GRANTS MANAGEMENT HANDBOOK
Updated August 2001

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INTRODUCTION

The purpose of this manual is to describe the college's policies and procedures for developing grant proposals to external public/private funding sources. The manual will assist staff and the Office of College Development by improving the efficiency and effectiveness with which grants are prepared and submitted to external agencies.

The procedures were designed to assist grant writers and staff with communication to avoid duplication of effort; to maximize human resources on various projects which potentially interface across departmental/unit lines; and to eliminate "process" questions related to proposal development.

COLLEGE POLICIES

From the Parkland College Policies & Procedures Manual, December 2000

3.16   AGREEMENTS WHICH OBLIGATE THE INSTITUTION

Staff members are not authorized to sign contracts in the name of the College or to make any agreements which obligate the institution. This includes accepting gifts to the College and making agreements with private individuals or organizations. Formal approval, in writing from the President, must be obtained before accepting any gifts which obligate the College.

Adopted: September 19, 1984
Revised: June 7, 1989
Revised: January 20, 1993

1.03.08 GRANTS

A.   The Board of Trustees shall approve grant applications for the following types of grants:

1.   New, Competitive Grants: funds made available from various public and private funding agencies. All such proposals are reviewed on merit by College evaluation teams or committees that then recommend funding at a particular level.

B.   The Board of Trustees shall approve acceptance of grant funds for the following types of grants:

1.   New, Competitive Grants
2.   Continuation Grants: funds from multi-year grants, grants renewed from year to year, or grants that require a significant cash match.

C.   The following funds are included as part of the budget building process and do not require individual application or acceptance approval of the Board of Trustees:

1.   Normal fiscal year operating or entitlement grants from the Illinois Community College Board, the Illinois Board of Higher Education, and the Illinois State Board of Education, such as credit hour grants, special population grants, workforce preparation grants, equipment grants, deferred maintenance grants, vocational education formula reimbursements, Perkins funds, tech prep funds, and adult basic education funds.

2. Grants and contracts from public and private funding agencies, such as JTPA, economic development, international contracts, Illinois Arts Council grants, and business training contracts.

D. The Board of Trustees shall receive an annual report of the grant activities of Parkland College for review and comment.

Adopted: September 19,1984
Revised: June 7, 1989
Revised: March 18, 1998

PROCEDURES AND GUIDELINES

The following process has been established to facilitate the pursuit of external funds or projects to support activities that are not included in the college budget:

1. The Grant Initiator will contact the Office of College Development, which will schedule a meeting to include one or more of the individuals listed below:

> the director of the Office of College Development
> the College Grant Writer
> the Executive Vice President or designee
> the Chief Financial Officer
> the Grant Initiator's immediate supervisor

This *Grants Management Handbook* will serve as a guide to facilitate the process and the meeting of all persons involved.

2. The meeting will focus on the following issues:

> Budget
> Strategic and operational plan
> Space
> Personnel
> Office equipment
> General process and appropriate sign-off
> What reports are required
> Due dates
> Who is responsible?
> Other grant-related issues

3. The grant project director will oversee the audit and submit to the Office of College Development a brief final report of the project activities, outcomes, etc., via the appropriate form found in the appendix of the *Grants Management Handbook*.

4. The Office of College Development will prepare a year-end report of all grant activity to be submitted to the administration.

ROLES AND RESPONSIBILITIES

The **Parkland College Board of Trustees** has the sole responsibility for approving submission of grants to external agencies and for accepting external funds on behalf of the college from various external funding sources.

The **President** has the responsibility of signing all proposals being submitted for external funding. The President's signature is required on all applications and **no** applications may be submitted without the President's prior knowledge. Signature authorization of other staff members is at the discretion of the President. Formal grant agreements associated with an approved grant proposal must be signed by the President or those individuals given signature authority.

The **Executive Team** has the responsibility for establishing priorities and arriving at consensus on grant-related issues that have institution-wide implications, e.g., space, personnel, and infrastructure requirements (wiring, phone lines).

The director of the **Office of Development** is responsible for coordinating meetings and assisting with the preparation of all information submitted to the Board of Trustees. The director serves as a resource for potential external funding sources and maintains identifying files on all proposals submitted to external agencies.

