CCri

Grants Manual

Grants Office

11/14/2022

Contents

Introduction

The procedures in this manual augment the guidance in the CCRI Grant Application and Renewal Policy and are intended to provide comprehensive, user-friendly instructions for personnel involved with grants on:

- Researching, writing, and submitting grant proposals for approval;
- Administering grants through completion;
- Accounting for grant expenditures and preparing required documentation; and,
- Conducting post-completion reviews of grant performance.

This manual is designed to help you through each step of the proposal process. The procedures are written in a "how to" style that presupposes only basic familiarity with grants. Each section, with the exception of this introduction, corresponds to a group of activities in the overall grant cycle from inception through completion and post-audit. *Since no manual can cover every situation, each section also identifies the specific personnel or resources available to answer questions in that area.* Any remaining questions may be referred to the Office of Institutional Advancement (OIA). Additional information and resources on specific topics are included in the appendices (see Table of Contents). Suggestions for changes and improvements should be addressed to the OIA.

This manual covers grants that the college will be administering. This manual does not cover grants administered by the CCRI Foundation. For more information on grants administered by the foundation, please contact the OIA.

Section 1. Database for Grant Opportunities & Funding Resources

Responsible Person/Department:

The OIA is available for guidance on researching funding opportunities.

The following are links to various websites that can be used to research a funding source for a particular proposal idea as well as guides and tutorials on how to approach the proposal process. Contact the OIA with any questions you may have regarding how to proceed. The Web site addresses that follow are broken down into Federal Funding, Foundation Funding, Corporate Funding, additional resources, and guides and tutorials. These links will bring you directly to the site.

Federal Funding

All Federal grants have to be announced to the public. These announcements may be referred to as a "Program Announcement," "Request for Proposal," "Notice of Funding Availability," or "Solicitation for Grant Applications." Each grant announcement will contain instructions on how to apply, including eligibility, where to get an application packet, what the application should contain, the date the application is due, submission guidelines, and agency contact information. Grant announcements are issued throughout the year.

Primary site for federal funding opportunities - Grants.gov (www.grants.gov)

Other useful federal sites

- Catalog of Federal Domestic Assistance (https://beta.sam.gov/)
- Department of Education Grant Announcements (http://www.ed.gov/news/fedregister/announce/index.html)
- National Science Foundation (http://www.nsf.gov/)
- NIH Center for Scientific Review (www.csr.nih.gov)
- USA.gov - online guide to federal government information and services (www.usagov.gov)

Rhode Island Foundations

- Alletta Morris McBean Charitable Trust (http://allettamcbeancharitabletrust.org)
- Champlin Foundation (https://champlinfoundation.org/)
- Gladys Brooks Foundation (http://www.gladysbrooksfoundation.org/guidelines.html)
- Horace A. Kimball and S. Ella Kimball Foundation (http://www.hkimballfoundation.org/)
- June Rockwell Levy Foundation (http://www.junerockwelllevy.org/index.htm)
- Ocean State Charities Trust (http://www.osct.org/)
- Providence Journal Charitable Legacy Fund (https://www.rifoundation.org/WorkingTogether/ForNonprofits/GrantOpportunities/ProvidenceJournalCharitableLegacyFund.aspx)
- Rhode Island Council for the Humanities(http://www.rihumanities.org/)
- Rhode Island Foundation (http://www.rifoundation.org/matriarch/OnePiecePage.asp?PageID=6&PageName=GiveIntro)
- Rhode Island State Council on the Arts (http://www.arts.ri.gov/)
- Van Beuren Charitable Foundation (https://www.vbcfoundation.org/)

Rhode Island Corporate Giving Programs

- Citizens Financial Group, Inc. (http://www.citizensbank.com/community/corporate/default.aspx)
- Cranston Print Works Company (http://www.cpw.com/)
- Fidelity (https://www.fidelity.com/about-fidelity/corporate-sponsorship)
- Hasbro, Inc. (http://www.hasbro.org/default.cfm?page=grantmaking)
- Textron Inc. (https://www.textron.com/About/Our-Commitment/Charitable-Giving)
- The Washington Trust Company (https://www.washtrust.com/About-Us/Community-Support/Charitable-Giving)

Other Funding Resources

- Chronicle of Higher Ed (www.chronicle.com)
- Chronicle of Philanthropy (www.philanthropy.com)
- Council on Foundations (www.cof.org)
- Forum of Regional Associates of Grant Makers (www.givingforum.org)
- Grant Station (www.grantstation.com)
- National College Transition Network (http://www.collegetransition.org/)
- National Council of University Research Administrators (http://www.ncura.edu/)

Guides, Tutorials, etc.

The Internet has hundreds of examples of how to write a grant. In fact, many federal funding agencies have developed department-specific tutorials. The following are samples of guides available to you.

http://foundationcenter.org/getstarted/tutorials/prop_budgt/index.html
http://www.cpb.org/grants/grantwriting.html
http://www.npguides.org/
http://www.proposalwriter.com/grantwriting.html
http://www.srainternational.org/newweb/grantsweb/index.cfm
http://www.grantproposal.com/

Please Note: Do not pursue any type of funding without first contacting OIA.

Section 2. Initiating a Project Idea

Responsible Person/Department:

The Project Director (PD) is responsible for submitting the [Grant Funding Initiation Form](#).

The OIA is responsible for reviewing proposal requests.

It is the policy of CCRI that all grants pursued by the institution advance the college's mission and support the [strategic plan](#). For this reason, the college's mission statement is included here for your review.

The Mission of the Community College of Rhode Island

The Community College of Rhode Island is the state's only public comprehensive associate degree-granting institution. We provide affordable open access to higher education at locations throughout the state. Our primary mission is to offer recent high school graduates and returning adults the opportunity to acquire the knowledge and skills necessary for intellectual, professional and personal growth through an array of academic, career and lifelong learning programs. We meet the wide-ranging educational needs of our diverse student population, building on our rich tradition of excellence in teaching and our dedication to all students with the ability and motivation to succeed. We set high academic standards necessary for transfer and career success, champion diversity, respond to community needs, and contribute to our state's economic development and the region's workforce.

It is also the policy of the college that all grants pursued by the institution have the full support of the department initiating the grant. This requires the commitment of the department to fully support the PD in carrying out the proposed project, which includes providing support staff to assist the PD with administrative tasks associated with the project. It may also include identifying space for the project to be carried out and providing financial support for operating costs not covered by the grant. This support is evidenced by appropriate signatures on the "[Grant Funding Initiation Form](#)."

