> <input type="checkbox"/> Annual Indirect Cost Proposal <input type="checkbox"/> Audit of For-Profit Recipients <input checked="" type="checkbox"/> SF-428 Tangible Personal Property Report Forms Family <input checked="" type="checkbox"/> Other (see special instructions page 11) <table border="0"> <tbody> <tr> <td>    A. Annual MSIPP Technical Meeting</td> <td></td> </tr> <tr> <td>    B. Current and Pending Support Disclosures</td> <td></td> </tr> <tr> <td>    C. Intern/Participant Information Report</td> <td></td> </tr> </tbody> </table>		Product	Announcement Notice (AN)	<input checked="" type="checkbox"/> Scientific & Technical Reporting Product		A. Journal Article-Accepted Manuscript	DOE AN 241.3	B. Scientific/Technical Conference Paper/Presentation or Proceedings	DOE AN 241.3	C. Scientific/Technical Software & Manual	DOE AN 241.4	D. Other STI (e.g., dissertation/thesis, see instructions)	DOE AN 241.3	<input checked="" type="checkbox"/> Final Scientific/Technical Report	DOE AN 241.3	A. Annual MSIPP Technical Meeting		B. Current and Pending Support Disclosures		C. Intern/Participant Information Report													
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**FREQUENCY CODES AND DUE DATES:**

A - Within 5 calendar days after events or as specified.  
 Y - Yearly; within 90 days after the end of the reporting period.  
 Q - Quarterly; within 30 days after end of the reporting period.  
 O - Other; See special instructions for further details.

F - Final; within 90 calendar days after expiration or termination of award.  
 Y180 - Yearly; within 180 days after the end of the recipient's fiscal year.  
 S - Semiannually; within 30 days after end of reporting period.

**REPORT SUBMITTAL** (submit all reports by email only)

1. [FAreports@nnsa.doe.gov](mailto:FAreports@nnsa.doe.gov)
2. [MSIPPreports@nnsa.doe.gov](mailto:MSIPPreports@nnsa.doe.gov)
3. [PropertyReports@nnsa.doe.gov](mailto:PropertyReports@nnsa.doe.gov)

**SUBJECT LINE:** When submitting reports, please annotate the email subject line as follows:

- Last Nine digits of your Grant Number (For grants starting with DE-NA0004\_\_\_\_, it will be written as NA0004\_\_\_\_)
- Type of report submitting (Progress, SF-425, Patent, Property, Final SF-425 or Progress, etc.)
- Calendar quarter and year of the report (example: 2Q 2023)

**EXAMPLE:**

**Subject:** NA0004\_\_\_\_, Progress Report, 2Q 2023

**CALENDAR QUARTER REPORTING PERIODS:**

- 1<sup>st</sup> Qtr: Jan – Mar (due Apr 30)
- 2<sup>nd</sup> Qtr: Apr – Jun (due Jul 30)
- 3<sup>rd</sup> Qtr: Jul – Sep (due Oct 30)
- 4<sup>th</sup> Qtr: Oct – Dec (due Jan 30)

**THE REPORTING PERIOD END DATE:**

**Box 9 of the SF-425 Financial Report should reflect the last month of the quarter, i.e., March 31; June 30; September 30; or December 31.**

**Box 8 of the SF-425 Form is the project period date which is annotated on Page 2 of the Assistance Agreement.**

# Federal Assistance Reporting Instructions

## A. MANAGEMENT REPORTING

For awards involving RD&D, a Research Performance Progress Report is required to be submitted. For non-R&D awards, a Progress Report is required to be submitted.

***Either the Research Performance Progress Report (RPPR) or the Progress Report (Non-R&D Projects) must be checked, but not both.***

### **Research Performance Progress Report (RPPR) (RD&D Projects)**

See page 14, Attachment 1 "Research Performance Progress Report" for instructions on what should be included in the Recipient's semi-annual RPPR.

### **Progress Report (Non-RD&D Projects)**

The Recipient must provide a concise narrative assessment of the status of work and include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. COVER PAGE: This page must include the following information:
  - a. The DOE Award Number (as it appears on the award face page)
  - b. Recipient Name (as it appears on the award face page)
  - c. Project Title
  - d. PD/PI Name, Title and Contact Information (e-mail address and phone number)
  - e. Name of Submitting Official, Title, and Contact Information (e-mail address and phone number), if other than PD/PI
  - f. Project Period (Start Date, End Date)
  - g. Report Submission Date
  - h. Reporting Period Start and End Date
2. GOALS AND OBJECTIVES: A written comparison of the actual project accomplishments with the project goals and objectives established for the reporting period; if goals and/or objectives for the reporting period were not met, a detailed description of the variance shall be provided.
3. ACCOMPLISHMENTS: A discussion of what was accomplished under these goals and objectives established for this reporting period, including major activities, significant results, major findings or conclusions, key outcomes or other achievements. This section should not contain any proprietary data or other information not subject to public release. If such information is important to reporting progress, do not include the information, but include a note in the report advising the reader to contact the Principal Investigator or the Project Director for further information.
4. COST STATUS: A comparison of the approved budget by budget period and the actual costs incurred during the reporting period shall be provided. If cost sharing is required, the cost breakdown shall show the DOE share, recipient share, and total costs.

5. **SCHEDULE STATUS:** List milestones, anticipated completion dates and actual completion dates. If you submitted a project management plan with your application, you must use this plan to report schedule and budget variances. You may use your own project management system to provide this information.
6. **PROJECT CHANGES:** Describe any changes during the reporting period in project approach and the reasons for these changes. Remember, significant changes to the project objectives and scope require prior approval by the Contracting Officer.
7. **ISSUES/DELAYS:** Describe any actual or anticipated problems or delays and any actions taken or planned to resolve them.
8. **KEY PERSONNEL:** Describe any absence or changes of key personnel or changes in consortium/teaming arrangement during the reporting period.
9. **PRODUCT/TECHNOLOGY ACTIVITIES:** List and describe any product produced or technology transfer activities accomplished during this reporting period, such as:
  - a. Publications (list journal name, volume, issue); conference papers; or other public releases of results. Attach or send copies of public releases to the DOE Program Manager identified in Block 15 of the Assistance Agreement Cover Page.
  - b. Web site or other Internet sites (list the URL) that reflect the results of this project.
  - c. Networks or collaborations fostered.
  - d. Technologies/Techniques (Identify and Describe).
  - e. Inventions/Patent Applications (Identify and Describe with date of application)
  - f. Other products, such as data or databases, physical collections, audio or video, software or NetWare, models, educational aid or curricula, instruments or equipment (Identify and Describe).

### **Special Status Report**

The recipient must report the following events by e-mail as soon as possible after they occur:

1. Developments that have a significant favorable impact on the project.
2. Problems, delays, or adverse conditions which materially impair the recipient's ability to meet the objectives of the award or which may require DOE to respond to questions relating to such events from the public. The recipient must report any of the following incidents and include the anticipated impact and remedial action to be taken to correct or resolve the problem/condition:
  - a. Any single fatality or injuries requiring hospitalization of five or more individuals.
  - b. Any significant environmental permit violation.
  - c. Any verbal or written Notice of Violation of any Environmental, Safety, and Health statutes.

- d. Any incident which causes a significant process or hazard control system failure.
- e. Any event which is anticipated to cause a significant schedule slippage or cost increase.
- f. Any damage to Government-owned equipment in excess of \$50,000.
- g. Any other incident that has the potential for high visibility in the media.

## **B. SCIENTIFIC/TECHNICAL REPORTING**

The dissemination of scientific and technical information (STI) ensures public access to the results of federally funded research. STI refers to information products in any medium or format used to convey results, findings, or technical innovations from research and development or other scientific and technological work that are prepared with the intention of being preserved and disseminated in the broadest sense applicable (i.e., to the public or, in the case of controlled unclassified information or classified information, disseminated among authorized individuals). Access to and archival of DOE-funded STI are managed by the DOE Office of Scientific and Technical Information (OSTI). For information about OSTI see <http://www.osti.gov>.

For more information on STI submittals, see <http://www.osti.gov/stip/submittal>.

By properly notifying DOE OSTI about the published results, the information will be made publicly accessible and discoverable through DOE web-based products.

**NOTE: SCIENTIFIC/TECHNICAL PRODUCTS INTENDED FOR PUBLIC RELEASE MUST NOT CONTAIN PROTECTED PERSONALLY IDENTIFIABLE INFORMATION (PII).** PII is defined as any information about an individual which can be used to distinguish or trace an individual's identity. Some information that is considered to be PII is available in *public* sources such as telephone books, public websites, university listings, etc. This type of information is considered to be Public PII and includes, for example, first and last name, address, work telephone number, email address, home telephone number, and general educational credentials. In contrast, *Protected* PII is defined as an individual's first name or first initial and last name in combination with any one or more of the following types of information: social security number, passport number, credit card numbers, clearances, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal, medical and financial records, educational transcripts, etc., which could be mis-used if made publicly available.

### **1. Scientific and Technical Reporting Products**

#### **a. Journal Article-Accepted Manuscript**

Recipients are encouraged to publish their work in scholarly journals. When/if a recipient has an article accepted for publication in a peer-reviewed journal they are required to announce the publication to OSTI as detailed below. This Reporting Requirement will be denoted with the Frequency "O – Other" on the Checklist.

Public access to peer-reviewed scholarly publications can be achieved by following these instructions. If the Recipient has a journal article accepted for publication which contains information/data produced under the award, then the Recipient must submit an AN 241.3 for the author's full-text version of the accepted manuscript, as described

below, at the time the article meets the status of being "accepted" for publication. The Federal Government's right to use the data produced under a Federal award is established in 2 CFR 200.315(d), U.S. Government's retained license to published results of federally funded research.

