

**Virginia Highlands Community College  
Grants Procedures Manual**

Introduction ..... 2

    I. General Principles ..... 3

    II. Getting Started: Preliminary Proposal Approval ..... 5

        a. Preliminary Proposal Form ..... 6

        b. Preliminary Grant Proposal Review ..... 7

    III. Full Proposal Development ..... 11

    IV. Proposal Submission, Follow-up and Outcomes ..... 13

    V. Project Approval ..... 16

    VI. Project Implementation, Management and Monitoring ..... 18

        a. Approval for Ongoing Funded Project Proposals Form ..... 23

    VII. Revision of Funded Projects ..... 27

    VIII. Completion, Close-out, and Post Project Activities ..... 28

        a. Annual Project Completion Form ..... 29

        b. Final Project Completion, Close-out, and Post Project Activities Form ..... 31

# VIRGINIA HIGHLANDS COMMUNITY COLLEGE

## GRANTS PROCEDURES MANUAL

### INTRODUCTION

The Grants Writer under the auspices of the Vice President of Institutional Advancement provides leadership and direction in **searching for, and securing** external funds to support approved College goals and objectives for academic programs, student services, administrative operations and special projects. This Manual provides information for College faculty/staff which will facilitate securing and managing projects financed in whole or in part with external funds.

All externally-funded projects operate under four sets of requirements.

- o **First** are those requirements stipulated in the **program regulations or funding guidelines**.
- o **Second** are those requirements established by the funding agency as detailed in the **contract through which funds are formally awarded**.
- o **Third** are those requirements which relate directly to **fiscal and personnel matters as established through State regulations**.
- o **Fourth** are **internal Institutional policies and operating procedures**, both general as well as those specifically directed toward externally-funded projects.

Institutional policies and procedures for externally-funded projects are detailed in this Manual, and the nature of the relationship with the other three sets of requirements is described.

**A major purpose for this Manual is to ensure that all of the above requirements, stipulations and conditions are met in applying for, implementing and closing out externally-funded projects and that satisfactory fiscal and programmatic accountability is maintained.**

**Any questions regarding items in this Manual should be directed to the Vice President of Institutional Advancement.**

## I. GENERAL PRINCIPLES

1. Virginia Highlands Community College accepts a fiduciary responsibility for all grants and contracts awarded as detailed in Section 4 of the Virginia Community College System Policy Manual.
2. Each proposal is to be completed in concert with the laws of the Commonwealth of Virginia and those appropriate policies as established by the College.
3. Each proposal is to include an accounting and/or record keeping apparatus consistent with present Institutional systems and procedures, as well as observance of requirements from the funding agency.
4. All grants and contracts submitted under the auspices of Virginia Highlands Community College are awarded to the College and not to the individual who is the initiator. The College bears the ultimate responsibility for fulfilling the objectives of the project and the compliance with all fiscal, legal and contractual requirements.
5. Under no circumstances is anyone permitted to submit a proposal for Virginia Highlands Community College without securing the appropriate approvals.
6. The President or his/her designee of Virginia Highlands Community College has the responsibility for approving the submission of proposals submitted on behalf of the Institution.
7. The Vice President of Administration must approve all budgets as they relate to compliance with the requirements in the potential contract.
8. The Human Resources Office must review all job descriptions, salaries, and contractual arrangements including release, overload, summer stipend and consultant pay for faculty.
9. The Preliminary Proposal Review process requires approval by the Management Team for proposal submission and final authorizing signatures.
10. If pre-application workshops are offered by the outside funding agency, every attempt should be made by the proposal writer or designee to attend in order to learn of all specifics of the agency's requirements and budgetary constraints.
11. The Project Director/Coordinator is responsible for seeing that the objectives and contractual agreements are met, personnel are supervised, events are properly documented, evaluation takes place, and all future funding applications for project continuation are prepared and submitted. All reports, other than financial, are the responsibility of the Project Director/Coordinator.
12. Notice of an award is usually directed to the President. If, on occasion, the Project Director/Coordinator, Vice President, or other individual receives direct notification, the original

documentation should be immediately forwarded to the President for review and acceptance and then placed in the auditable grant file.