The OIA is here to assist you. For this reason, the OIA's mission statement is also included here for your review.

The Mission of the Office of Institutional Advancement

The OIA leads the philanthropic efforts of the college. Working collaboratively with the CCRI Foundation and the CCRI Alumni Association, the OIA responsibly promotes philanthropy to maximize the resources raised in support of CCRI's Mission and institutional priorities through a donor centered, comprehensive, sustainable plan. Our work reflects the high standards and ethics adopted by the Council for the Advancement and Support of Education (CASE), Association of Fundraising Professionals (AFP), and Uniform Prudent Management of Institutional Funds Act (UPMIFA), and is accomplished by creating relationships with our internal and external constituencies, and fostering a spirit of teamwork, mutual support, and integrity.

2.a. Request for Approval to Begin the Grant Writing Process

Approval to pursue grant opportunities is subject to the <u>Grant Application and Renewal Policy</u>. In order to initiate this review process, please complete the <u>Grant Funding Initiation Form</u>.

This form is designed to provide a basic overview of the purpose of the grant, identifying goals and outcomes, equipment and space needs, and other requirements that could impact the college's ability to support the grant activities. It is the policy of the college to pursue only grants that can be adequately supported by the institution. The form must be signed by all necessary approvers before it may be submitted to the OIA.

Complete the <u>Grant Funding Initiation Form</u> in as much detail as possible. Being thorough will assist the OIA in making an informed recommendation. Questions about completing the form may be directed to the OIA. The form with all required signatures should be forwarded to the Associate Vice President, Institutional Advancement, when completed.

Grant proposals are written in response to institutional needs with a solid understanding of the funding source's priorities and guidelines. In order to write a proposal worthy of consideration, you will need to obtain the forms, guidelines, and technical requirements of the funding source and develop your proposal accordingly. Forward copies of application materials, or links to websites where these materials can be found, to the OIA as early in the process as possible.

The grant writing process can be both time-consuming and labor intensive. Please ensure that the college has sufficient time to submit the grant in accordance with funding source deadlines. If there is <u>not</u> sufficient time to submit a comprehensive proposal, the request to pursue the grant may be denied even if the project is worthwhile.

2.b. Grant Proposal Rating Scale

The OIA is responsible for reviewing each <u>Grant Funding Initiation Form</u> and making a recommendation regarding the request. In order to facilitate this review, a <u>Grant Proposal Rating Scale</u> has been created. A copy of this rating scale is included in <u>Appendix 1</u>. The rating scale lists the factors that OIA considers in the review process.

Once the OIA has completed its review and made a recommendation, the request moves according to the flowchart contained in the <u>Grant Application and Renewal Policy</u>, part E.

Section 3. Proposal Development, Approval, and Submission to the Funding Source

Responsible Person/Department:

The PD is responsible for drafting the proposal and developing the budget. The OIA works with the PD in finalizing this documentation and submits the proposal to the funding source.

At this stage, the required Grant Funding Initiation Form has been approved and the college has agreed to move forward with the proposal in accordance with the Grant Application and Renewal Policy. The role of the OIA is to empower those individuals who seek funding for their projects and to vigorously support their efforts.

3.a. Drafting the Grant Proposal

In the event of an award, the PD will have responsibilities to the college and the funder both in "pre-award" (before the proposal is awarded), and in "post-award" management. The PD is the primary person responsible for executing the project, managing expenditures within the budget, and achieving the results proposed. This includes writing the proposal, developing the budget, satisfying cost sharing requirements, submitting reports, purchasing goods and services, and remaining in compliance with federal, state, and the funding source's policies.

If the PD does not have previous grant writing experience, s/he is strongly encouraged to explore the resources included in Section 1 to better understand the grant writing process. Familiarity with Microsoft® Excel for budget development and Microsoft® Word for narrative writing are essential, as the college's grant writing and approval process is electronically based. The OIA will work closely with the PD to review and edit the proposal.

Projects must be chosen carefully and align with CCRI's mission (Section 2) and strategic plan. Topics to consider include:

- What are you proposing in your project;
- How are you going to complete the project goals and objectives;
- How will the community benefit;
- How are you going to evaluate project effectiveness—and alter project objectives when necessary;
- What types of positions and materials are required;
- How much money do you need to accomplish the objectives;
- What are the costs to the college; what are the space requirements;
- Will IT be able to provide any necessary support;
- Would you need to coordinate with Physical Plant to ensure any needed building alterations (electrical wiring, ventilation, etc.) can be made;
- How will the project be sustained when the grant ends; and
- Why have you chosen to submit this proposal to this particular funder?

It is imperative to provide a link between the mission and priorities of the funding source and the project CCRI is proposing. Because research plays such an important role at CCRI, a database of

funding sources and tips on how to write successful proposals is available in Section 1 of this manual and Appendix 2. Contact the OIA if further assistance or guidance is needed.

The proposal should identify a need, outline the programmatic and budgetary steps it will take to address that need, identify the population to be served, and delineate the benefits that will result. The statement of need should be supported with statistical data, such as Best Practices in the field, Department of Labor employment projections, etc.

Include a timeline for implementing the proposed project. Project goals and objectives should be SMART: **S**pecific; **M**easurable; **A**chievable; **R**elevant; and **T**ime-Bound.

- **S**pecific: State specifically what you intend to accomplish (who, what, where, why).
- **M**easurable: Describe your evaluation plan, including the qualitative and quantitative measures being used to demonstrate success in projects' goals and objectives.
- **A**chievable: Describe your organizational capacity (experience, expertise, resources, leadership, staff, partners, and other factors) ability to accomplish the proposed project.
- **R**elevant: Describe in detail how the proposed project's goals and objectives are relevant to the mission and priorities of the funding source.
- **T**ime-Bound: Provide a detailed timeline that includes benchmarks and deadlines for the proposed project goals.

The proposal should include a budget and budget narrative, detailing how much money is needed and how the money being requested is going to be spent. A well-prepared budget justifies all expenses and is consistent with the proposal narrative and the Code of Federal Regulations (CFR) Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. This section should also include what, if any, resources CCRI is committing to the project.

Explain the evaluation plan, and how performance results will be measured. And finally, describe the plan to sustain the program, including budget details, after the term of the grant ends.