Content. The Recipient is to announce to DOE the final peer-reviewed accepted manuscript (AM), i.e., the version of the journal article content that has been peer reviewed and accepted for publication in a journal, by providing a persistent link to the accepted manuscript on the recipient's publicly accessible institutional repository or submitting the full text (see Electronic Submission Process below). The Recipient should NOT submit the journal's published version of the article, i.e., the Recipient should NOT submit a copyrighted reprint. The Recipient should not submit the content of peer reviews or a commitment to publish. The Recipient should provide only the accepted manuscript content intended to be the published article.

DOE will make no additional review of the content of an AM because the AM is a version of the journal article with the content to be published (i.e., publicly released) by the journal publisher. The Recipient is responsible for ensuring the suitability of the content for public release. The terms and conditions of award provide that PII, proprietary, export control or classified information shall be protected. DOE may choose to defer providing public access until an administrative interval period has passed.

The Recipient must self-certify at the time of submission to DOE via E-Link that the content is appropriate and that it is not a copyrighted reprint, i.e., the final version of the published article. Recipients are reminded that the article is to include an acknowledgement of Federal support and a disclaimer.

Electronic Submission Process. The Journal Article-Accepted Manuscript must be announced via the DOE Energy Link System (E-Link) by submitting a completed DOE Announcement Notice (AN) 241.3 (<https://www.osti.gov/mlink-2413>).

Within the AN 241.3, provide relevant journal information (article title, journal name, volume, issue, and any other pertinent publication information). Also provide a persistent link to the repository location of the accepted manuscript. An example of an acceptable persistent link is a URL to the specific location of the Journal Article-Accepted Manuscript hosted on a public, openly accessible university research publications website. If a persistent link is not available or if the website has access restrictions (preventing public access), then the Recipient must upload the full-text of the Accepted Manuscript using the AN 241.3 and E-Link instructions.

Full-text of accepted manuscripts must be in Adobe Portable Document Format (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematics, graphs, and charts. Please refer to <http://www.osti.gov/stip/best-practices-portable-document-format-pdf-creation> for PDF document creation.

b. **Scientific/Technical Conference Paper/Presentation or Proceedings**

Recipients are encouraged to announce Scientific and Technical Conference Papers/Presentations if they are the primary means by which certain research results are disseminated or if they contain research results not already announced to DOE by

the Recipient in technical reports, accepted journal articles, or other STI. This Reporting Requirement will be denoted with the Frequency "O – Other" on the Checklist. Instructions for how to announce such STI can be found below. In cases where the Recipient is required to create and submit a Conference Proceedings, the Frequency will be "F – Final."

Content. The content should include: (1) Name of conference; (2) Location of conference; (3) Date of conference; and (4) Conference sponsor. Also include an acknowledgement of Federal support and a disclaimer.

Electronic Submission Process. Scientific/technical conference papers/presentations or proceedings must be submitted via the DOE Energy Link System (E-Link) with a completed DOE Announcement Notice (AN) 241.3 (<https://www.osti.gov/mlink-2413>).

DOE will not review conference papers or presentations prior to making publicly available via OSTI since they were already presented in a public setting during a conference. The Recipient is responsible for ensuring the suitability of the content for public release. The terms and conditions of award provide that PII, proprietary, export control or classified information shall be protected. The Recipient must self-certify at the time of submission to DOE via E-Link that the content is appropriate for and has been publicly released.

Scientific/technical conference papers or proceedings that are textual documents must be submitted in Adobe Portable Document Format (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematics, graphs, and charts. Please refer to <http://www.osti.gov/stip/best-practices-portable-document-format-pdf-creation> for PDF document creation. Audiovisual formats, such as PowerPoint (PPT) or video presentations, may be submitted as a Microsoft PPT file or audiovisual file by selecting the appropriate format on the AN 241.3 for the file to be uploaded or, in the case of videos posted on a publicly available website, by providing a link to the specific video. Format options and other instructions can be found at <http://www.osti.gov/stip/audiovisualsti>.

c. **Scientific/Technical Software & Manual**

Content. When a Recipient submits software to OSTI for dissemination, the following must be delivered: source code, the executable object code and the minimum support documentation needed by a competent user to understand and use the software and to be able to modify the software in subsequent development efforts, unless otherwise specified in the award.

Submission Process. The software submission must be accompanied by a completed DOE Announcement Notice (AN) 241.4 "Announcement of U.S. Department of Energy Computer Software." The announcement notice and instructions are available on E-Link at <http://www.osti.gov/estsc/241-4.jsp>. The AN 241.4 may be filled online and submitted electronically, with a printed copy or note accompanying the shipped software package.

Software (including user guide or manual) must be submitted on computer disk (CD) shipped via regular mail to:

Energy Science and Technology Software Center  
P.O. Box 1020  
Oak Ridge, TN 37831

d. **Other STI**

Recipients are encouraged to announce other forms of STI especially if they are the primary means by which certain research results are disseminated or if they contain research results not already announced to DOE by the Recipient in technical reports, accepted journal articles, or other STI. This Reporting Requirement will be denoted with the Frequency "O – Other" on the Checklist.

Other types of STI produced which may be for used for public dissemination of project results include: dissertation/thesis, patent, book, or other similar products. These types of STI may also be announced using DOE AN 241.3 by following instructions on the E-Link website (<http://www.osti.gov/elink-2413>).

2. **Final Scientific/Technical Report**

For R&D type awards where a Final Scientific/Technical Report is required, recipients are required to create and submit a final technical report. This Reporting Requirement will be denoted with the Frequency "F – Final" on the Federal Assistance Reporting Checklist.

The scientific/technical report is intended to increase the diffusion of knowledge gained by DOE-funded research, and all requirements shall be interpreted in that light.

**Content.** Research findings and other significant STI resulting from the DOE-sponsored R&D project shall be included in the final scientific/technical report, subject to the following provisions:

- a. The scientific/technical report is to cover the entire project period. For Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) awards, a final scientific/technical report must be submitted after the completion of each phase, e.g., Phase I, Phase II, and sequential Phase II, as described in the Special Instructions.
- b. STI that is publicly accessible need not be duplicated in the report if a citation with a link to where the information may be found is included in the report. For example, articles found in PAGES (i.e., DOE's Public Access Gateway for Energy and Science, <http://www.osti.gov/pages/>) are accessible to the public.
- c. Provide identifying information: the DOE award number; sponsoring program office; name of recipient; project title; name of project director/principal investigator; and consortium/teaming members.
- d. Include an acknowledgment of Federal support and a disclaimer, which must appear in the publication of any material as noted in the terms and conditions.
- e. Include any limitations on public release of the report, if applicable. If the document being submitted contains patentable material or protected data (i.e., data first produced



in the performance of the award that is protected from public release for a period of time by terms of the award agreement, e.g., SBIR protected data), then (1) prominently display on the cover of the report any authorized distribution limitation notices, such as patentable material or protected data (e.g., SBIR protected data) and (2) clearly identify patentable or protected data on each page of the report. Reports delivered without such notices may be deemed to have been furnished with unlimited rights, and the Government assumes no liability for the disclosure, use or reproduction of such reports. Any restrictive markings must also be noted in the distribution limitation section of the Announcement Notice (AN) 241.3 (see Electronic Submission Process, below). No protected PII should be included (see PII definition).

- f. Provide an abstract or executive summary, which should be a minimum of one paragraph and written in terms understandable by an educated layperson. (Refer to <http://www.osti.gov/stip/standards> for ANSI/NISO guidance as needed.) The abstract included in an application may serve as a model for this.
- g. Summarize project activities for the entire period of funding, including original hypotheses, approaches used, and findings. Include, if applicable, facts, figures, analyses, and assumptions used during the life of the project to support the results in a manner that conveys to the scientific community the STI created during the project. To minimize duplication, the report may reference STI, including journal articles, that is publicly accessible. See also #2.
- h. For guidance offered by the National Information Standards Organization on typical attributes and content of a technical report, if needed, refer to ANSI/NISO Z39.18-2005 (R2010), Scientific and Technical Reports – Preparation, Presentation, and Preservation (see <http://www.osti.gov/stip/standards>).

Electronic Submission Process. The final scientific/technical report must be submitted via the DOE Energy Link System (E-Link) with a completed electronic version of DOE Announcement Notice (AN) 241.3, "U.S. Department of Energy (DOE), Announcement of Scientific and Technical Information (STI)." The Recipient can complete, upload, and submit the DOE AN 241.3 online via E-Link (<https://www.osti.gov/elink-2413>).

The Recipient must mark the appropriate block in the "Intellectual Property/Distribution Limitations" Section of the DOE AN 241.3. Reports that are electronically uploaded must not contain any limited rights data (proprietary data), classified information, protected PII, information subject to export control classification, or other information not subject to release. During the upload process, the Recipient must self-certify that no content of this nature is being submitted. For assistance with reports containing such content, contact the Contracting Officer.

Text documents must be submitted in Adobe Portable Document Format (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematics, graphs, and charts. Please refer to <http://www.osti.gov/stip/best-practices-portable-document-format-pdf-creation> for PDF document creation.

## C. FINANCIAL REPORTING

The Recipient must complete the SF-425 as identified on the Reporting Checklist in accordance with the report instructions. A fillable version of the form is available at <https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html>

## D. CLOSEOUT REPORTS

### 1. Final Invention and Patent Report

The Recipient must provide a DOE Form 2050.11, "PATENT CERTIFICATION." This form is available at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Reporting Forms.

### 2. Final Property Report

See Instructions under "SF-428 Tangible Personal Property Report Forms Family" page 11.

## E. OTHER REPORTING

### 1. Annual Indirect Cost Proposal and Reconciliation

Requirement. In accordance with the applicable cost principles, the recipient must submit an annual indirect cost proposal, reconciled to its financial statements, within six months after the close of the recipient's fiscal year, unless the award is based on a predetermined or fixed indirect rate(s), or a fixed amount for indirect or facilities and administration (F&A) costs. The format and content of the indirect cost proposal should follow the Defense Contract Audit Agency's (DCAA) ICE Model in order to be considered an adequate proposal: [http://www.dcaa.mil/ice\\_model.html](http://www.dcaa.mil/ice_model.html).