13. Reviewers' comments will be sought by the Grants Writer. A copy of the comments will be forwarded to the proposal writer and/or Project Director/Coordinator. These comments are helpful in both resubmission of rejected proposals and management of successful grants.
14. To avoid confusion and duplication of effort, all responsibility for communicating with the sponsoring agency, **prior to an award**, lies with the Grants Writer unless prior arrangements are made for long-standing grants. Should anyone else have communication with the outside agency, the Grants Writer will be notified and receive copies of all correspondence.
15. Prior to the submission of a grant application, any potential disadvantages to the College are to be defined through the preliminary grant proposal review process. Such definition is to outline the effect on academic, community, and fiscal operations including:
  - a. an analysis of the short-range/long-range ramifications for the College;
  - b. the probability of continued funding support in equal or greater proportions;
  - c. the degree to which the College and/or partners must share costs;
  - d. the degree to which the activity can be administratively assigned and programmatically operated within the current Institutional structure;
  - e. the degree to which the activity draws on current, rather than additional, personnel resources;
  - f. any potential conflicts of interest that may exist either with assigned personnel or the institution;
  - g. the probable impact on ancillary College services, i.e., mailroom, purchasing, payroll, telephone operation, space utilization, computer services, graphics, print shop, etc.;
  - h. the mechanism(s) existing for agency and/or College termination.
16. Indirect costs are to be calculated at the highest allowable rate under the terms of the granting agency.
17. All personnel benefits must be included in the grant for the percentage of time paid from the grant.
18. Whenever matching funds are required, College or other funds must be identified and approved by the President and Management Team prior to grant submission.

## II. GETTING STARTED: PRELIMINARY PROPOSAL APPROVAL

Multiple points exist for the origin of grant proposals. These points can be grouped under two major categories: internal or external.

**Internal points** trace back to College-originated ideas or initiatives and include the following:

- o **Strategic Plan:** This constitutes the most basic point of origin for grant proposals. The Strategic Plan represents the collective analysis of data and formulation of goals and objectives by the combined leadership of the College. Therefore, all Institutional activity, including funded projects, should find confirmation in the Strategic Plan.
- o **Annual Plans:** The annual operational plan of each of the major departments, divisions, or functional areas of the College constitutes a second point of origin for grant proposals. These plans represent direct outgrowths of the Strategic Plan and can provide the Grants' Writer with information regarding the upcoming priority thrusts and initiatives to aid in the identification of potential resources.
- o **Faculty/Staff Initiated Ideas:** Faculty and staff share a concern and commitment for improvement of instruction and/or operations in their respective areas. Out of this commitment, new ideas and approaches emerge which provide potential solutions to old problems or which suggest new initiatives which may have merit. Almost invariably these new ideas require some form of financial support beyond that included in the Institutional budget. Therefore, these new ideas become the third internal point of origin for grant proposals.

**External points** of origin for grant proposals are triggered by the following actions of funding agencies/programs:

- o **Annual Funding Announcements:** Many state, federal, and private funding agencies/programs operate on an annual funding cycle. Determination of this cycle often leads to the development of grant proposals.
- o **Requests for Proposals (RFP's):** An RFP is a formal announcement by a governmental or private agency that it will receive proposals from interested parties (bidders) to provide specified goods and/or services to the announcing agency.
- o **Newly Established Programs:** State, federal, and private funding agencies/programs regularly announce new opportunities for funded programs.

The College seeks to respond to these external announcements when the aims and interests of the particular agency/program match the identified needs of the College. The response time for RFP's and new programs is typically very short — in some cases less than a week, in others up to thirty to forty-five days. Therefore, the proposal approval/development/submittal process must accommodate these situations.

## PRELIMINARY PROPOSAL FORM

Regardless of their point of origin, all projects must relate directly to the College's Strategic Plan and be endorsed by faculty/staff other than the proposal initiator. The person proposing the project is responsible for identifying the relationship to the Strategic Plan and must have his/her supervisor's and dean's agreement. The Grants' Writer is responsible for procedures which ensure these actions are properly completed. This is accomplished by using the Preliminary Proposal Form (see following pages) and review process.