At the outset, the PD should contact the OIA to establish a timeline for completing the proposal. This will involve:

- Determining submission requirements;
- Gathering input from key players;
- Setting dates for deliverables e.g., section drafts, letters of support, memorandums of understanding, etc.;
- Internal review by the OIA and processing by the Controller's Office;
- Final approval; and
- Proposal packaging and submission.

It is critical to identify the method of submission (electronic, hard copy, express mail, or hand delivery) early on so that special requirements can be accommodated prior to submission deadline. The OIA will work with the PD to develop a proposal-specific timeline. At a minimum, the timeline will allow for a three-week review period from submission of a complete draft to the OIA, review by the Controller's Office, and submission to the funding source.

It is imperative that the PD allows sufficient time to prepare a competitive proposal. Some grants require a search of the literature for best practices, or current need documented by supporting data, such as labor statistics, demographic information, etc. Collaborative grants involving multiple

departments, other higher education institutions, or outside agencies often require letters of support or MOUs with details documenting the nature of the relationship(s). Verifying salary, fringe benefits, and the cost of supplies and equipment can be time-consuming. All of these requirements take energy separate from that committed to actually writing the proposal.

In addition, the PD needs to allow sufficient time for internal review and approval. The proposal, including the budget, must undergo a thorough review and receive the necessary approvals before it can be submitted to the funding source. This process can take several weeks, especially if changes or clarifications are needed within the proposal.

The proposal, including the narrative, the Grant Budget Workbook, the budget in the format required by the funding source, and required supporting documentation must be submitted to the OIA in accordance with dates established in the proposal timeline. **Please adhere to this schedule to ensure the proposal's timely submission.**

The OIA reviews the proposal for compliance with the funding source's guidelines, and forwards it to the Controller's Office for review and processing. In addition, any grant that commits financial resources of the college must be reviewed by the Business Office. (If this is the case, OIA will forward a copy to the Business Office.) This allows the Business Office to ensure that adequate funds are budgeted in the proper fiscal year based on any commitments in the proposal. If all necessary approvals (divisional, OIA, Controller's Office, Executive) have been obtained an authorized signatory will sign the proposal. The OIA will then submit the proposal to the funding source and send copies to the PD.

Please refer to the [Grant Application and Renewal Policy](#), part E., for a flowchart which illustrates the flow of documentation.

3.b. Proposal Submission and Follow-Up

It is the responsibility of OIA to follow up on all grant awards, requests for modification, or denials from the funding source, and to serve as the *primary* intermediary between the college and the funding source on these matters. It is essential that the PD forward all information from the funding source to the OIA to avoid problems that might result in start-up delays. **Failure to convey relevant project or budgetary information to the OIA can result in fiscal errors, for which the PD's department could be held responsible.**

Notifications of grant approvals or denials and any original contractual documents should be forwarded to the OIA if received by any other office, which is often the case. Notification is often via mail or email. If the notification is received by the OIA, the OIA will be responsible for notifying the PD, the PD's supervisor, and the Controller's Office of all outcomes

Section 4. Grant Proposal Budget Development

Responsible Person/Department:

The PD is responsible for developing the budget. The Controller's Office can provide assistance if needed.

The budget is the backbone upon which the proposal rests. Without sufficient money, no project can operate successfully. Grant project budgets must be all-inclusive and provide adequate funding not only for salaries and fringe benefits but also for operating expenses such as supplies, travel, and indirect costs. Grants are charged indirect costs in order for the college to recoup costs that are not charged directly to the grant such as electricity, facilities maintenance, and fiscal management. The Grant Budget Workbook (GBW) provides a line for indirect costs. If matching funds are required by the funding source, the source of these funds must be identified and approved prior to proposal submission.

In order to assist the PD in the development of a sound and balanced budget, a Microsoft Excel workbook is used. The GBW includes a number of different worksheets that provide a template to use to create the budget. Using this Workbook will save time, reduce the need for budget revisions or corrections, and provide the basis for internal review. This workbook contains internal prompts and protected formulas to help in developing a sound budget. From this workbook, the PD can then complete the specific budget forms required by the funding source. The PD, or designee, must become fully acquainted with and skilled in using Microsoft Excel to avoid errors such as inadvertently erasing formulas when entering data. The Workbook contains the following worksheets that will allow the PD to build a budget item by item, including salaries, fringe benefits, and all operating costs:

1. Grant Summary
2. Full-Time Personnel, non-faculty (including fringe benefits)
3. Part-Time Personnel (enter overtime for full-time employees here)
4. Full-Time Faculty
5. Student Personnel
6. General Supplies/Services
7. Travel
8. Repairs and Rentals
9. Other Supplies and Miscellaneous
10. Capital Equipment/Software
11. Matching Salaries & Fringe Benefits
12. Matching Costs (Operating)

If the funding source requires an institutional match as part of the overall budget, then the proposal needs to identify the plan to provide the contribution, including departmental accounts that will be used. A match that is being identified only to demonstrate the college's support of the project, but is not a requirement of the funding source, should not be included on the matching worksheets in the GBW. Refer to Section 11 of this manual for further discussion on the documentation requirements for either cash or in-kind matching funds.

As part of the development of the grant proposal budget, estimates should be obtained from vendors for services, supplies, and equipment to be purchased with grant funds. These details should then be recorded in the GBW. The Purchasing Department can provide assistance with pricing estimates.

The GBW simplifies the job and assists the PD in building a sound budget inclusive of the many items needed to conduct a successful project. Many grant applications lose points in the review process because they lack supporting detail in their budgets; using the GBW should reduce the likelihood of that happening.

Hyperlinks have been included in the Workbook that will enable the PD to move from the Grant Budget Summary Worksheet to the various line items in the GBW and return to the Grant Budget Summary Worksheet.

It is strongly recommended that you schedule an in-person training session with the Controller's Office so that you may better understand the workings of the GBW.

Please note that some cells on the various worksheets appear in red in the electronic file when viewed on your screen. These cells contain formulas to calculate the appropriate amounts. Do not try to type information into these cells, as the information in them is automatically calculated from other data that have been entered in the worksheets. In certain instances, a formula may need to be deleted from a cell when an amount should not be budgeted for a specific item. In that case, call the Controller's Office for assistance in modifying any protected cells.

Before entering information in the Grant Budget Workbook, contact the Controller's Office for the most recent version of the file. This will ensure that the rates included in the workbook are the most current. The Controller's Office can also provide more detailed instructions and guidance for completing the Workbook.