The **College Grant Writer** is responsible for providing assistance with research, writing, editing, proofreading, and submission of grant proposals.

The **Business Office** is responsible for assisting with the development of the grant proposal budget; establishing appropriate budgets for the grant, if approved; maintaining internal fiscal records; and preparing financial reports. (Collaboration and coordination by the Project Director and Business Office staff will be required to ensure the timeliness and accuracy of all reports prepared.) The Business Office and the Project Director are responsible for ensuring that all federal, state, and college funds are expended in accordance with accepted accounting practices and that all expenditures conform to the budget guidelines set forth in the grant proposal.

The **Grant Initiator, immediate supervisor,** and other college administrators within the unit submitting the grant proposal are jointly responsible for ensuring that all aspects of the proposal activities interface with the college's strategic and operational plan. The staff and administrators must collaborate with other institutional units where interface of project activities may exist. The Grant Initiator will complete the Grant Proposal Form, and will also make sure that the Office of College Development receives copies of any correspondence from the granting agency, including acceptance or rejection of the grant proposal.

The **Project Director** of the grant will work with the Office of College Development to establish necessary grant accounts and follow established Parkland College fiscal procedures. With the assistance of the Business Office staff, he/she will maintain up-to-date records for financial audit purposes. (Note: The Project Director and the Grant Initiator may or may not be the same individual.)

The **Office of Human Resources** is required to assist the Project Director with hiring all new personnel; reassigning current staff; and any other employment-related issues associated with a grant proposal and/or approved grant. Any grant proposals with funding for employees must be passed by the Director of Human Resources, if appropriate.

NEXT STEPS

! The proposal must be submitted to the Office of College Development to secure signatures from the President. All signature pages must be marked and dated by the Grant Initiator. A copy of the signed proposal will be maintained in the Office of College Development.

! The Office of College Development will submit the proposal to the appropriate funding agency.

! Since the **Parkland College Board of Trustees** has the sole responsibility for approving submission of grants to external agencies and for accepting funds on behalf of the college from various external funding sources, the Grant Initiator, with the help of the Office of College Development, must complete the "Request to Apply" form. (See Appendix.) The Office of College Development will prepare materials for presentation to the Board according to college guidelines.

! A representative from the Office of College Development will attend the Board of Trustees meeting when the proposal information is on the Board agenda.

AWARD NOTIFICATION

! When notification of a grant award is received, the College contact must send a copy of the notification letter to the Office of College Development for the files.

! Formal grant agreements associated with the approved grant proposal must be submitted to the Office of College Development. Signatures from the President or designee will be secured by the Office of College Development. Copies of the signed documents will be sent to the Business Office and other appropriate agencies and individuals.

BUDGET ISSUES

! Upon approval of a proposal by a funding agency *WITH A REDUCTION IN THE FUNDING REQUEST*, review of the proposal objectives by the Project Director, Business Office staff, and the Office of College Development must occur.

! If the proposal is approved by the funding agency *WITHOUT A REDUCTION IN THE FUNDING REQUEST*, the proposal information will be prepared by the Office of College Development and submitted to the Board of Trustees for action.

! The Project Director will work with Business Office staff and the Office of College Development to establish necessary budget accounts for the project. The Project Director is expected to follow established Parkland College procedures.

! **Fiscal Year:** Attention must be given to the starting and ending dates of the grant proposal project. If the project funding cycle **does not correspond** with the college's fiscal year (July 1 - June 30), close coordination with the Business Office staff must occur. Some agencies operate on fiscal years other than

July 1 - June 30 (e.g., October 1 - September 30; September 1 - August 31, etc.). The fiscal year has implications for establishing budgets with the Business Office.

! The Project Director, with assistance from the Business Office staff, will maintain up-to-date records for financial audit purposes.

● Project directors for ICCB entitlement grants must obtain a copy of the ICCB Fiscal Management Manual and assure that spending practices conform to the ICCB's rules.

REPORTS/CORRESPONDENCE

! **Year-end Report**: The Project Director will submit a year-end report to the Office of College Development to be incorporated into the Board of Trustees year-end grant report.