Cognizant Agency. The Recipient must submit its annual indirect cost proposal directly to the cognizant agency for negotiating and approving its indirect costs. If the DOE awarding office is the cognizant agency, the Recipient must submit their annual indirect cost proposal to <https://www.fedconnect.net/fedconnect/default.aspx>

### 2. Audit of For-Profit Recipients

As required by 2 CFR parts 910.500 through 910.521, a For-Profit entity which expends \$750,000 or more during their fiscal year in DOE awards must have a compliance audit conducted for that year.

Submission: The compliance audit report(s) must be submitted to DOE within the earlier of 30 days after receipt of the auditor's report(s) or nine months after the end of the audit period (Recipient's fiscal year-end). The compliance audit report must be submitted, along with audited financial statements (if applicable), to the appropriate DOE Contracting Officer at <https://www.fedconnect.net/fedconnect/default.aspx> as well as to the DOE Office of the Chief Financial Officer (CFO) at [DOE-Audit-Submission@hq.doe.gov](mailto:DOE-Audit-Submission@hq.doe.gov).

### 3. **SF-428 Tangible Personal Property Report Forms Family**

**Requirement.** The SF-428 is a forms family consisting of 5 forms: the SF-428, SF-428-A, SF-428-B, SF-428-C and SF-428S. Fillable versions of the SF-428 forms are available at [https://www.reginfo.gov/public/do/PRAViewIC?ref\\_nbr=201002-3090-001&icID=192059](https://www.reginfo.gov/public/do/PRAViewIC?ref_nbr=201002-3090-001&icID=192059). The SF-428 is the cover page and the submitter attaches the appropriate form or forms as listed on the SF-428.

- SF-428: Annual report, due Oct 30<sup>th</sup> of each calendar year.
- SF-428B: Final Award Closeout Report, due 90 calendar days after completion or termination of the award.
- SF-428C: Disposition Report/Request.
- SF-428S: Supplemental form for the SF-428-A, SF-428-B, and SF-428-C.

If at any time during the award, the recipient is provided Government-furnished property or acquires property with project funds and the award specifies that the property vests in the Federal Government (i.e. federally owned property), the Recipient must submit an annual inventory of this property to [PropertyReports@nnsa.doe.gov](mailto:PropertyReports@nnsa.doe.gov) using the SF-428 and SF-428-A forms **no later than October 30<sup>th</sup> of each calendar year**, to cover an annual reporting period ending on the preceding September 30<sup>th</sup>. The SF-428 and SF-428-B reports are required 90 calendar days after completion or termination of award to complete the closeout process.

**Content of Inventory.** As required on the SF-428 and SF-428-S forms, the inventory must include a description of the property, tag number, acquisition date, and acquisition cost, if purchased with project funds. The location of property should be listed under the Comments section. The report must list all federally owned property, including property located at subcontractor's facilities or other locations.

### 4. **Annual MSIPP Technical Meeting**

All Senior Key Personnel (Principle Investigator, Co-Principle Investigators, etc.) are required to attend the NNSA MSIPP Technical Meeting. Dates, Locations, and Registration Requirements will be provided from the MSIPP Program Team on an annual basis.

### 5. **Current and Pending Support Reporting and Disclosures**

Current and pending support is intended to allow the identification of potential duplication, overcommitment, potential conflicts of interest or commitment, and all other sources of support. As part of this award, the principal investigator and each senior/key person at the recipient and subrecipient level must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual's research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All involvement in foreign government-sponsored talent recruitment programs must be identified in current and pending support.

For every activity, list the following items:

- The sponsor of the activity or the source of funding
- The award or other identifying number

- The title of the award or activity. If the title of the award or activity is not descriptive, add a brief description of the research being performed that would identify any overlaps or synergies with the proposed research.
- The total cost or value of the award or activity, including direct and indirect costs and cost share. For pending proposals, provide the total amount of requested funding.
- The award period (start date – end date).  
The person-months of effort per year being dedicated to the award or activity

If required to identify overlap, duplication of effort, or synergistic efforts, append a description of the other award or activity to the current and pending support.

Details of any obligations, contractual or otherwise, to any program, entity, or organization sponsored by a foreign government must be provided on request to either the lead institution or DOE. Supporting documents of any identified source of support must be provided to DOE on request, including certified translations of any document. Information may be provided in the format approved by the National Science Foundation (NSF), which may be generated by the Science Experts Network Curriculum Vitae (SciENCv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, and is also available at <https://www.nsf.gov/bfa/dias/policy/nsfapprovedformats/cps.pdf>. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats.

Each current and pending support disclosure must be signed and dated and include the following certification statement:

*I, [Full Name and Title], certify to the best of my knowledge and belief that the information contained in this Current and Pending Support Disclosure Statement is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3733 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.*

If the fillable PDF NSF format is used, the individual must include a signature, date, and a certification statement using the language included in the paragraph above. If the online version is used in SciENCv, a signature, date, and a certification statement must be attached until the SciENCv website automatically attaches a certification statement.

## 6. **Intern/Participant Information Report**

This electronic module allows program director/principal investigators, university administrators, and collaborating facilities to report appointments for participants and interns associated with MSIPP funding. This information will be used to assess the types of appointments being offered by the consortia members, evaluate the success of MSIPP, improve opportunities for consortia recipients and collaborators, and track participants to evaluate and demonstrate MSIPP's impact on workforce development. This report will enhance the quality of Consortia submitted data and will validate funded appointments.

<https://orausurvey.orau.org/n/NNSAMSIPPFacilityQuestionnaire.aspx>

## Definitions

**Current and pending support** – (a) All resources made available, or expected to be made available, to an individual in support of the individual's RD&D efforts, regardless of (i) whether the source is foreign or domestic; (ii) whether the resource is made available through the entity applying for an award or directly to the individual; or (iii) whether the resource has monetary value; and (b) includes in-kind contributions requiring a commitment of time and directly supporting the individual's RD&D efforts, such as the provision of office or laboratory space, equipment, employees, or students. This term has the same meaning as the term Other Support applied to researchers in NSPM-33: For researchers, Other Support includes all resources made available to a researcher in support of and/or related to all of their professional RD&D efforts, including resources provided directly to the individual or through the organization, and regardless of whether or not they have monetary value (e.g., even if the support received is only in-kind, such as office/laboratory space, equipment, supplies, or employees). This includes resource and/or financial support from all foreign and domestic entities, including but not limited to, gifts provided with terms or conditions, financial support for laboratory personnel, and participation of student and visiting researchers supported by other sources of funding.

**Foreign Government-Sponsored Talent Recruitment Program.** An effort directly or indirectly organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students (regardless of citizenship or national origin, or whether having a full-time or part-time position). Some foreign government-sponsored talent recruitment programs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals of a foreign government. Many, but not all, programs aim to incentivize the targeted individual to relocate physically to the foreign state for the above purpose. Some programs allow for or encourage continued employment at U.S. research facilities or receipt of federal research funds while concurrently working at and/or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to U.S. entities. Compensation could take many forms including cash, research funding, complimentary foreign travel, honorific titles, career advancement opportunities, promised future compensation, or other types of remuneration or consideration, including in-kind compensation.

**Senior/key personnel** – an individual who contributes in a substantive, meaningful way to the scientific development or execution of a research, development and demonstration (RD&D) project proposed to be carried out with DOE award.<sup>1</sup>

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<sup>1</sup> Typically, these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants, graduate students, and those with a postdoctoral role also may be considered senior/key personnel if they meet this definition.

# RESEARCH PERFORMANCE PROGRESS REPORT

## Standard Cover Page Data Elements and Reporting Categories

The standard cover page data elements shown below, as well as mandatory and optional components comprise the complete research performance progress report format. Each category in the RPPR is a separate reporting component. Each component is marked to indicate if it is optional or mandatory. Mandatory components must be addressed in each report, optional are at your discretion. For Optional components, if you have nothing significant to report during the reporting period on a question or item, state "*Nothing to Report.*" If there are reportable items, please submit according to the instructions for each section.

### 1. COVER PAGE DATA ELEMENTS: Mandatory

- a. Federal Agency and Organization Element to Which Report is Submitted
- b. Federal Grant or Other Identifying Number Assigned by Agency
- c. Project Title
- d. PD/PI Name, Title and Contact Information (e-mail address and phone number)
- e. Name of Submitting Official, Title, and Contact Information (e-mail address and phone number), if other than PD/PI
- f. Submission Date
- g. Unique Entity Identifier (UEI)
- h. Recipient Organization (Name and Address)
- i. Project/Grant Period (Start Date, End Date)
- j. Reporting Period End Date
- k. Report Term or Frequency (annual, semi-annual, quarterly, final, other)
- l. Signature of Submitting Official (electronic signatures, i.e., Adobe Acrobat. are acceptable)

### 2. ACCOMPLISHMENTS: Mandatory

What was done? What was learned? The information in this section allows the agency to assess whether satisfactory progress has been made during the reporting period. The PI is reminded that the grantee is required to obtain prior written approval from the Contracting Officer whenever there are significant changes in the project or its direction. Requests for prior written approval must be submitted to the Contracting Officer.

#### **a. What are the major goals and objectives of this project?**

List the major goals of the project as stated in the approved application or as approved by the agency. Describe the proposed technical approach to obtain those goals. If the application lists milestones/target dates for important activities or phases of the project, identify these dates and show actual completion dates or the percentage of completion.

Generally, goals will not change from one reporting period to the next. However, if the awarding agency approved changes to the goals during the reporting period, list the revised goals and

objectives. Explain any significant changes in approach or methods from the agency approved application or plan.