Section 5. Post-Award Review

Responsible Person/Department:

The OIA notifies the PD of the funder's approval or denial of the award. The OIA is responsible for finalizing all contract documentation related to grant awards. It is also responsible for all follow-up activities related to proposals that are denied funding.

5.a. Award Approved with No Changes

If the funder has approved the proposal with no changes, the OIA will forward the grant agreement to the Controller's Office for review and processing. If necessary, the Controller's Office will forward the grant agreement to an authorized signatory for approval. If approved by an authorized signatory, the OIA will then submit the fully signed grant agreement to the funding source and send copies to the PD.

Please note: legal review of the grant agreement may be necessary by the college's General Counsel. If legal review is necessary, the review could take several weeks.

5.b. Award Approved with Changes

If the funder has approved the proposal with changes, the OIA will determine whether it is necessary to convene a Grant Priorities Committee, whose membership will include the AVP of OIA, the Controller, and other key stakeholders impacted by the grant. The purpose of this Grant Priorities Committee will be to ensure a smooth transition into the project activities and ensure compliance. The Grant Priorities Committee may convene to clarify or discuss any ramifications as a result of contract negotiations or the amount of award. For example, if CCRI submits a proposal requesting funding for three initiatives totaling $1.8 million but the funding source awards just $710,000, the Grant Priorities Committee would convene to discuss how the budget would be revised.

The PD is responsible for initiating budget revisions when it is determined that a modification is necessary. The specific changes need to be identified from any documentation received and should be incorporated into the Grant Budget Workbook. Contact the Controller's Office for the most recent version of the Excel Workbook as changes may have been made to the original budget/document submitted to OIA based on issues that arose during the internal review of the proposal. The goal is to facilitate any required revisions in a timely fashion so that accurate budget information can be loaded into Banner.

Save the Excel file with a new name that includes the grant name, revision number, and the date so that all modification files can be easily identified from the original. Make all changes to this new file. Once the workbook is updated, any funding source-specific budget forms also need to be revised to reflect the new budget totals. This will ensure complete and accurate documentation. Please send the revised workbook and any completed forms to the Controller's Office.

If the OIA does not feel it is necessary for the Grant Priorities Committee to meet, it will forward the Grant Agreement to the Controller's Office for execution following the procedure outlined in 5.a. above.

5.c. Proposal Denied Funding

In the event that CCRI is notified that it has not received an award, the OIA will determine whether it is necessary to schedule a meeting to discuss the decision. The discussion will differ based on the source of the funding, i.e., Federal, State, or Private.

When applying for Federal or state government grants, each section of the application is typically worth a certain number of points. Readers are asked to assign each section a numerical score (e.g., the quality of the comprehensive development plan is worth up to 25 points), and then justify this score by commenting on the strengths and weaknesses of that particular section. Awards are made in rank order according to the average total score received from a panel of three readers, with a cut-off score for funding. If denied, see Section 3.

The OIA will request a copy of the readers' comments and will distribute them prior to the meeting. Meeting attendees can then discuss the strengths and weaknesses, and how the application can be, or could have been, improved as a result of that feedback.

Because private foundations are often understaffed, they may not have the manpower to provide feedback on grant proposals. Therefore, the discussion surrounding their decision should focus on reviewing the Foundation's mission and guidelines and how closely the proposal was aligned with them.

As a result of the meeting, attendees should come to a consensus regarding where the proposal was weak and what could have been done to improve it. This will aid in developing a proposal for resubmission in the next grant cycle held by the funding agency, and improve the college's chance of receiving funding in the future.

Section 6. Request for Advance of Grant Funds

Responsible Person/Department:

The PD is responsible for initiating the Request for Advance of Grant Funds form (Advance) and monitoring the financial status of the Advance.

The Advance allows a PD to request a percentage of the total grant funding for immediate use, usually 10%, while the contractual agreement between the college and the funding source is being processed. An advance is meant to be used in those instances where an anticipated award was expected to begin, but where the grant award document has not been finalized. The primary purpose of an Advance should be to keep existing grant personnel employed, but exceptions could be approved, if warranted.

An Advance may be requested once the college has received a written commitment from the funding source, either a Letter of Intent or an email. The notification must include the total amount of the award and the term of the grant. A copy of the notification must be submitted with the Advance request. The Advance form is available in Appendix 3 of this manual.

When completing the Advance, identify in response #3 - Purpose of Advance - the categories of expenditure the Advance will be used to cover. This could include salaries and benefits of staff, or specific operating expenses (i.e., particular software needed for the grant, educational supplies, etc.). If the anticipated funding source is federal, the CFDA number should be included on the form. In addition, include the department's unrestricted Banner fund and organization code, which will serve as an alternative funding source should grant funding not be received. Please note, if the grant award is not received, the expenditures that are charged to the grant under the Advance will be applied to the department listed in the Advance, which could result in a significant impact to the college.

Please allow at least one week to obtain all necessary approvals for the Advance. Once all approvals are obtained, forward the completed Advance to the Controller's Office, which will then assign a Banner fund to the grant. Please refer to the next section of this manual for information on Banner fund assignment. **No college personnel are authorized to work on a grant, or purchase any goods or services for a grant, until a Banner fund has been issued.**

Once the OIA is in receipt of a written commitment from the funding source, they will notify the Office of Human Resources. If a written commitment from the funding source is not received by the Office of Human Resources, grant funded personnel will not be authorized to work on the new grant. If unusual circumstances exist which make obtaining a written commitment not feasible, an exception to this requirement may be authorized by the President or the Vice President for Business Affairs.

For existing grants, if it seems likely that a grant award will not be finalized before the end date of the current grant cycle, please make certain that a completed Advance is in place as soon as possible, to help ensure uninterrupted employment of grant funded personnel.

Section 7. Banner Fund Assignment

Responsible Person/Department:

The Controller's Office assigns Banner fund numbers.

A unique Banner fund number is assigned by the Controller's Office when it is in receipt of one of the following two documents:

    (1)   a fully executed and approved Request for Advance of Grant Funds, or

    (2)   a fully signed grant award. (Please ensure that the Controller's Office receives a copy of a grant award so that a new fund will be created.)

A unique Banner fund number is created to set apart the financial records of a grant from the financial records of the college. Having a unique Banner fund number also allows the college to separately track all grant personnel charges. In order to ensure compliance, all grants are assigned at least one fund number.