   PLEASE NOTE: THIS REPORT CAN BE THE SAME REPORT SUBMITTED TO THE FUNDING AGENCY. If lengthy, the Office of College Development will condense the document into a one-page report. (See Appendix)

! **Other Required Funding Agency Reports:** The Project Director for the grant will prepare and submit all required narrative/financial reports to the funding agencies with one copy being submitted to the Office of College Development for the files.

! **Copies** of all correspondence associated with the grant (e.g., notification of award, rejection letter, budget modifications, closure of the project, etc.) must be submitted to the Office of College Development for the files.

COOPERATIVE GRANT PROPOSALS

Special attention must be given to all cooperative grant proposals which obligate the college to complete project objectives **when the college is not the administrative entity or the college does not have substantial input regarding meeting project objectives.** Each project will be carefully reviewed by the Office of College Development and will be addressed on an individual basis. Examples of cooperative proposals needing special attention are Higher Education Cooperative Agreement (HECA) grants, business/industry grants, etc.

MULTI-YEAR, CONTINUATION, ENTITLEMENT GRANT PROPOSALS

Grant proposals which are multi-year, continuation, and/or entitlements must be reviewed on an annual basis even though issues associated with the proposal will be resolved prior to submission. The annual review will provide senior administrative staff with the opportunity to address any concerns/issues which have surfaced during the year.

GENERAL GRANT PROPOSAL INFORMATION

POINTS TO PONDER

1. Turnaround time C do you have time to write the grant, process it, and submit it to the funding agency?
2. Interface with institutional strategic/operational plan.
3. Benefits to the college.
4. Impact on the overall college budget.
5. ***Personnel requirements.**
   a. new or existing staff positions or reassignments
   b. clerical support
   c. technical support
   d. consultants
   *NOTE: Salaries and associated personnel services costs must be in accord with the union contracts and other Board-approved personnel policies.
6. Matching requirements by the college C cash/in-kind.
7. Space requirements for personnel (if any).
8. All funding requirements of the project.
9. Specific other costs, e.g., wiring, telephone hook-up, office furniture, filing cabinets, supplies, computers, networks, etc. *(hidden costs)*.
10. Impact on college departments/units and any required interface.
11. Discussions with all individuals/units who may be impacted by the project.
12. Audit costs and requirements.
13. Signature requirements.
14. Staff required to prepare project reports: progress; narrative; fiscal; year-end; etc.
15. General project management C staff responsible.
16. Potential for the college to be obligated for funds, services, or space, which can not be delivered.
17. Office space required by the granting agency and/or other special requirements outlined in the RFP.

THE PROPOSAL

A grant proposal answers six key questions: who, what, when, where, why, and how.

1. **WHO?**
   ! Parkland College (and other agencies, if a cooperative agreement).
   ! Target population to be served by the project.
   ! Staff administering/monitoring project.

2. **WHAT?**
   ! What are the goals and objectives of the project?
   ! What is the ultimate goal, in broad terms?

3. **WHEN?**
   ! What is the overall timeframe of the project?
   ! What is the timeframe for each objective/goal?

4. **WHERE?**
   ! Where will the project be administered C on-site, cooperatively, multiple sites, etc.?

5. **WHY?**
   - ! Why is the project needed? "Statement of Need" includes the unmet needs and deficiencies within the system.
   - ! Why should Parkland College be awarded the funds for the project? (Keep in mind funding source guidelines and the relationship to the college's operational plan/strategic goals, etc.)

6. **HOW?**
   - ! How will the administrative entity accomplish the goals and objectives of the proposed grant project?
   - ! How will evaluation be conducted to determine success or failure of the project?

COMPONENTS OF A "BOILERPLATE" PROPOSAL

Abstract (one- or two-page project overview)
Institutional Background
Statement of Purposes
Statement of Need
Goals, Objectives, Activities
Outcomes Expected
Key Personnel
Evaluation Plan
Budget
Appendices (supporting documentation)
   - ! Letters of support
   - ! Resumes of project staff
   - ! Job descriptions, etc.

The details of each component required by funding agencies do differ. Careful review of the proposal application is required. Sample proposals are available for review in the Office of College Development.