**b. What was accomplished under these goals during this reporting period?**

For this reporting period describe: 1) major activities; 2) specific objectives; 3) significant results or key outcomes, including major findings, developments, or conclusions (both positive and negative); and/or 4) other achievements. Include a discussion of stated goals not met. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.

*If there is nothing significant to report during this reporting period, state "Nothing to Report."*

**c. What opportunities for training and professional development has the project provided during this reporting period?**

Describe opportunities for training and professional development provided to anyone who worked on the project or anyone who was involved in the activities supported by the project. "Training" activities are those in which individuals with advanced professional skills and experience assist others in attaining greater proficiency. Training activities may include, for example, courses or one-on-one work with a mentor. "Professional development" activities result in increased knowledge or skill in one's area of expertise and may include workshops, conferences, seminars, study groups, and individual study. Include participation in conferences, workshops, and seminars not captured under major activities in the response for 2.b.

*If the project was not intended to provide training and professional development opportunities or there is nothing significant to report during this reporting period, state "Nothing to Report."*

**d. Within this reporting period, how have the results been disseminated to communities of interest?**

Describe how results have been disseminated to communities of interest. Include any outreach activities that have been undertaken to reach members of communities who are not usually aware of these research activities, for the purpose of enhancing public understanding and increasing interest in learning and careers in science, technology, and the humanities.

*If there is nothing significant to report during this reporting period, state "Nothing to Report."*

**e. What is planned for the next reporting period to accomplish the goals and objectives?**

Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.

*If there are no changes to the agency-approved plan or if this is the final report, state "Nothing to Report."*

### **3. PRODUCTS: Optional**

What has the project produced? Publications are the characteristic product of research. Agencies evaluate what the publications demonstrate about the excellence and significance of the research and the efficacy with which the results are being communicated to colleagues, potential users, and the public, not the number of publications. Many projects (though not all) develop significant products other than publications. Agencies assess and report both publications and other products to Congress, communities of interest, and the public.

List any products resulting from the project during the reporting period. Examples of products include: publications, conference papers, and presentations; website(s) or other Internet site(s); technologies or techniques; inventions, patent applications, and/or licenses; and other products, such as data or databases, physical collections, audio or video products, software or NetWare, models, educational aids or curricula, instruments or equipment, research material, interventions (e.g., clinical or educational), new business creation or any other public release of information related to the project.

*If there is nothing significant to report during this reporting period, state "Nothing to Report."*

**a. Publications, conference papers, and presentations**

Report only the major publication(s) resulting from the work under this award. There is no restriction on the number. However, Agencies are interested in only those publications that most reflect the work under this award in the following categories:

**i. Journal publications.** List peer-reviewed articles or papers appearing in scientific, technical, or professional journals. Include any peer-reviewed publication in the periodically published proceedings of a scientific society, a conference, or the like. A publication in the proceedings of a one-time conference, not part of a series, should be reported under "Books or other non-periodical, one-time publications."

Identify for each publication: Author(s); title; journal; volume: year; page numbers; status of publication (published; accepted, awaiting publication; submitted, under review; other); acknowledgement of federal support (yes/no). Also see instructions under "B. Scientific/Technical Reporting" page 5, regarding the submission of accepted manuscripts and other STI as appropriate.

**ii. Books or other non-periodical, one-time publications.** Report any book, monograph, dissertation, abstract, or the like published as or in a separate publication, rather than a periodical or series. Include any significant publication in the proceedings of a one-time conference or in the report of a one-time study, commission, or the like.

Identify for each one-time publication: author(s); title; editor; title of collection, if applicable; bibliographic information; year; type of publication (book, thesis or dissertation, other); status of publication (published; accepted, awaiting publication; submitted, under review; other); acknowledgement of federal support (yes/no).

**iii. Other publications, conference papers and presentations.** Identify any other publications, conference papers and/or presentations not reported above. Specify the status of the publication as noted above.

**b. Website(s) or other Internet site(s)**

List the URL for any Internet site(s) that disseminates the results of the research activities. A short description of each site should be provided. It is not necessary to include the publications already specified above in this section.

**c. Technologies or techniques**

Identify technologies or techniques that have resulted from the research activities. Describe the technologies or techniques and how they are being shared.



**d. Inventions, patent applications, and/or licenses**

Identify inventions, patent applications with date, and/or licenses that have resulted from the research. Submission of this information as part of an interim or final Research Performance Progress Report is not a substitute for any other invention reporting required under the terms and conditions of an award.

**e. Other products**

Identify any other significant products that were developed under this project. Describe the product and how it is being shared. Examples of other products are: Data or databases; Physical collections; Audio or video products; Software or NetWare; Models; Educational aids or curricula; Instruments or equipment; Research material (e.g., germplasm, cell lines, DNA probes, animal models); Interventions (e.g clinical, educational); new business creation; and Other.

**4. PARTICIPANTS & OTHER COLLABORATING ORGANIZATIONS: Optional**

Who has been involved? Agencies need to know who has worked on the project to gauge and report performance in promoting partnerships and collaborations. The following information on participants and other collaborating organizations during this reporting period must be provided:

**a. What individuals have worked on the project during this reporting period?**

Provide the following information for: (1) Project director(s)/Principal investigator(s) (PDs/PIs); and (2) each person who has worked, and was funded by the project, at least one person month per year on the project during the reporting period, regardless of the source of compensation (a person month equals approximately 160 hours of effort). Please note that such reporting does not constitute a formal institutional report of effort on the project, but rather is used by agency program staff to evaluate the progress of the project during a given reporting period.

**i. Provide the name and identify the role they played in this project.**

Indicate the total number of months (including partial months) (Calendar, Academic, Summer) that the individual worked on this project. Using the project roles identified below, select the most senior role in which the person worked on the project for any significant length of time. For example, if an undergraduate student graduated, entered graduate school, and continued to work on the project, show that person as a graduate student, preferably explaining the change in involvement.

**ii. Project Roles:**

PD/PI	Co PD/PI	Faculty	Community College Faculty
Technical School Faculty	K-12 Teacher	Postdoctoral (scholar, fellow or other postdoctoral position)	Other Professional
Technician	Staff Scientist (doctoral level)	Research Experience for Undergraduates (REU) Participant	Graduate Student (research assistant)
Non-Student Research Assistant	Undergraduate Student	Technical School Student	High School Student
Consultant	Statistician	Other (specify)	

**iii. Briefly describe how this person contributed to this project.**

If information is unchanged from a previous progress report, provide the name only and indicate "no change."

**iv. Identify the person's state, U.S. territory, and/or country of residence. Denote whether this person has collaborated internationally.**

U.S.-based participant: state whether this person collaborated internationally with an individual located in a foreign country, specify whether the person traveled to the foreign country as part of this project or an unrelated collaboration, and the duration of stay. Identify the foreign country(ies).

Non U.S.-based participant: specify whether the person traveled to the foreign country as part of this project or as an unrelated trip, and the duration of stay. Identify the foreign country(ies).

*Example:*

1. **Name:** Mary Smith
2. **Total Number of Months:** 5.5
3. **Project Role:** Graduate Student
4. **Researcher Identifier:** 1234567
5. **Contribution to Project:** Ms. Smith has performed work in the area of combined error-control and constrained coding.
6. **State, U.S. territory, and/or country of residence:** Michigan, U.S.A.
7. **Collaborated with individual in foreign country:** Yes
8. **Country(ies) of foreign collaborator:** China
9. **Travelled to foreign country:** Yes, unrelated trip
10. **If traveled to foreign country(ies), duration of stay:** 5 months

**b. Has there been a change in the active other support of the PD/PI(s) or senior/key personnel since the last reporting period?**

Describe active other support for the PD/PI(s) or senior/key personnel whose support has changed and what the change has been (e.g., a previously active grant that has closed, a previously pending grant that is now active). Active other support includes all financial resources, whether Federal, non-Federal, commercial or organizational, available in direct support of an individual's research endeavors, including, but not limited to, research grants, cooperative agreements, contracts, or organizational awards, (e.g., Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations). Annotate this information so it is clear what has changed from the previous submission. Other support does not include prizes or gifts.

Submission of active other support information is not necessary for pending changes or for changes in the level of effort for active support reported previously. DOE requires prior written approval if a change in active other support significantly impacts the effort on this award.

*If there is nothing significant to report during this reporting period or no change from the previous reporting period, state "Nothing to Report."*

**c. What other organizations have been involved as partners?**

Describe partner organizations – academic institutions, other nonprofits, industrial or commercial firms, state or local governments, schools or school systems, or other organizations

(foreign or domestic) – that have been involved with the project. Partner organizations may provide financial or in-kind support, supply facilities or equipment, collaborate in the research, exchange personnel, or otherwise contribute.

Provide the following information for each partnership:

1. Organization Name:
2. Location of Organization: (if foreign location list country)
3. Partner's contribution to the project: (identify one or more)
  - i. Financial support;
  - ii. In-kind support (e.g., partner makes software, computers, equipment, etc., available to project staff);
  - iii. Facilities (e.g., project staff use the partner's facilities for project activities);
  - iv. Collaborative research (e.g., partner's staff work with project staff on the project);
  - v. Personnel exchanges (e.g., project staff and/or partner's staff use each other's facilities, work at each other's site).
  - vi. Other
4. Detail on partner and contribution including identifying them as a foreign or domestic partner.

*If there is nothing significant to report during this reporting period, state "Nothing to Report."*

**d. Have other collaborators or contacts been involved since the last reporting period?**

Some significant collaborators or contacts within the recipient's organization may not be covered by "What people have worked on the project?" Likewise, some significant collaborators or contacts outside the recipient's organization may not be covered under "What other organizations have been involved as partners?"

For example, describe any significant:

1. collaborations with others within the recipient's organization, especially interdepartmental or interdisciplinary collaborations;
2. collaborations or contact with others outside the organization; and
3. collaborations or contacts with others outside the United States or with an international organization.

Identify the state(s), U.S. territory(ies), or country(ies) of collaborations or contacts.