The Preliminary Proposal form is completed by the proposal originator with the aid of the Grants Writer and is submitted through the Vice President of Institutional Advancement to the President's Staff for review and final approval. The form is intended to be brief and, as the title suggests, preliminary. Basic concepts including description of project idea; substantiation of need; identification of space/equipment/personnel requirements; description of future commitment; and estimated project budget are presented for review to accomplish the following basic purposes:

- o To ensure the committed involvement of the administration/ faculty/staff who will later be required to implement and direct the project if it is funded.
- o To ensure the commitment of the College for providing necessary resources including cash or in-kind match if required.
- o To ensure that only projects properly authorized and approved receive the time, attention, and efforts of staff required to develop full proposals.
- o To strengthen the quality of proposals submitted through suggestions made by members of the review board.
- o To determine employment status (permanent or temporary) for full-time positions funded through project.

The President's Staff meets regularly and will review and act on Preliminary Proposal ideas as submitted through the Institutional Advancement Office.

The Preliminary Proposal form and all other standard forms used in the grants development or management process are maintained in a reference notebook in the Institutional Advancement Office. All such forms are reviewed periodically and revised to incorporate improvements needed to facilitate use by staff. Changes to standard forms take effect following approval by appropriate staff.

Suggestions for modification in the Preliminary Proposal form are always welcome and should be directed in writing to the attention of the Vice President of Institutional Advancement.

VIRGINIA HIGHLANDS COMMUNITY COLLEGE

**PRELIMINARY GRANT PROPOSAL REVIEW**

The preliminary grant proposal review process is used to ensure that the support of appropriate areas/offices is obtained before time is spent to develop a full proposal.

The information you provide on this form does not need to be lengthy. Be brief, but provide a complete enough description of your project to allow meaningful review. Please contact the Grants Writer if you need help in completing this information.

Proposal to be developed by: \_\_\_\_\_

Proposal title: \_\_\_\_\_

\_\_\_\_\_

Funding source: \_\_\_\_\_

Proposal deadline: \_\_\_\_\_

Funding agency match requirements and grant restrictions: \_\_\_\_\_

\_\_\_\_\_

Project description:

1. What do you want to do?
2. How does this project relate to the College's overall goals and objectives?
3. What space (classrooms, labs, office space, etc.) is required for this project?

Existing space (describe):

New space (describe):

NOTE: Approval to use any new space required should be secured before a final proposal is developed.

4. If computer hardware is included, is it consistent with the College's technology plan?

NO  YES

Is all required software included in grant budget?

NO  YES

List renewal fees and maintenance contracts that will extend beyond the life of the grant.

5. Will renovations or installation of service lines (telephone, computer, etc.) be required to complete this project?

NO  YES (Describe)

6. What impact will the grant have on other departments/functions of the College (copy center, student services, business office, graphics, mailroom)?

7. What long-term commitment (commitment beyond the funding period) in terms of staff, materials, or training will this initiative require?

8. Staffing required: (Check one)

No staff are needed beyond those in the College budget.

Additional staff will be needed. (List each position separately.)

Job Title	Full-time/ Part-time	Salary	Basis for Salary Determination

9. All full-time positions will be designated as  
 (1) permanent \_\_\_ or (2) temporary \_\_\_

Temporary position status is based on the following criteria:

- \_\_\_ Grant is of short-term duration (24 months or less).  
 \_\_\_ Duties of positions are not expected to continue beyond the duration of the grant.  
 \_\_\_ No renewal of further funding is expected.

10. Estimated project budget: Year \_\_\_\_ (If grant is multi-year provide total estimates for future years. Make copies of form below.)

CATEGORY	FUNDING AGENCY COSTS	COLLEGE COSTS	TOTAL
Personnel:			
Fringe Benefits:			
Travel:			
Equipment:			
Supplies:			
Other:			
<b>TOTAL</b>			

11. For NSF proposals only, all principal investigators and co-principal investigators must read the NSF Conflict of Interest (COI) Policy and complete the following disclosure statement:

I have read the NSF COI Policy statement (NSF 95-27 *Grant Policy Manual*; Section 510).

\_\_\_\_\_ I have no activities that I am required to report.