DEFINITIONS

Boilerplate: A standard format identifying key elements/components of a project/activity, etc., page 8.

Cash Match: A cash match is actual cash paid by the college to operate the project. (Support documentation required)

College Audit: An audit of the entire college budget, conducted by an external auditing firm.

Cooperating Institution: An institution that has entered into an agreement with Parkland College to provide services, etc., for a specific grant project.

Direct Costs: Direct costs are specific identifiable costs of operating a grant-supported project. Budget categories usually include personnel, fringe benefits, travel, operational expenses (see sample budget), etc.

Dissemination: Making the results of the project available for wide distribution so others can adopt a similar project and/or learn from the successes and failures of the project. Typical modes of dissemination include reports, journal articles, papers presented at conferences, newsletters, service directories, press releases, etc.

Documentation: The paper trail that a project generates in keeping track of staff, population served, services provided, budget, etc. Documentation is raw material used to evaluate the success of a project; it is also used for the fiscal audit.

Evaluation: The process of comparing a project's objectives and goals to what was actually accomplished. An evaluation plan is usually a part of the grant proposal guidelines. A detailed evaluation plan strengthens proposals being submitted for funding.

External Audit: An audit, conducted by an external firm, that focuses on a specific grant project.

Fringe Benefits: Fringe benefits include medical, life, and dental insurance; workman's compensation, group disability, and SURS match, if required; unemployment; FICA; Medicare; vacation and overtime/released time. The percentage varies; therefore, the Office of College Development must be consulted when this part of the budget is prepared.

Funding Cycle (Fiscal Year): The process of announcement, proposal review, grant notification, and beginning and ending dates for the proposed project. Funding agencies identify the funding cycle for fiscal purposes. Parkland operates on a July 1 - June 30 fiscal year. Some agencies operate with dates other than our fiscal year (e.g., October 1 -September 30). The funding cycle has implications for establishing budgets with the Business Office.

Grantee: The institution/agency **receiving** grant funds.

Grantor/Granting Agency: The agency **providing** funds to another entity, e.g., ICCB, Department of Education, etc.

Indirect Costs: Indirect costs include actual costs to the college incurred through the operation of the project, which are difficult to measure (e.g., building maintenance, depreciation, services of support staff, and other overhead). Indirect costs are usually calculated as a FLAT percentage of a project's direct costs. Indirect cost rate allowances vary with funding agencies. The maximum allowable ``indirect'' costs are usually included in the grant proposal guidelines. The college does have a maximum indirect cost rate of 56.44% of salaries. Please contact the Office of College Development for more information. **Note:** Not all grant proposals allow "indirect costs" built into the budget. Refer to the grant proposal guidelines of your specific grant proposal.

In-Kind Match. The in-kind matching contribution requires no cash outlay, but rather a proration of the college's fixed operating costs. In-kind match can include assignment of personnel salaries, services provided, and other costs of the grant without requiring reimbursement of expenditures. **Note:** When a specific percentage of time is included in a grant proposal for fulfilling project goals/objectives, the amount of time spent becomes "auditable" and accountability becomes an issue.

Internal Audit: An audit that is conducted by in-house personnel.

Preproposal: A brief "executive summary" submitted to funding agencies requiring the document. The preproposal provides the prospective funding agency with the opportunity to determine if a full proposal meets its particular mission.

RFP: Acronym for "Request for Proposal," the public notice issued by a funding agency soliciting proposals. RFPs differ, depending on the funding agency. Federal RFPs are generally very detailed and prescriptive in nature, with priorities addressed, tasks to be performed, population served, etc. Most federal funding agencies issue RFPs; however, private foundations typically provide proposal guidelines which can be secured by a telephone call or letter to the foundation of interest.

RFA: Acronym for "Request for Application," which is synonymous with RFP.

PREPARING THE BUDGET

Grant budgets must be developed with key points in mind:

1. Budgets should be reasonable and reflect consistency with other college operations and grants in regard to salaries, benefits, and other expenditures.
2. Matching requirements should conform to generally accepted accounting principles and governmental regulations.
3. Matching should not be overextended or duplicated from grant to grant.