Many recipients will have no other collaborators or contacts to report.

*If there is nothing significant to report during this reporting period, state "Nothing to Report."*

## 5. IMPACT: Optional

What is the impact of the project? How has it contributed? Over the years, this base of knowledge, techniques, people, and infrastructure is drawn upon again and again for application to commercial technology and the economy, to health and safety, to cost-efficient environmental protection, to the solution of social problems, to numerous other aspects of the public welfare, and to other fields of endeavor.

The taxpaying public and its representatives deserve a periodic assessment to show them how the investments they make benefit the nation. Through this reporting format, and especially this section, recipients provide that assessment and make the case for Federal funding of research and education.

Agencies use this information to assess how their research programs: increase the body of knowledge and techniques; enlarge the pool of people trained to develop that knowledge and techniques or put it to use; and improve the physical, institutional, and information resources that enable those people to get their training and perform their functions.

This component will be used to describe ways in which the work, findings, and specific products of the project have had an impact during this reporting period. Describe distinctive contributions, major accomplishments, innovations, successes, or any change in practice or behavior that has come about as a result of the project relative to: the development of the principal discipline(s) of the project; other disciplines; the development of human resources; teaching and educational experiences; physical, institutional, and information resources that form infrastructure; technology transfer (include transfer of results to entities in government or industry, adoption of new practices, or instances where research has led to the initiation of a startup company); society beyond science and technology; or foreign countries.

### **a. What was the impact on the development of the principal discipline(s) of the project in this reporting period?**

Describe how findings, results, and techniques that were developed or extended, or other products from the project made an impact or are likely to make an impact on the base of knowledge, theory, and research and/or pedagogical methods in the principal disciplinary field(s) of the project. Summarize using language that a lay audience can understand (*Scientific American* style). How the field or discipline is defined is not as important as covering the impact the work has had on knowledge and technique. Make the best distinction possible, for example, by using a "field" or "discipline", if appropriate, that corresponds with a single academic department (i.e., physics rather than nuclear physics).

*If there is nothing significant to report during this reporting period, state "Nothing to Report."*

### **b. What was the impact on other disciplines during this reporting period?**

Describe how the findings, results, or techniques that were developed or improved, or other products from the project made an impact or are likely to make an impact on other disciplines.

*If there is nothing significant to report during this reporting period, state "Nothing to Report."*

### **c. What was the impact on the development of human resources during this reporting period?**

Describe how the project made an impact or is likely to make an impact on human resource development in science, engineering, and technology. For example, how has the project:

provided opportunities for research and teaching in the relevant fields; improved the performance, skills, or attitudes of members of underrepresented groups that will improve their access to or retention in research, teaching, or other related professions; developed and disseminated new educational materials; provided scholarships; or provided exposure to science and technology for practitioners, teachers, young people, or other members of the public?

*If there is nothing significant to report during this reporting period, state "Nothing to Report."*

**d. What was the impact on teaching and educational experiences during this reporting period?**

Describe how the project made an impact or is likely to make an impact on teaching and educational experiences. For example, has the project: developed and disseminated new educational materials during this reporting period; led to ideas for new approaches to course design or pedagogical methods during this reporting period; or developed online resources that will be useful for teachers and students and other school staff during this reporting period?

*If there is nothing significant to report during this reporting period, state "Nothing to Report."*

**e. What was the impact on physical, institutional, and information resources that form infrastructure during this reporting period?**

Describe ways, if any, in which the project made an impact, or is likely to make an impact, on physical, institutional, and information resources that form infrastructure, including: physical resources such as facilities, laboratories, or instruments; institutional resources (such as establishment or sustenance of societies or organizations); or information resources, electronic means for accessing such resources or for scientific communication, or the like.

*If there is nothing significant to report during this reporting period, state "Nothing to Report."*

**f. What was the impact on technology transfer during this reporting period?**

Describe ways in which the project made an impact, or is likely to make an impact, on commercial technology or public use, including: transfer of results to entities in government or industry; instances where the research has led to the initiation of a start-up company; or adoption of new practices.

*If there is nothing significant to report during this reporting period, state "Nothing to Report."*

**g. What was the impact on society beyond science and technology during this reporting period?**

Describe how results from the project made an impact, or are likely to make an impact, beyond the bounds of science, engineering, and the academic world on areas such as: improving public knowledge, attitudes, skills, and abilities; changing behavior, practices, decision making, policies (including regulatory policies), or social actions; or improving social, economic, civic, or environmental conditions.

*If there is nothing significant to report during this reporting period, state "Nothing to Report."*

**h. What percentage of the award's budget was spent in foreign country(ies) during this reporting period?**

Describe what percentage of the award's budget was spent in foreign country(ies). If more than one foreign country is involved, identify the distribution between the foreign countries.

U.S.-based recipients should provide the percentage of the budget spent in the foreign country(ies) and/or, if applicable, the percentage of the budget obligated to foreign entities as first-tier subawards.

Recipients that are not U.S.-based should provide the percentage of the direct award received, excluding all first-tier subawards to U.S. entities. If applicable, provide separately the percentage of the budget obligated to non-U.S. entities as first-tier subawards.

## **6. CHANGES/PROBLEMS: Optional**

The PD/PI is reminded that the grantee is required to obtain prior written approval from the Contracting Officer whenever there are significant changes in the project or its direction. Requests for prior written approval must be submitted to the Contracting Officer. If not previously reported in writing, provide the following additional information, if applicable: Changes in approach and reasons for change; Actual or anticipated problems or delays and actions or plans to resolve them; Changes that have a significant impact on expenditures; Significant changes in use or care of animals, human subjects, and/or biohazards.

### **a. Changes in approach and reasons for change during the reporting period**

Describe any changes in approach during the reporting period and reasons for these changes. Remember that significant changes in objectives and scope require prior approval of the Contracting Officer.

### **b. Actual or anticipated problems or delays and actions or plans to resolve them**

Describe problems or delays encountered during the reporting period and actions or plans to resolve them.

### **c. Changes that have a significant impact on expenditures**

Describe changes during the reporting period that may have a significant impact on expenditures, for example, delays in hiring staff or favorable developments that enable meeting objectives at less cost than anticipated.

### **d. Significant changes in use or care of human subjects, vertebrate animals, biohazards, and/or select agents**

Describe significant deviations, unexpected outcomes, or changes in approved protocols for the use or care of human subjects, vertebrate animals, biohazards and/or select agents during the reporting period. If required, were these changes approved by the applicable institution committee and reported to the agency? Also specify the applicable Institutional Review Board/Institutional Animal Care and Use Committee approval dates.

### **e. Change of primary performance site location from that originally proposed**

Identify any change to the primary performance site location identified in the proposal, as originally submitted.

*If there are no changes/problems to report during this reporting period, state "Nothing to Report."*

## **7. SPECIAL REPORTING REQUIREMENTS: Mandatory**

Respond to any special reporting requirements specified in the award terms and conditions, as well as any award specific reporting requirements.

## **8. BUDGETARY INFORMATION: Mandatory**

This component will be used to collect budgetary data from the recipient organization. The information will be used in conducting periodic administrative/budgetary reviews. Budgetary data identified and required by the Contracting Officer should be submitted in an Excel spreadsheet format.

Spend Plan: If there are discrepancies between budget to actual fund consumption, provide a Spend Plan that outlines the efforts to be made in the coming reporting period to address the discrepancy.

## **9. PROJECT OUTCOMES: Optional**

### **What were the outcomes of the award?**

This information is used at the completion of the award to ascertain the cumulative outcomes or findings of a project. Describe project outcomes specifically for the public to provide insight into the outcomes of Federally-funded research, education, and other activities. Agencies may make this information available to the public in an electronic format.

### **Project Outcomes**

The recipient is to provide information regarding the cumulative outcomes or findings of the project. For the final RPPR for the project, provide a concise summary of the outcomes or findings of the award (no more than 8,000 characters) that:

- a. is written for the general public (non-technical audiences) in clear, concise, and comprehensible language;
- b. is suitable for dissemination to the general public, as the information may be available electronically;
- c. does not include proprietary, confidential information or trade secrets; and
- d. includes up to six images (images are optional).

Please note that this reporting of project outcomes does not constitute a formal dissemination of scientific and technical information (STI) but rather is used by agency program staff to publicize project results, outcomes or findings.

To ensure the public access to the results of federally funded research notify DOE Office of Scientific and Technical Information about the published results so the information will be made publicly accessible and discoverable through DOE web-based products. Access to and archival of DOE-funded STI are managed by the (OSTI). For information about OSTI see <http://www.osti.gov>.

For more information on STI submittals, see <http://www.osti.gov/stip/submittal>.

**DEMOGRAPHIC INFORMATION FOR SIGNIFICANT CONTRIBUTORS**

Agencies may require recipients to provide demographic data about significant contributors for a variety of purposes, including the following:

- gauge whether our programs and other opportunities are fairly reaching and benefiting everyone regardless of demographic category;
- ensure that those in under-represented groups have the same knowledge of and access to programs, meetings, vacancies, and other research and educational opportunities as everyone else;
- gauge and report performance in promoting partnerships and collaborations;
- assess involvement of international investigators or students in work we support;
- track the evolution of changing science, technology, engineering and mathematics (STEM) fields at different points in the pipeline (e.g., medicine and law demographics have recently changed dramatically);
- raise investigator and agency staff awareness of the involvement of under-represented groups in research;
- encourage the development of creative approaches for tapping into the full spectrum of talent of the STEM workforce;
- respond to external requests for data of this nature from a variety of sources, including the National Academies, Congress, etc.; and
- respond to legislatively-required analysis of workforce dynamics. Legislation requires at least one agency to routinely estimate scientific workforce needs. This analysis is accomplished through reviewing demographic data submitted for the existing workforce.