The Controller's Office requires a minimum of one week to complete the process of assigning a Banner fund. After the Banner fund is assigned, the Controller's Office will formally notify the PD, Project Supervisor, all appropriate staff, and the Office of Human Resources of the assigned Banner fund, so that Banner is updated accordingly.

The project director must complete the required "Data Access Authorization Request Form" (http://www.ccri.edu/it/forms/Ban_Prchsng_Auth_Frm.html) for security access for any additional staff associated with this grant Banner fund and forward the form to the Business Office.

The assigned Banner fund must be applied to all grant documentation (i.e., requisitions, payroll documentation, travel documentation, etc.).

No college personnel are authorized to work on a grant, or purchase any goods or services for a grant, until a Banner fund has been issued.

Section 8. Grant Hiring Procedures

Responsible Person/Department:

The Project Director is responsible for hiring staff in consultation with HR. Human Resources can advise regarding the hiring forms needed and making sure that the Project Director follows institutional recruitment and hiring guidelines.

All personnel policies, procedures, and forms required for hiring staff can be found on the Human Resources Web site at http://www.ccri.edu/hr/ Contact Human Resources at 825-2311 for questions on how to complete these forms and on following institutional and recruitment policies and procedures. These forms should be completed and processed for grant staff in the same manner they are completed and processed for any other staff at the College. Be sure to use the assigned Banner Fund and grant name on all documentation. All of the positions requested must have sufficient funds that are approved in the grant budget to support the costs.

Staff **cannot** commence employment prior to the appropriate Human Resources forms being completed, signed, and approved by all appropriate officials. Please take processing time into account as you begin the hiring process. The cycle can take up to three months or more to hire an employee on the biweekly (State) payroll and can take up to two weeks or more to hire an employee on the part time (temporary) payroll.

Biweekly (State) Employees

A Request to Fill form (RF-1) **is required** to hire a biweekly staff member for a budgeted position for 20 hours per week or more and can be accessed at the following link:

http://www.ccri.edu/hr/persforms/RF1.pdf

Part Time (Temporary) Employees

To hire new part time (temporary) employees (19 hours per week or less), please click on link below for the appropriate Workflow and the required paperwork/documents needed under Employment Documentation.

Note: Part Time (temporary) employees are **NOT** authorized to work **more than 925 hours within a fiscal year**. It is the employee's responsibility to track this as it is possible for an employee to have multiple part time positions, including Adjunct positions, in various departments totaling 19 hours a week or less. Please see the Part Time payroll links below for onboarding hiring instructions/information:

http://www.ccri.edu/hr/part_time/

http://www.ccri.edu/hr/part_time/EmploymentForms.html

NOTE: It is the Department Chair, Director, or Supervisors responsibility to complete the appropriate Workflow and have the employee complete the required paperwork and then forward to Human Resources for processing and/or have the employee go directly to Human Resources to complete the required paperwork for processing.

Section 9. Timekeeping and Payroll

Responsible Person/Department:

The Project Director is responsible for timekeeping and payroll documentation.

Grant positions must follow the institution's payroll procedures. The payroll process links to the type of payroll your staff is paid through. There are links below that provide instructions on completing the web
time sheet and leave report. There is also a link to the pay calendars.

State Bi-weekly Payroll:

Classified staff: Complete pink paper timesheets bi-weekly

Non-classified staff: Complete on-line leave reports (exception time only) bi-weekly
                                         http://www.ccri.edu/hr/training/Electronic_Leave_%20Reporting.pdf

CCRI Part-time Payroll:

PT 19-hour staff: Complete on-line web timesheets bi-weekly
                                         http://www.ccri.edu/hr/training/TimesheetTrain_PT.pdf

Honorarium Payment: Request for payment submitted by Project Director

CCRI Monthly Payroll:

Overload/Adjunct staff: Department chair submits faculty payroll authorization

CCRI Student Payroll: Complete on-line web timesheets bi-weekly
                                         Refer to the directions for completing PT timesheets

Important Notes:

1. Calendar and payroll schedule links are on the Human Resources page: http://www.ccri.edu/hr/calendars/ (Note the web time closing column for the employee and the web time closing column for the supervisor for time sheets.)

2. Please note there is a 925 hour limit per fiscal year for part-time staff. Employees and supervisors are expected to monitor this limit.

Time & Effort Reporting

The Uniform Administrative Requirements provides guidance for time and effort certification. The internal control requirement is the basis for maintaining a time and effort certification system. The Council On Financial Assistance Reform (COFAR) believes focus on overall internal controls provides greater accountability. The non-federal entity must ensure that the total internal control system for documenting personal expenses provides proper accountability. In addition, the auditor must test these internal controls as part of the Single Audit requirements in Subpart F of 2 CFR §200.430.

CCRI has adopted an after-the-fact activity record system to provide accountability of time and effort reporting for federal grants (including state pass-through grants).

The Controller's Office maintains the time and effort records. All employees working on a grant whose payroll is paid in whole or in part from a federal grant or federally funded agreement will be required to certify time spent on the activities related to the grant. The employee completes the time and effort form and the supervisor approves the form. If an employee works on more than one federal grant, separate forms must be completed. For instructions, please contact the Controller's Office.

Section 10. Reporting, Billing, Managing Expenditures, and Drawdown of Funds

Responsible Person/Department:

The PD is responsible for preparing and submitting all interim and final **programmatic reports** to the grant funding source.

The Controller's Office is responsible for submitting any **financial reports**, billings, and requests to drawdown funds, to the grant funding source. Any communication or notifications from the grant funding source regarding financial requests and requirements should be sent to the Controller's Office in a timely fashion.

The PD is responsible for managing all activities related to the grant, both programmatic and financial.

10.a. Programmatic Reporting

The PD is responsible for preparing and submitting all interim and final programmatic reports in accordance with funding source requirements. Reports will detail all expenditures, and provide a summary of the activities conducted and the impact of those activities. Copies of all reports should be sent to the OIA. In the event that a project is not renewed for the following fiscal year, the final report is due on the last day of the project period unless otherwise noted. Reporting requirements necessitate attention and a timely response.

The PD will refer to the Grant Agreement when writing these reports and comment on the current status of the grant. If the PD requests assistance, OIA will review the report and provide guidance. Once the report is complete, the PD will submit it to the funding source and provide copies of all submitted reports to the OIA.