Each budget prepared is grant-project-specific. However, basic components include:

1. Personnel
2. Fringe benefits
3. Operating expenses

SAMPLE BUDGET

	Grant Request	Parkland College Contribution		Total
		Cash	In-Kind	
I. Project Administration				
A. Personnel				
1. Project Director				
($2,000/mo. for 12 mos.)	24,000.00	0.00	0.00	24,000.00
2. College Staff				
e.g., a Director: 10% ($40,000)	0.00	0.00	4,000.00	4,000.00
3. Secretary	15,000.00	0.00	0.00	15,000.00
II. Fringe Benefits				
Contact Business Office when calculating fringe.				
e.g., Insurance ($5,025.00 per FTE)	10,050.00	0.00	0.00	10,050.00
12% of salary request ($39,000.00)	4,680.00	0.00	0.00	4,680.00
III. Operating Expenses				
A. Consultants	2,000.00	0.00	0.00	2,000.00
B. Travel	1,500.00	500.00	0.00	2,000.00
C. Printing	500.00	500.00	0.00	1,000.00
D. Equipment	2,000.00	0.00	0.00	2,000.00
E. Supplies	1,000.00	500.00	0.00	1,500.00
F. Other (e.g., telephone, subscriptions, misc.)	1,500.00	0.00	0.00	1,500.00
Total	62,230.00	1,500.00	4,000.00	67,730.00
INDIRECT COSTS (8% of grant request)	4,978.00	0.00	0.00	4,978.00
TOTAL GRANT BUDGET	**$67,208.00**	**$1,500.00**	**$4,000.00**	**$72,708.00**

LIBRARY RESOURCES

The Parkland Library catalog is available on the library web page: http://www.parkland.cc.il.us/library/. To locate books in the Parkland Library, use the following subject headings:

GRANTS-IN-AID
RESEARCH GRANTS
PROPOSAL WRITING FOR GRANTS
PROPOSAL WRITING IN RESEARCH

PROPOSAL WRITING IN
EDUCATION
EDUCATIONAL FUND RAISING
FUND RAISING

Reference books:

Foundation Directory	REF AS 911 .A2 F65
Annual Register of Grant Support	REF AS 911 .A2 A67
Grants for Higher Education	REF AS 911 .A2 F693
Government Assistance Almanac	REF HC 110 .P63 G69

Call the Parkland Reference Desk at 373-3839 with your questions. Or, on the library web page, click on Reference Online to use the PRO request form to ask your question.

Helpful websites:

Grants, Etc.	http://www.ssw.umich.edu/grantsetc/
GrantsWeb	http://www.srainternational.org/cws/sra/resource.htm
Foundation Center	http://fdncenter.org
National Science Foundation	http://www.nsf.gov
National Endowment for the Arts	http://www.arts.gov/federal.html

INSTITUTIONAL DATA/INFORMATION

Grant proposals generally require institutional data and/or general information about the college.

Information on student enrollment (fall and annual), ten-year enrollment trends, retention/attrition, graduate follow-up studies, student/staff surveys, and other areas needed for program evaluation, planning, and development is available in reports published by the Office of Institutional Research and Evaluation. It is important to note that enrollment and retention/attrition information contained in these reports are based on data files extracted from the mainframe by Computing Services and are, therefore, not the most current.

Statistical data (raw data) on the college and students can be obtained from the Office of Institutional Research and Evaluation. For more information, contact Sharon Kristovich, director, or visit the website at www.parkland.cc.il.us/oire.

Narrative information such as the history of the college, etc., can be obtained through the Office of College Development.