Demographic data (i.e., gender, ethnicity, race, and disability status) should be provided directly by significant contributors, with the understanding that submission of such data is voluntary. There are no adverse consequences if the data is not provided. Confidentiality of demographic data will be in accordance with agency's policy and practices for complying with the requirements of the Privacy Act.

**Gender:** Male  
Female  
Do not wish to provide

**Ethnicity:** Hispanic or Latina/o  
Not-Hispanic or not-Latina/o  
Do not wish to provide

**Race (select one or more):**  
American Indian or Alaska Native  
Asian  
Black or African American  
Native Hawaiian or other Pacific Islander  
White  
Do not wish to provide



**Disability Status:**

Yes (check yes if any of the following apply to you)

Deaf or serious difficulty hearing

Blind or serious difficulty seeing even when wearing glasses

Serious difficulty walking or climbing stairs

Other serious disability related to a physical, mental, or emotional condition.

No

Do not wish to provide

This measure is designed as a binary measure; it encompasses all self-reported disabilities. Please do not use it to report the number of individuals who have different types of disabilities (e.g., hearing impairments).

Note: This construct is not designed to be used at an individual-level (i.e., it should not be used for determining accommodation needs or disability status for particular individuals associated with the project).

# Southern University System Active Capital Improvement Project Tracking

**Key**

Planning and Design
CMAR Selection

Bidding and Contracting
Construction

**Capital Outlay Funded Projects**

Project Title		FY2023-24				FY2024-25				FY2025-26				FY2026-27				FY2027-28				
		1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	
SUBR	Ravine, Bluff and Riverbank Stabilization																					
	New STEM Science Complex																					
	School of Business/Professional Accountancy																					
	JK Haynes Hall (School of Nursing) Renovation and Addition																					
	Stewart Hall - Wall Mount HVAC Units, 1st, 2nd, and 3rd floors																					
SUNO	University Caferia																					
	ADA Compliant Restrooms and Public Accommodations in the Cafeteria, University Center, Campus Exterior Lighting Upgrades																					
SUSLA	New Health, Physical Education and Recreation (HPE&R) Complex including New Gymnasium																					
	Louis Collier Hall Science Building Renovation																					
	Data Science and Analytics Center																					
SUAG SULC	Renovations and Additions to Existing Law Library																					
SUAG	Disaster Relief Mega Shelter																					

# Southern University System

## Active Capital Improvement Project Tracking

**Key**

Planning and Design

Bidding and Contracting

CMAR Selection

Construction

**Self-Funded Projects**

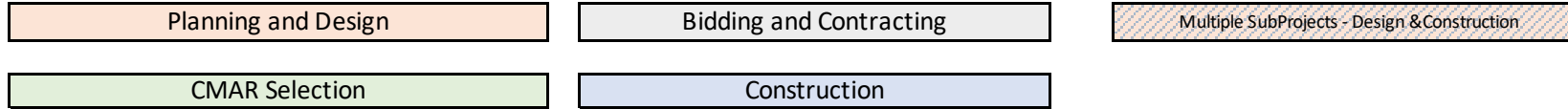
Project Title		FY2023-24				FY2024-25				FY2025-26				FY2026-27				FY2027-28			
		1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q
SUBR	New Student Union																				
	Honors Dorm																				
	Global Innovation and Welcome Center																				
	Public Safety Building																				
	TH Harris Learning Lobby																				
	Outdoor Classroom/Amphitheatre																				

# Southern University System

## Active Capital Improvement Project Tracking

### New FY24 Projects in the Capital Outlay Act (Act 465/2023)

**Key**



**New FY24 Capital Outlay Projects**

Project Title		FY2023-24				FY2024-25				FY2025-26				FY2026-27				FY2027-2028			
		1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q
SUBR	New Southern University Laboratory School Complex																				
	Replace Chilled Water Lines																				

**Self-Funded Projects**

Project Title		FY2023-24				FY2024-25				FY2025-26				FY2026-27				FY2027-2028			
		1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q
SUBR	Global Innovation and Welcome Center, Phase II																				
	Center for Innovation, Entrepreneurship and Community Engagement																				
SUNO	Nursing and Allied Health Building																				
SUSLA	HVAC Renovations																				
SUAC	High Tech Meat Processing Facility Expansion																				

**Southern University System**  
**General Operating Budget Interim Financial Statement**  
**For Fiscal Year Ending June 30, 2024**  
**As of October 31, 2023**

	FY24 Budget	Actual	Projected	Total FY24	Over/(Under) Budget	% Actual to Budget
<b>Revenues</b>						
General Fund Direct	\$ 66,400,531	\$ 29,050,232	\$ 37,350,299	\$ 66,400,531	\$ -	43.7%
Statutory Dedicated	5,051,115	799,506	4,251,609	5,051,115	-	15.8%
Federal	3,654,209	225,386	3,428,823	3,654,209	-	6.2%
<b>Self Generated</b>						
Tuition - Fall 2023	35,457,617	33,897,790	-	33,897,790	(1,559,827)	95.6%
Tuition - Spring 2024	33,473,960	-	33,473,960	33,473,960	-	0.0%
Tuition - Summer	4,321,912	580,889	3,741,023	4,321,912	-	13.4%
Out-of-State Fees	16,682,867	9,834,677	7,273,142	17,107,819	424,952	59.0%
Other	21,332,244	5,764,522	15,499,222	21,263,744	(68,500)	27.0%
Interagency Transfer	4,476,791	371,986	4,104,805	4,476,791	-	8.3%
<b>Total Revenues</b>	<b>\$ 190,851,246</b>	<b>\$ 80,524,988</b>	<b>\$ 109,122,883</b>	<b>\$ 189,647,871</b>	<b>\$ (1,203,375)</b>	<b>42.2%</b>
<b>Expenditures</b>						
Salaries	\$ 90,739,457	\$ 30,306,288	\$ 60,148,104	\$ 90,454,392	\$ (285,065)	33.4%
Other Compensation	394,759	33,999	360,760	394,759	-	8.6%
Related Benefits	38,496,101	10,209,329	28,029,726	38,239,055	(257,046)	26.5%
<b>Total Personal Services</b>	<b>\$ 129,630,317</b>	<b>\$ 40,549,616</b>	<b>\$ 88,538,590</b>	<b>\$ 129,088,206</b>	<b>\$ (542,111)</b>	<b>31.3%</b>
Travel	1,490,311	400,329	1,089,982	1,490,311	-	26.9%
Operating Services	17,932,095	11,544,052	7,431,804	18,975,856	1,043,761	64.4%
Supplies	2,136,272	719,999	1,416,273	2,136,272	-	33.7%
<b>Total Operating Expenses</b>	<b>\$ 21,558,678</b>	<b>\$ 12,664,380</b>	<b>\$ 9,938,059</b>	<b>\$ 22,602,439</b>	<b>\$ 1,043,761</b>	<b>58.7%</b>
Professional Services	2,727,372	631,978	2,217,848	2,849,826	122,454	23.2%
Other Charges	12,367,665	311,898	10,204,402	10,516,300	(1,851,365)	2.5%
Debt Services						
Interagency Transfers	7,865,134	998,990	6,866,144	7,865,134	-	12.7%
<b>Total Other Charges</b>	<b>\$ 22,960,171</b>	<b>\$ 1,942,866</b>	<b>\$ 19,288,395</b>	<b>\$ 21,231,260</b>	<b>\$ (1,728,911)</b>	<b>8.5%</b>
General Acquisitions	425,342	7,317	418,025	425,342	-	1.7%
Library Acquisitions	562,649	275,206	287,443	562,649	-	48.9%
Major Repairs	2,495,314	243,657	2,251,657	2,495,314	-	9.8%
<b>Total Acquisitions/Major Repairs</b>	<b>\$ 3,483,305</b>	<b>\$ 526,181</b>	<b>\$ 2,957,124</b>	<b>\$ 3,483,305</b>	<b>\$ -</b>	<b>15.1%</b>
Scholarships	13,218,775	9,473,223	3,769,438	13,242,661	23,886	71.7%
<b>Total Expenditures</b>	<b>\$ 190,851,246</b>	<b>\$ 65,156,265</b>	<b>\$ 124,491,606</b>	<b>\$ 189,647,871</b>	<b>\$ (1,203,375)</b>	<b>34.1%</b>

**Southern University Board and System Administration  
General Operating Budget Interim Financial Statement  
For Fiscal Year Ending June 30, 2024  
As of October 31, 2023**

	FY24 Budget	Actual	Projected	Total FY24	Over/(Under) Budget	% Actual to Budget
<b>Revenues</b>						
General Fund Direct	\$ 5,265,886	\$ 2,303,826	\$ 2,962,060	\$ 5,265,886	\$ -	43.8%
Statutory Dedicated	200,000	-	200,000	200,000	-	0.0%
Federal						
<b>Self Generated</b>						
Tuition - Fall 2023		-	-			
Tuition - Spring 2024		-	-			
Tuition - Summer		-	-			
Out-of-State Fees		-	-			
Other		-	-			
Interagency Transfer		-	-			
<b>Total Revenues</b>	<b>\$ 5,465,886</b>	<b>\$ 2,303,826</b>	<b>\$ 3,162,060</b>	<b>\$ 5,465,886</b>	<b>\$ -</b>	<b>42.1%</b>
<b>Expenditures</b>						
Salaries	\$ 1,930,302	\$ 616,544	\$ 1,313,758	\$ 1,930,302	\$ -	31.9%
Other Compensation	64,500	17,332	47,168	64,500	-	26.9%
Related Benefits	825,606	199,621	625,985	825,606	-	24.2%
<b>Total Personal Services</b>	<b>\$ 2,820,408</b>	<b>\$ 833,497</b>	<b>\$ 1,986,911</b>	<b>\$ 2,820,408</b>	<b>\$ -</b>	<b>29.6%</b>
Travel	365,000	23,748	341,252	365,000	-	6.5%
Operating Services	244,000	51,048	192,952	244,000	-	20.9%
Supplies	131,000	8,536	122,464	131,000	-	6.5%
<b>Total Operating Expenses</b>	<b>\$ 740,000</b>	<b>\$ 83,332</b>	<b>\$ 656,668</b>	<b>\$ 740,000</b>	<b>\$ -</b>	<b>11.3%</b>
Professional Services	151,000	18,750	132,250	151,000	-	12.4%
Other Charges	1,587,077	-	1,587,077	1,587,077	-	0.0%
Debt Services		-	-	-		
Interagency Transfers	97,401	-	97,401	97,401		
<b>Total Other Charges</b>	<b>\$ 1,835,478</b>	<b>\$ 18,750</b>	<b>\$ 1,816,728</b>	<b>\$ 1,835,478</b>	<b>\$ -</b>	<b>1.0%</b>
General Acquisitions	70,000	4,798	65,202	70,000	-	6.9%
Library Acquisitions		-	-			
Major Repairs		-	-			
<b>Total Acquisitions/Major Repairs</b>	<b>\$ 70,000</b>	<b>\$ 4,798</b>	<b>\$ 65,202</b>	<b>\$ 70,000</b>	<b>\$ -</b>	<b>6.9%</b>
Scholarships		-	-			
<b>Total Expenditures</b>	<b>\$ 5,465,886</b>	<b>\$ 940,377</b>	<b>\$ 4,525,509</b>	<b>\$ 5,465,886</b>	<b>\$ -</b>	<b>17.2%</b>