The OIA will monitor program progress. If items need to be resolved, or new strategies need to be put in place, the issues may be discussed with the Grants Committee for input and recommendations for going forward.

10.b. Financial Reporting

The grant agreement, and any applicable regulations or laws, will designate the reporting format and submission deadlines used by the Controller's Office. The Controller's Office can report only those expenditures that have been approved and posted into the Banner System. In addition, the Controller's Office may accrue pending transactions if a particular grant requires accrual basis reporting. If the PD is aware of any expenses incurred but not yet reported, the PD must notify the Controller's Office. Examples of these expenses would be out-of-state travel, postage, or a pending invoice for a consultant.

The PD may request copies of any grant financial reports prepared by the Controller's Office. This process supplements the ongoing monitoring of spending by the PD. The financial transactions and spending rate of the grant should be routinely reviewed. If any issues are noted, the Controller's Office should be contacted.

10.c. Billing and Drawdown of Funds

All grant billings and drawdowns are processed by the Controller's Office. The grant agreement, and any applicable regulations or laws, will designate the billing or drawdown process, and submission deadlines, used by the Controller's Office. Only those expenditures that have been approved and posted into the Banner System, or in some instances accrued, will be billed or drawn down from the grant funding source. If the PD is aware of any expenses incurred but not yet reported, the PD must notify the Controller's Office. Examples of these expenses would be out-of-state travel, postage, or a pending invoice for a consultant.

The PD may request copies of any grant billings prepared by the Controller's Office. This process supplements the ongoing monitoring of spending by the PD. These reports should be routinely reviewed. If any issues are noted, the Controller's Office should be contacted.

10.d. Managing Grant Activities

The PD is responsible for managing all activities related to the grant, both programmatic and financial. The PD has access to financial data in Banner. Please contact the Controller's Office with any questions on how to retrieve financial data in Banner.

The PD can use the several Banner forms and reports to review financial transactions in detail to ensure that all expenses posted to the grant fund are accurate. Discrepancies should be investigated. The Controller's Office can provide assistance, if necessary.

A grant budget is a forecast of what should be spent. If the PD finds that a grant budget modification is necessary, it must be determined whether an external or internal budget modification will be required. Please see Section 12 of this manual – Budget Modifications and Expenditure Adjustments.

Section 11. Grant Cost Sharing or Matching Documentation

Responsible Person/Department:

The PD is responsible for documenting all cost sharing or matching (personnel, facilities, or operating) and forwarding that documentation to the Controller's Office.

Cost Sharing or Matching

Some grants may require cost sharing or matching. The Uniform Administrative Requirements define cost sharing or matching as "the portion of project costs not paid by Federal funds (unless otherwise authorized by Federal statute)." 2 CFR §200.29. Cost sharing or matching usually consists of donated personnel, equipment and supplies, or space. Cost sharing or matching must be budgeted for and agreed to during the grant application process. In addition, any cost sharing or matching must be properly documented, necessary, and reasonable under a particular grant. For federally funded awards, the general cost sharing and matching requirements are found in 2 CFR §200.306. However, the terms and conditions of a particular grant, and any applicable laws or regulations, will determine the allowability of cost sharing or match.

Third-Party In-Kind

For federally funded grants, a third-party in-kind donation is defined differently than cost sharing or matching. Third-party in-kind donations are "the value of non-cash contributions" donated by an entity separate from the college, to the college, to benefit a grant. See 2 CFR §200.96. In general, the value of donated third-party in-kind contributions may be used to meet the college's cost sharing or matching requirement for a grant. See 2 CFR §200.434. However, the terms and conditions of a particular grant, and any applicable laws or regulations, will determine the allowability of third-party in-kind donations qualifying as cost sharing or match.

11.a. Personnel Cost Documentation

If a college department is providing cost sharing or matching for personnel, each contributing employee will be required to certify time spent on the activities related to the grant. The employee must complete the match time and effort form and the supervisor must approve the form. If an employee provides cost sharing or matching for more than one grant, separate match forms must be completed. For instructions, please contact the Controller's Office.

11.b. Operating Documentation

When using operating costs as a match, the PD will need to supply the paid invoice number, amount, date paid, and Banner FOAP (Fund, Organization, Account, Program) to the Controller's Office on a monthly basis. The Controller's Office will verify, calculate, and report this operating cost match, in accordance with the grant requirements.

Please contact the Controller's Office with any questions regarding match documentation.

Section 12. Budget Modifications and Expenditure Adjustments

Responsible Person/Department:

A grant budget modification or expenditure adjustment is initiated by the PD. The OIA and the Controller's Office will provide support as necessary.

The PD is responsible for managing financial activity in the grant. This fiscal oversight may bring to light the need for a budget modification or expenditure adjustment. If a Banner account becomes overspent, the PD should inform the Controller's Office. In addition, the Controller's Office may inform the PD of a deficit balance in a Banner account. If a Banner account has a deficit, either a budget modification or an expenditure adjustment will be required. This can be the result of a change in project activity or changes in cost estimates from the time the original budget was developed. Depending on the requirements of the funding source, a modification may be external or internal.

An external budget modification is defined as budget modification, which requires written approval from the funding source pursuant to the terms and conditions in the grant agreement. An internal budget modification is defined as a budget modification, which does not require approval from the funding source. Both external and internal budget modifications must be approved internally, by appropriate college faculty and staff, and entered into Banner. Please allow sufficient lead-time for approval. For example, for an external budget modification, some funding sources require up to six (6) weeks for approval.

In contrast to a budget modification, sometimes an expense needs to be moved because it was not booked to the appropriate fund or account. In this instance, an expenditure adjustment will need to be completed. The PD will need to complete a "Request for Expenditure Adjustment" form to correct the charge. Any expenditure adjustment that will charge the college's unrestricted budget must be approved by the Business Office prior to the adjustment being made.

The sections below describe the procedure for both internal and external budget modifications.

12.a. Internal Budget Modifications

In some cases, budget modifications do not require funding source approval. Yet they need to be done to properly fund all the Banner accounts, which will be used during the grant. An internal budget modification requires the completion of an Internal Budget Modification Form.