APPENDIX

GRANT PROPOSAL FORM

Grant Fiscal Year _____

Parkland College Fiscal Year _____

I.   Proposal Information

Proposal/Project Title   Date _____

                                                                                                         (date submitted to the Office of College Development)

Project Director   Dept./Unit of Responsibility _____

College Contact Telephone Number   Immediate Supervisor _____

ATTACH: Brief project description; including rationale for institutional need and benefits for the college per strategic goals and objectives/operational plan goals

Funding Agency/Source   Agency Contact Name _____
                                                                                  Telephone _____

Duration of the Grant Project: Start date   Deadline Date for Submission to Granting Agency _____
                                                End date _____

Application Classification: __   new, competitive   __   renewal, competitive
                                    __   renewal, non-competitive   __   entitlement
                                    __   cooperative application with other agencies/institutions
                                    __   contract
                                    __   other   _____
                                              _____

II.   Budget Information

Total Grant Budget   Amount of Funding Request   Grant Match
(request including match)   from grant agency   Requirements, if any   _____

College Match Breakdown: Other Match Sources:
    cash match $_____   _____
    in-kind match $_____   _____
    direct costs $_____   _____
    indirect funds for the college $_____   _____
    sources from outside the college $_____   _____

III.   College Resources Required

1.   Personnel: Have "new" personnel issues been discussed with Human Resources? Yes _____ No _____

              _____ new - list title(s)
                                              _____
                                              _____
                                              _____

              _____ existing staff - list name and % of time assigned to the project
                                              _____
                                              _____
                                              _____
                                              _____

Does the project require the college assuming financial responsibility for personnel hired under the grant once the project ends?
        Yes ___ No ___ If yes, list positions: _____
                                                       _____

(OVER)

2.   Space Requirements: _____

        _____

        _____

        Room(s) Assigned: _____

3.   Equipment Needs/Requirements (e.g. telephone, wiring, computer hardware, software, hidden costs, etc.):

        Item   Source of Funding

                                        _____

                                        _____

4.   Other Requirements not listed:

        _____

        _____

5.   Depts./Units of the College possibly impacted by the grant proposal? Yes ____ No ____ If yes, list: _____

        _____

5a.   If yes, were all depts./units consulted? Yes ____ No ____   Departmental sign-off: _____
                                                                            (chair)   _____

6.   Reports Required/Staff Responsible (check all that apply and identify staff responsible):

        Report   Staff responsible   Report   Staff Responsible

        __ Progress Monthly   __ Evaluation   _____

        __ Quarterly   _____   __ Fiscal   _____
                                                               (budget revisions, etc.)

        __ Year end/Annual   __ Others, please list   _____
                                                                                     _____

IV.   Approval Process - Sign-Off

Dept. Chair/Director/Dean   Date   _____

VP of Fiscal Services   Date   _____
(and/or designated staff)

VP of Unit Responsible for grant   Date   _____

Director of College Development   Date   _____

The president signs all applications as the Chief Executive Officer or individuals given signature authority by the president.

Form completed by   _____
                Name   Date

For Internal Office Use Only:

Date Submitted to the Board of Trustees (Request to Apply)   _____

Date Submitted to the Board of Trustees (Funds Awarded)   _____

Request to apply for

TITLE:

PURPOSE:

GRANTING AGENCY:

DURATION:

DEPARTMENT RESPONSIBLE:

GRANT CLASSIFICATION:

TOTAL GRANT BUDGET:

PARKLAND REQUEST:

     Cash Match:

     In-Kind Match:

     Non-Budgeted Fiscal Impact:

TARGET POPULATION:

INDICATIONS OF EFFECTIVENESS:

LINKAGE TO COLLEGE MISSION:

BENEFITS:

FORM AVAILABLE IN THE OFFICE OF COLLEGE DEVELOPMENT

Year-end Grant Report

I.   Overall Project Objective(s)

_____

_____

_____

_____

II.   Specific objectives and the progress made with each.

_____

_____

_____

_____

_____

_____

_____

_____

III.   List any unmet goals/objectives with an explanation, if any.

_____

_____

_____

_____

_____

IV.   Budget Expenditures: Attach any budget information which has not been sent to the Office of College
        Development, e.g. budget modifications, final budget report, etc.

V.   List any equipment purchased with the grant fund, its current location, and condition.

_____

_____

_____

_____

IV.   List any recommendations project staff has for granting agency or college staff.

_____

_____

_____

_____

_____

_____

VII.   Provide any supporting documentation e.g., publications, minutes of meetings associated with the
        project, etc. which would be necessary for an audit.

FORM AVAILABLE IN THE OFFICE OF COLLEGE DEVELOPMENT   6/99 edition