**Southern University Baton Rouge Campus  
General Operating Budget Interim Financial Statement  
For Fiscal Year Ending June 30, 2024  
As of October 31, 2023**

	FY24 Budget	Actual	Projected	Total FY24	Over/(Under) Budget	% Actual to Budget
<b>Revenues</b>						
General Fund Direct	\$ 26,039,530	\$ 11,392,295	\$ 14,647,235	\$ 26,039,530	\$ -	43.8%
Statutory Dedicated	1,773,886	427,645	1,346,241	1,773,886	-	24.1%
Federal	-	-	-	-	-	-
<b>Self Generated</b>						
Tuition - Fall 2023	21,974,488	22,054,319	-	22,054,319	79,831	100.4%
Tuition - Spring 2024	21,244,676	-	21,244,676	21,244,676	-	0.0%
Tuition - Summer	2,201,756	-	2,201,756	2,201,756	-	0.0%
Out-of-State Fees	11,222,140	7,142,300	4,079,840	11,222,140	-	63.6%
Other	11,338,306	2,685,428	8,652,878	11,338,306	-	23.7%
Interagency Transfer	4,476,791	371,986	4,104,805	4,476,791	-	8.3%
<b>Total Revenues</b>	<b>\$ 100,271,573</b>	<b>\$ 44,073,973</b>	<b>\$ 56,277,430</b>	<b>\$ 100,351,404</b>	<b>\$ 79,831</b>	<b>44.0%</b>
<b>Expenditures</b>						
Salaries	\$ 45,802,691	\$ 15,514,649	\$ 30,288,042	\$ 45,802,691	\$ -	33.9%
Other Compensation	201,377	-	201,377	201,377	-	0.0%
Related Benefits	19,883,952	5,563,549	14,320,403	19,883,952	-	28.0%
<b>Total Personal Services</b>	<b>\$ 65,888,020</b>	<b>\$ 21,078,198</b>	<b>\$ 44,809,822</b>	<b>\$ 65,888,020</b>	<b>\$ -</b>	<b>32.0%</b>
Travel	325,870	215,666	110,204	325,870	-	66.2%
Operating Services	10,688,986	7,526,654	3,242,163	10,768,817	79,831	70.4%
Supplies	937,411	499,171	438,240	937,411	-	53.2%
<b>Total Operating Expenses</b>	<b>\$ 11,952,267</b>	<b>\$ 8,241,491</b>	<b>\$ 3,790,607</b>	<b>\$ 12,032,098</b>	<b>\$ 79,831</b>	<b>69.0%</b>
Professional Services	1,101,480	292,169	809,311	1,101,480	-	26.5%
Other Charges	3,935,631	65,564	3,870,067	3,935,631	-	1.7%
Debt Services	-	-	-	-	-	-
Interagency Transfers	4,913,719	-	4,913,719	4,913,719	-	0.0%
<b>Total Other Charges</b>	<b>\$ 9,950,830</b>	<b>\$ 357,732</b>	<b>\$ 9,593,098</b>	<b>\$ 9,950,830</b>	<b>\$ -</b>	<b>3.6%</b>
General Acquisitions	62,032	-	62,032	62,032	-	0.0%
Library Acquisitions	137,649	41,599	96,050	137,649	-	-
Major Repairs	62,000	-	62,000	62,000	-	0.0%
<b>Total Acquisitions/Major Repairs</b>	<b>\$ 261,681</b>	<b>\$ 41,599</b>	<b>\$ 220,082</b>	<b>\$ 261,681</b>	<b>\$ -</b>	<b>15.9%</b>
Scholarships	12,218,775	8,499,337	3,719,438	12,218,775	-	69.6%
<b>Total Expenditures</b>	<b>\$ 100,271,573</b>	<b>\$ 38,218,357</b>	<b>\$ 62,133,047</b>	<b>\$ 100,351,404</b>	<b>\$ 79,831</b>	<b>38.1%</b>

**Southern University Law Center**  
**General Operating Budget Interim Financial Statement**  
**For Fiscal Year Ending June 30, 2024**  
**As of October 31, 2023**

	FY24 Budget	Actual	Projected	Total FY24	Over/(Under) Budget	% Actual to Budget
<b>Revenues</b>						
General Fund Direct	\$ 6,705,340	\$ 2,933,586	\$ 3,771,754	\$ 6,705,340	\$ -	43.7%
Statutory Dedicated	191,980	44,656	147,324	191,980	-	23.3%
Federal	-	-	-	-	-	-
<b>Self Generated</b>						
Tuition - Fall 2023	5,376,929	4,822,900	-	4,822,900	(554,029)	89.7%
Tuition - Spring 2024	5,035,879	-	5,035,879	5,035,879	-	0.0%
Tuition - Summer	767,123	-	767,123	767,123	-	0.0%
Out-of-State Fees	4,913,227	2,185,625	2,727,602	4,913,227	-	44.5%
Other	4,324,709	2,030,316	2,294,393	4,324,709	-	46.9%
Interagency Transfer	-	-	-	-	-	-
<b>Total Revenues</b>	<b>\$ 27,315,187</b>	<b>\$ 12,017,083</b>	<b>\$ 14,744,075</b>	<b>\$ 26,761,158</b>	<b>\$ (554,029)</b>	<b>44.0%</b>
<b>Expenditures</b>						
Salaries	\$ 15,343,775	\$ 5,759,557	\$ 9,584,218	\$ 15,343,775	\$ -	37.5%
Other Compensation	-	-	-	-	-	-
Related Benefits	5,925,444	1,776,714	4,148,730	5,925,444	-	30.0%
<b>Total Personal Services</b>	<b>\$ 21,269,219</b>	<b>\$ 7,536,271</b>	<b>\$ 13,732,948</b>	<b>\$ 21,269,219</b>	<b>\$ -</b>	<b>35.4%</b>
Travel	505,000	125,405	379,595	505,000	-	24.8%
Operating Services	1,815,326	503,561	757,736	1,261,297	(554,029)	27.7%
Supplies	280,000	62,815	217,185	280,000	-	22.4%
<b>Total Operating Expenses</b>	<b>\$ 2,600,326</b>	<b>\$ 691,782</b>	<b>\$ 1,354,515</b>	<b>\$ 2,046,297</b>	<b>\$ (554,029)</b>	<b>26.6%</b>
Professional Services	1,250,000	250,927.70	999,072	1,250,000	-	20.1%
Other Charges	981,125	-	981,125	981,125	-	0.0%
Debt Services	-	-	-	-	-	-
Interagency Transfers	264,517	-	264,517	264,517	-	0.0%
<b>Total Other Charges</b>	<b>\$ 2,495,642</b>	<b>\$ 250,928</b>	<b>\$ 2,244,714</b>	<b>\$ 2,495,642</b>	<b>\$ -</b>	<b>10.1%</b>
General Acquisitions	-	-	-	-	-	-
Library Acquisitions	300,000	141,467	158,533	300,000	-	0.0%
Major Repairs	-	-	-	-	-	-
<b>Total Acquisitions/Major Repairs</b>	<b>\$ 300,000</b>	<b>\$ 141,467</b>	<b>\$ 158,533</b>	<b>\$ 300,000</b>	<b>\$ -</b>	<b>47.2%</b>
Scholarships	650,000	650,000	-	650,000	-	100.0%
<b>Total Expenditures</b>	<b>\$ 27,315,187</b>	<b>\$ 9,270,447</b>	<b>\$ 17,490,711</b>	<b>\$ 26,761,158</b>	<b>\$ (554,029)</b>	<b>33.9%</b>



**Southern University New Orleans Campus**  
**General Operating Budget Interim Financial Statement**  
**For Fiscal Year Ending June 30, 2024**  
**As of October 31, 2023**