\_\_\_\_\_ I have activities that might present or appear to present a conflict of interest. (List and explain in an attached statement.)

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

12. Required signatures (to be obtained prior to submitting for review):

	<u>Approve</u>	<u>Disapprove</u>
Immediate Supervisor: _____	_____	_____
Department Head: _____	_____	_____
Dean: _____	_____	_____

13. Approvals (to be obtained by Grants Writer following review procedure): Signatures below certify that the proposed project is in accordance with College goals and administrative and fiscal policies.

Vice President of Instruction and Student Services: \_\_\_\_\_

Vice President of Administration: \_\_\_\_\_

**REVIEW DATE (to be completed by Vice President of Institutional Advancement):**

President's Staff Review Date: \_\_\_\_\_

### **III. FULL PROPOSAL DEVELOPMENT**

All successful proposals share common characteristics including:

- o Congruence with the Institution's Strategic Plan
- o Well-defined Statement of Need
- o Clear, Specific Objectives
- o Well-formulated Plan of Action
- o Basic Operational Support

To ensure that each of these elements is as fully developed as possible, the Institutional Advancement Office serves as the coordinating office for all proposal submissions with project development accomplished as outlined below. (See Appendix C for further description of each of the proposal elements.)

#### **A. Projects with Campus-Wide Impact**

The Institutional Advancement Office is responsible for all proposals with campus-wide impact. In preparation for developing projects of this type, the Institutional Advancement Office first identifies all information required of other departments/areas of the Institution. Requests for this information are communicated to the affected departments/areas at the earliest possible time. Whenever possible, information requested will be put in "fill-in-the-blank" or similar format to limit the work impact on these offices.

In the case of highly technical or complex proposals, more in-depth information may be required of other departments/areas. Administrative approval will be secured for staff members to participate more fully in the grant development process.

Based on information provided by other offices as well as that generated by the Grants Office, a draft application or proposal is completed. This draft is reviewed by appropriate staff in the affected departments/areas. The proposal is then modified based on review comments and submitted to the appropriate funding source.

#### **B. Projects Supporting the Needs of Specific Departments or Areas**

Projects supporting the needs of specific departments or areas are developed under the direction of the Institutional Advancement Office with active participation in proposal writing from staff in the department/area directly supported by the project, if funded.

The tasks or steps involved in project development are as follows:

- o Proposal applications and instructions are obtained from the funding agency. In some cases, applications will come to the affected department/area unsolicited; in other cases, the Institutional Advancement Office will secure applications upon request. In instances where no standard application is provided by the agency, the Institutional Advancement Office will

provide guidelines for proposal format.

- o Information or data that will be provided by the Institutional Advancement Office is identified and distinguished from information or data required from the affected department/area.
- o The Grants Writer will meet with appropriate staff in the affected department/area, clearly identifying information required from each unit. Designation of responsibility for final proposal development is determined and agreed upon.
- o The staff in the affected department/area complete items for which the department is responsible and provide a copy to the Institutional Advancement Office.
- o The responsible party develops the full draft proposal/application. The draft proposal will be reviewed by the affected department and the President's Staff prior to submission to the funding agency.

Throughout this process, the Grants Writer will be available to the department originating the proposal to assist in answering questions, clarifying items, contacting the funding agency, and providing other support and assistance as appropriate. (See Appendix D for detailed description of typical proposal contents.)

### **C. Coordination with Other Offices/Departments in Project Development**

Project writers are expected to coordinate the development of proposals with other offices/departments to ensure accurate and appropriate information and support. Some examples are listed below:

<b><u>Coordinate With</u></b>	<b><u>For</u></b>
Coordinator of Instructional Support Services	Audiovisual equipment/materials, Technical support
Vice President of Administration	Position classifications and salaries; faculty overload/release/stipend/consultant pay
<b><u>Coordinate With</u></b>	<b><u>For</u></b>
Vice President of Administration	Renovations and installation of service lines for water, electricity, telephone, etc.
Bookstore Manager	Textbooks/supplies price information
Purchasing Officer	Equipment price information
IT Coordinator	Computer hardware/software information