When an internal budget modification is necessary, the PD should initiate the process. Please complete the form and email it to the Controller's Office. The Controller's Office will review the Internal Budget Modification Form. If approved, the modification will be loaded into Banner. Please note:

- Sufficient lead-time should be provided for approval and loading into Banner.
- Any needed modification should be entered into Banner before any purchase requisition is entered which will require those funds.
- Internal budget modifications must be tracked by the PD to ensure that any budget revisions do not exceed the limits set by the funding source.

12.b. External Budget Modifications

External budget modifications (requiring approval by the funding source) may be necessary following the award of the grant or during the project period. Typically, the grant award specifies the circumstances under which an external budget modification is required. Some grants have significant flexibility to move funds between categories or accounts. Others require prior approval – an external modification – for any variance from the original budget.

External grant modifications must be completed and submitted to the OIA in a timely fashion. In addition, it is essential to be aware of funding source deadlines, discussed previously under managing expenditures, for final spending or receipt of materials on campus. The PD must complete budget modifications and initiate purchase requisitions accordingly. Failure to meet budget modification deadlines can result in denial of the request by the funding source.

An external budget modification requires completing the following documentation:

- A modified Grant Budget Workbook to reflect the changes.
- Revised funding source budget forms as required.

Before entering information in the Grant Budget Workbook, contact the Controller's Office for the most recent version of the file. This will ensure that the rates included in the workbook are the most current.

The PD must first verify account balances using Banner and confirm the amount that must be adjusted in the budget, taking into consideration additional spending for the remaining term of the grant. Categories of expenses vary by funding source. A PD may need to use a grant-specific matrix that links Banner expenditure accounts to the grant funding source categories to determine if a formal modification is required. Once this is determined, the PD initiates the appropriate documentation. The Controller's Office can assist with preparing a grant-specific matrix.

When modifying the Grant Budget Workbook, save the Excel file with a new name that includes the grant name, revision, and the current date so that the file can be distinguished from other versions of the budget for the particular grant.

Completed documentation should be forwarded to OIA for review. OIA forwards the appropriate documentation with a cover sheet for the Controller's Office approval. Please note that certain modifications may require further approvals, depending on the grant. Once all approvals are obtained, the OIA follows up with the funding source to complete the formal approval process. OIA notifies the PD and the Controller's Office of any action taken by the funding source. If the modification receives final approval, the Controller's Office adjusts the budget in Banner to reflect the change. If denied, OIA and the PD will work together to determine what actions are necessary to ensure that the college is abiding by the terms of the original grant.

Section 13. Grant Renewals

Responsible Person/Department:

The PD is responsible for obtaining a Letter of Intent or the Grant Award Notification from the funding source.

If Human Resources receives a Letter of Intent or the Grant Award Notification prior to 20 business days before the end of the grant, End of Appointment Letters will not be sent to the biweekly employees on the grant. The Letter of Intent or the Grant Award Notification **must** include the dollar amount and the dates of the project period.

If Human Resources does not receive a Letter of Intent or the Grant Award Notification prior to 20 business days to the end of the grant, End of Appointment Letters will be sent to the biweekly employees via certified and first class mail. These letters will be sent 20 business days prior to the end of the grant. The supervisor, OIA, Controller's Office, and applicable union president will also receive notification.

Letters of Reappointment will be sent to the biweekly employees when Human Resources receives the mutually signed contract/agreement or the Grant Award Notification as well as the Grant Extension Authorization Memo from OIA. For part time employees, Human Resources needs confirmation of renewal to extend employees currently working on grants. **Please follow to the Grant Application and Renewal Policy in addition to the above.**

Section 14. Project Close-Out

Responsible Person/Department:

The PD is responsible for properly closing all non-financial aspects of a grant. The Controller's Office is responsible for properly closing all financial aspects of a grant.

14.a. Grant Documentation and Files

The PD should retain all non-financial grant files in one location should future audits or questions arise. The non-financial files should be maintained by the college department under which the grant operated. For example, if the grant PD reported to Academic Affairs, the non-financial files will be maintained by Academic Affairs. All financial files will be maintained by the Controller's Office. All documentation will be retained according to the college's document retention practice.

The PD is encouraged to report to the Grants Committee within 30 days of grant termination to discuss the following:

1. Grant documentation and files;
2. Compliance with required regulations; and,
3. Lessons learned.

14.b. Compliance with Required Regulations

Federal and state grants have very specific regulations regarding reporting, billing, accounting practices, and grant administrative procedures. These regulations must be reviewed to determine if the college has completed what is necessary to comply with those regulations, or to identify whether any tasks remain to be accomplished and who is responsible for completing them. If any items have yet to be completed, the PD will follow up until they are finalized.

14.c. Lessons Learned

Identifying what went well and what the college could have done better is an important step in effectively managing future grant awards. Discussing issues and obtaining input from the Grants Committee should help to highlight areas that CCRI can focus on for improvement. Issues such as the following could be discussed:

- Grant objectives achieved or not achieved;
- If any objectives were not achieved, why were they not achieved?
- Personnel and communication;
- Contractual issues;
- Grant policies and procedures that could be improved upon;
- What issues caused delays and what improvements could be made going forward?
- Were all grant funds expended? If not, why not?
- What could have been done better? and,
- Feedback received from the funding source.

14.d. Retention of Records.

All documentation will be retained according to the college's document retention practice. In addition, federally funded grants must comply with the requirements contained in 2 CFR §200.333 – Retention requirements for records. If the college's document retention practice is not equal to the document retention requirement of a particular grant, the documents shall be retained according to whichever rule provides the longer retention period.

Section 15. Audit/Post Audit

Responsible Person/Department:

The Controller's Office is responsible for supplying financial documentation if an audit is performed.

The PD is responsible for supplying any programmatic documentation at the auditor's request.

An audit is initiated when the funding agency requests a review of programmatic or financial records.

Any communication regarding an audit should be forwarded to the Controller's Office for handling once you are notified.

A PD is expected to keep all records in accordance with college policy and grant terms and conditions. In addition, the college has contracted with a vendor for long-term offsite storage of records. If long-term storage of grant records is needed, you may contact the Controller's Office to make arrangements.

Appendix 1. Grant Proposal Rating Scale

Funding Source: _____   Proposal Deadline: _____

Department: _____   Grant Author: _____

Rate the proposal accordingly.