	FY24 Budget	Actual	Projected	Total FY24	Over/(Under) Budget	% Actual to Budget
<b>Revenues</b>						
General Fund Direct	\$ 9,734,448	\$ 4,258,821	\$ 5,475,627	\$ 9,734,448	\$ -	43.8%
Statutory Dedicated	552,652	121,209	431,443	552,652	-	21.9%
Federal	-	-	-	-	-	-
<b>Self Generated</b>						
Tuition - Fall 2023	4,144,256	3,454,399	-	3,454,399	(689,858)	83.4%
Tuition - Spring 2024	3,760,661	-	3,760,661	3,760,661	-	0.0%
Tuition - Summer	815,662	260,346	555,316	815,662	-	31.9%
Out-of-State Fees	366,000	362,452	360,000	722,452	356,452	99.0%
Other	4,498,838	985,728	3,513,110	4,498,838	-	21.9%
Interagency Transfer	-	-	-	-	-	-
<b>Total Revenues</b>	<b>\$ 23,872,517</b>	<b>\$ 9,442,953</b>	<b>\$ 14,096,158</b>	<b>\$ 23,539,112</b>	<b>\$ (333,406)</b>	<b>39.6%</b>
<b>Expenditures</b>						
Salaries	\$ 12,602,295	\$ 3,812,206	\$ 8,790,089	\$ 12,602,295	\$ -	30.3%
Other Compensation	-	-	-	-	-	-
Related Benefits	5,040,918	1,012,836	4,028,082	5,040,918	-	20.1%
<b>Total Personal Services</b>	<b>\$ 17,643,213</b>	<b>\$ 4,825,042</b>	<b>\$ 12,818,171</b>	<b>\$ 17,643,213</b>	<b>\$ -</b>	<b>27.3%</b>
Travel	20,000	-	20,000	20,000	-	0.0%
Operating Services	2,069,190	2,587,149	1,000,000	3,587,149	1,517,959	125.0%
Supplies	214,000	28,877	185,123	214,000	-	13.5%
<b>Total Operating Expenses</b>	<b>\$ 2,303,190</b>	<b>\$ 2,616,026</b>	<b>\$ 1,205,123</b>	<b>\$ 3,821,149</b>	<b>\$ 1,517,959</b>	<b>113.6%</b>
Professional Services	99,892	16,589	83,303	99,892	-	-
Other Charges	3,152,024	226,576	1,074,084	1,300,659	(1,851,365)	7.2%
Debt Services	-	-	-	-	-	-
Interagency Transfers	299,198	193,731	105,467	299,198	-	64.7%
<b>Total Other Charges</b>	<b>\$ 3,551,114</b>	<b>\$ 436,895</b>	<b>\$ 1,262,854</b>	<b>\$ 1,699,749</b>	<b>\$ (1,851,365)</b>	<b>12.3%</b>
General Acquisitions	-	-	-	-	-	0.0%
Library Acquisitions	125,000	92,140	32,860	125,000	-	73.7%
Major Repairs	-	-	-	-	-	-
<b>Total Acquisitions/Major Repairs</b>	<b>\$ 125,000</b>	<b>\$ 92,140</b>	<b>\$ 32,860</b>	<b>\$ 125,000</b>	<b>\$ -</b>	<b>73.7%</b>
Scholarships	250,000	250,000	-	250,000	-	100.0%
<b>Total Expenditures</b>	<b>\$ 23,872,517</b>	<b>\$ 8,220,103</b>	<b>\$ 15,319,008</b>	<b>\$ 23,539,112</b>	<b>\$ (333,406)</b>	<b>34.4%</b>

**Southern University Shreveport Campus**  
**General Operating Budget Interim Financial Statement**  
**For Fiscal Year Ending June 30, 2024**  
**As of October 31, 2023**

	<b>FY24 Budget</b>	<b>Actual</b>	<b>Projected</b>	<b>Total FY24</b>	<b>Over/(Under) Budget</b>	<b>% Actual to Budget</b>
<b>Revenues</b>						
General Fund Direct	\$ 7,531,907	\$ 3,295,208	\$ 4,236,699	\$ 7,531,907	\$ -	43.7%
Statutory Dedicated	529,902	44,656	485,246	529,902	-	8.4%
Federal						
<b>Self Generated</b>						
Tuition - Fall 2023	3,961,944	3,566,173	-	3,566,173	(395,771)	90.0%
Tuition - Spring 2024	3,432,744	-	3,432,744	3,432,744	-	0.0%
Tuition - Summer	537,371	320,543	216,828	537,371	-	59.7%
Out-of-State Fees	181,500	144,300	105,700	250,000	68,500	79.5%
Other	1,170,391	63,050	1,038,841	1,101,891	(68,500)	5.4%
Interagency Transfer		-	-			
<b>Total Revenues</b>	<b>\$ 17,345,759</b>	<b>\$ 7,433,930</b>	<b>\$ 9,516,058</b>	<b>\$ 16,949,988</b>	<b>\$ (395,771)</b>	<b>42.9%</b>
<b>Expenditures</b>						
Salaries	\$ 8,728,932	\$ 2,382,133	\$ 6,061,734	\$ 8,443,867	\$ (285,065)	27.3%
Other Compensation	-	-	-	-	-	0.0%
Related Benefits	3,868,603	872,471	2,739,086	3,611,557	(257,046)	22.6%
<b>Total Personal Services</b>	<b>\$ 12,597,535</b>	<b>\$ 3,254,604</b>	<b>\$ 8,800,820</b>	<b>\$ 12,055,424</b>	<b>\$ (542,111)</b>	<b>25.8%</b>
Travel	43,000	15,228	27,772	43,000	-	35.4%
Operating Services	2,592,161	547,015	2,045,146	2,592,161	-	21.1%
Supplies	102,500	80,519	21,981	102,500	-	78.6%
<b>Total Operating Expenses</b>	<b>\$ 2,737,661</b>	<b>\$ 642,762</b>	<b>\$ 2,094,899</b>	<b>\$ 2,737,661</b>	<b>\$ -</b>	<b>23.5%</b>
Professional Services	20,000	42,454	100,000	142,454	122,454	212.3%
Other Charges	426,000	9,426	416,574	426,000	-	2.2%
Debt Services		-	-			
Interagency Transfers	1,464,563	805,259	659,304	1,464,563	-	55.0%
<b>Total Other Charges</b>	<b>\$ 1,910,563</b>	<b>\$ 857,139</b>	<b>\$ 1,175,878</b>	<b>\$ 2,033,017</b>	<b>\$ 122,454</b>	<b>44.9%</b>
General Acquisitions	-	-	-	-	-	0.0%
Library Acquisitions	-	-	-	-	-	0.0%
Major Repairs	-	-	-	-	-	0.0%
<b>Total Acquisitions/Major Repairs</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>0.0%</b>
Scholarships	100,000	73,886	50,000	123,886	23,886	73.9%
<b>Total Expenditures</b>	<b>\$ 17,345,759</b>	<b>\$ 4,828,391</b>	<b>\$ 12,121,597</b>	<b>\$ 16,949,988</b>	<b>\$ (395,771)</b>	<b>27.8%</b>

**Southern University Agricultural Research and Extension Center  
General Operating Budget Interim Financial Statement  
For Fiscal Year Ending June 30, 2024  
As of October 31, 2023**

	FY24 Budget	Actual	Projected	Total FY24	Over/(Under) Budget	% Actual to Budget
<b>Revenues</b>						
General Fund Direct	\$ 11,123,420	\$ 4,866,496	\$ 6,256,924	\$ 11,123,420	\$ -	43.7%
Statutory Dedicated	1,802,695	161,341	1,641,354	1,802,695	-	8.9%
Federal	3,654,209	225,386	3,428,823	3,654,209	-	6.2%
<b>Self Generated</b>						
Tuition - Fall 2023	-	-	-	-	-	-
Tuition - Spring 2024	-	-	-	-	-	-
Tuition - Summer	-	-	-	-	-	-
Out-of-State Fees	-	-	-	-	-	-
Other	-	-	-	-	-	-
Interagency Transfer	-	-	-	-	-	-
<b>Total Revenues</b>	<b>\$ 16,580,324</b>	<b>\$ 5,253,223</b>	<b>\$ 11,327,101</b>	<b>\$ 16,580,324</b>	<b>\$ -</b>	<b>31.7%</b>
<b>Expenditures</b>						
Salaries	\$ 6,331,462	\$ 2,221,200	\$ 4,110,262	\$ 6,331,462	\$ -	35.1%
Other Compensation	128,882	16,667	112,215	128,882	-	12.9%
Related Benefits	2,951,578	784,138	2,167,440	2,951,578	-	26.6%
<b>Total Personal Services</b>	<b>\$ 9,411,922</b>	<b>\$ 3,022,004</b>	<b>\$ 6,389,918</b>	<b>\$ 9,411,922</b>	<b>\$ -</b>	<b>32.1%</b>
Travel	231,441	20,282	211,159	231,441	-	8.8%
Operating Services	522,432	328,624	193,808	522,432	-	62.9%
Supplies	471,361	40,081	431,280	471,361	-	8.5%
<b>Total Operating Expenses</b>	<b>\$ 1,225,234</b>	<b>\$ 388,987</b>	<b>\$ 836,247</b>	<b>\$ 1,225,234</b>	<b>\$ -</b>	<b>31.7%</b>
Professional Services	105,000	11,089	93,911	105,000	-	10.6%
Other Charges	2,285,808	10,333	2,275,475	2,285,808	-	0.5%
Debt Services	-	-	-	-	-	-
Interagency Transfers	825,736	-	825,736	825,736	-	0.0%
<b>Total Other Charges</b>	<b>\$ 3,216,544</b>	<b>\$ 21,422</b>	<b>\$ 3,195,122</b>	<b>\$ 3,216,544</b>	<b>\$ -</b>	<b>0.7%</b>
General Acquisitions	293,310	2,519	290,791	293,310	-	0.9%
Library Acquisitions	-	-	-	-	-	-
Major Repairs	2,433,314	243,657	2,189,657	2,433,314	-	10.0%
<b>Total Acquisitions/Major Repairs</b>	<b>\$ 2,726,624</b>	<b>\$ 246,176</b>	<b>\$ 2,480,448</b>	<b>\$ 2,726,624</b>	<b>\$ -</b>	<b>9.0%</b>
Scholarships	-	-	-	-	-	-
<b>Total Expenditures</b>	<b>\$ 16,580,324</b>	<b>\$ 3,678,589</b>	<b>\$ 12,901,735</b>	<b>\$ 16,580,324</b>	<b>\$ -</b>	<b>22.2%</b>