1. Fits with institution's mission/strategic plan and annual goals
   5 – Strongly   3 – Moderate   1 – Weak

   Comments_____

2. Potential benefit to institution
   5 – Strong   3 – Moderate   1 – Weak

   Comments_____

3. Need for project
   5 – Significant   3 – Moderate   1 – Weak

   Comments_____

4. Institutional/department readiness to secure staffing, skills, and space
   5 – Very ready   3 – Somewhat ready   1 – Not ready

   Comments_____

5. Institutional/department readiness to support project staffing, skills, and space
   5 – Very ready   3 – Somewhat ready   1 – Not ready

   Comments_____

6. Time and resources available to develop proposal
   5 – Sufficient   3 – Somewhat sufficient   1 – Insufficient

   Comments_____

7. Match required
   ☐ Yes   ☐ No   Source of Match? _____

8. Indirect costs allowed
   ☐ Yes   ☐ No

Total Score: 6 – 30 points: _____

Appendix 2. Critical Elements of a Grant Proposal

Different funders require different proposal formats, but nearly all proposals must address certain vital issues. In "Key Questions Every Proposal Must Answer," (Local/State Funding Report, January 10, 2011), Carolyn Kourofsky lists the essential elements:

- Goals and objectives that are specific, measurable, attainable, realistic, and timely
- A problem statement showing why the project is needed and where the evidence for that need was derived
- Evidence that the applicant organization has the capacity to carry out the project
- The methodology to be used--and why it is appropriate for the proposed project
- An explanation of how project impacts (outcomes?) will be evaluated and measured
- A budget, justified with enough detail to show it will be adequate for the proposed methods
- The sources of funding that will sustain the project after the grant is expended
- A summary that leads off the proposal, which should be written after all other sections have been completed

How to Demonstrate Your Value in Proposals

When you're competing with other organizations for the same grant, how do you stand out from the pack? Suggestions from Mara Perez on how to do just that ("Your Value Advantage: 5 Ways to Highlight it in Grant Proposals" (Grassroots Institute for Fundraising Training April eNewsletter, April 12, 2011) include the following:

1. Show how your programs use your organization's core competencies, such as your approach and methodologies, to produce significant social achievements.
2. Show how your services create change in your clients and constituents that in turn catalyze change in their communities.
3. Show the value your programs will create. The impact of your programs on those you serve can help the broader community see how to achieve these benefits.
4. Show that your services do not duplicate those provided by others in your community.
5. Describe how you include the community and constituency you serve in the design and implementation of your programs.

Appendix 3. Request for Advance of Grant Funds

WRITTEN NOTIFICATION FROM THE FUNDING SOURCE MUST BE ATTACHED WITH THIS REQUEST.

Grant/Contract Title: _____

Grant/Contract Period: Begin Date: _____ End Date: _____

Total Grant Award: _____
10% of the above dollar amount will be advanced for spending prior to a binding contract.

Purpose of Advance: _____
   (Include line item detail for budget posting purposes. Attach additional sheet, if needed)

Grant Funding Source(s): _____

Grant Funding Source Contact Person: _____ Tel: _____

Grant Project Director: _____Tel: _____

Project Director's Supervisor: _____ Tel: _____

Please indicate type of funding: _____ State _____ Federal _____ Private

We are requesting approval for an Advance of Grant Funds for the following (please check one category below). **Written notification** from the funding source that the proposal has been funded must be attached:

_____ Renewal of previously awarded grant _____ First time grant award

_____ Multi-year federal continuation grants

CFDA #: _____ Federal Funding Source: _____
This form must be fully completed and signed by all applicable parties prior to a Banner Fund being assigned by the Controller's Office.

We give approval for this Request for Advance of Grant Funds:

_____ _____ _____
_____
Grant Project Director   Date   Department Chair/Director   Date

If this grant program is not funded, I authorize that the unrestricted Banner Organization listed below will absorb the expenditure(s):

Banner Organization: _____

_____ _____
Dean or Director   Date

_____
_____
President or Vice President of Finance and Strategy   Date

> It is the Project Director's responsibility to monitor this advance. If necessary, a supplemental advance may be requested by completing this form.

Appendix 4. Request for Expenditure Adjustment

Please adjust the following expense(s) as listed below:

ADJUST EXPENSE(S) FROM:

(If the Banner Fund below does not begin with "22" or "25", the Business Manager must approve.)

	Banner Fund	Banner Org.	Banner Account	Paid Invoice # or Document #	Name (if payroll adjustment)	Paid Date	Amount of Requested Adjustment
1.)							
2.)							
3.)							

(If you are adjusting payroll, please include salary amt. only, in the "Amount" column. Benefits will adjust automatically with salary.)

ADJUST EXPENSE(S) TO:

(If the Banner Fund below does not begin with "22" or "25", the Business Manager must approve.)

	Banner Fund	Banner Org.	Banner Account	Paid Invoice # or Document #	Name (if payroll adjustment)	Paid Date	Amount of Requested Adjustment
1.)							
2.)							
3.)							

PLEASE NOTE:
1.) ALL ADJUSTMENT REQUESTS REQUIRE 2 WEEKS FOR PROCESSING.
2.) ANY ADJUSTMENT REQUESTS REQUIRED BY FISCAL YEAR-END MUST BE RECEIVED BY CONTROLLER'S OFFICE ON OR BEFORE MAY 31ST.
3.) PLEASE FORWARD THIS REQUEST TO David Rawlinson IN THE CONTROLLER'S OFFICE

The above adjustment(s) requested by:
(You must have authority to allocate expenses to the Banner Fund/Org. requested above.)

_____   _____   _____
Project Director/Supervisor   Project Director/Supervisor (signature)   Date Signed
(Print Name)

                                                  _____   _____
                                                  Business Manager (signature)   Date Signed

(Business Manager's signature is required for this adjustment if Banner Fund does not begin with "22".)

For Controller's Office Only:

Date Request Received: Date Request Processed:

Appendix 5. Internal Budget Modification Form

If you are going to proceed with a budget modification, please indicate the FOAP(s) and amount(s) you will be moving funds from, and the FOAP(s) and amount(s) you will be moving funds to, below.

Budget Modification				
Moving funds from:				
Fund	Org	Account	Program	Amount
Total:				
Moving funds to:				
Fund	Org	Account	Program	Amount
Total:				

Please note that by authorizing this budget modification, you are also certifying that the budget modification is permitted under your grant program, and that the funding source does not require that you approve this budget modification with them.

A signature is not required on this form because this form must be emailed to the Controller's Office. Please paste the above form into an email or attach a copy of this form to an email.