## IV. PROPOSAL SUBMISSION, FOLLOW-UP AND OUTCOMES

### A. Submission

Proposals are submitted to the funding agency or organization by the Institutional Advancement Office unless otherwise agreed upon. To insure acceptance of the proposal by the funding agency, submission requirements must be followed precisely. These details include:

- o **Submit required number of copies.** Some agencies request only one "signature" copy. Other agencies request an original "signature" copy plus multiple copies.
- o **Mail/deliver to proper office/person.** With federal grants, in particular, proposals are normally mailed to a central receiving office and not to the program office. Proposals will not be accepted unless submitted to the proper office.
- o **Comply with appropriate deadline.** Many proposals are due in by a certain date/time; others are due postmarked by a certain date/time.
- o **Comply with all other submission requirements.** Some agencies request proposals be submitted in ring binders; others state no binders or covers — only stapled in upper left-hand corner. Do what the agency wants!

In the event that special handling is required to meet a proposal deadline, services such as overnight delivery through the postal service or an agency such as Federal Express are used. Proof of mailing/delivery receipts are kept in the Institutional Advancement Office. Proposals may also be hand delivered. The Institutional Advancement Office will not be responsible for proposals mailed or hand-delivered by other departments/offices unless prior arrangements have been agreed upon.

### B. Follow-up

The Institutional Advancement Office is responsible for follow-up with the funding agency to confirm receipt of all proposals. The Institutional Advancement Office will notify appropriate staff of anticipated next steps, including the date by which a funding announcement may be anticipated, any actions necessary prior to that date by the originating department such as face-to-face presentations or additional information requested, and actions to be taken by the Institutional Advancement Office or President such as seeking legislative support for the proposal if appropriate.

### C. Outcomes

Once a project has been submitted to a funding agency, one of three possible outcomes will result — the project will be approved, will be conditionally approved, or will be rejected. A brief description of each of these outcomes and subsequent courses of action follows:

- o **Approval.** Obviously the most desirable outcome for all submitted proposals is full approval. Provisions for responding to full project approval are detailed in the next chapter.

- o **Conditional or Negotiated Approval.** Projects are often approved subject to conditions attached by the funding agency or subject to negotiations to be completed with the agency. With conditional approval, the Institution receives notice that the proposal submitted has been approved by the funding agency subject to terms and conditions identified in the approval letter or an attachment to the letter. Upon receipt of conditional approval, the Institutional Advancement Office coordinates with the originating office/department and appropriate administrators to review and respond to the conditions set by the agency. The Institutional Advancement Office is responsible for all negotiations and will not be responsible for grants negotiated by other offices/departments unless prior arrangements have been agreed upon.
  
- o **Proposal Rejection.** In instances of project rejection, the Institutional Advancement Office is responsible for determining to the maximum degree possible the reason for rejection. The Institutional Advancement Office will follow up with the funding agency to obtain proposal evaluators comments and scores and will share this information with the division from which the proposal originated and/or other appropriate administrative staff. The Institutional Advancement Office, in conjunction with the appropriate staff, will determine what course of action will be pursued. When a proposal is rejected by a funding agency, one of several alternative courses of action is available, including the following:
  1. **Abandon the Project.** In some instances, a decision may be made to discontinue the search for external funds for a particular project. When the decision is reached to "abandon" the proposal, the Institutional Advancement Office communicates this decision to appropriate staff and closes the project file.
  
  2. **Revise and Resubmit.** The decision to revise and resubmit a proposal in a future funding cycle is made jointly by the Institutional Advancement Office, the division from which the proposal originated other appropriate administrative staff, affected faculty/staff, and the President's Staff. A plan for revision is developed based on information gained from the funding agency concerning why the proposal was rejected. The originating office/department works in concert with the Institutional Advancement Office to revise the project. If substantial College commitment will be required, including matching funds, personnel, installation of service lines or renovation, a revised preliminary proposal form must be submitted; otherwise, the Grants Writer will notify the President's Staff of the plan for resubmission.
  
  3. **Seek an Alternative Funding Source.** The decision to search for an alternative funding source is made on the recommendation of the Institutional Advancement Office with concurrence by the division from which the proposal originated, other appropriate administrative staff and affected faculty/staff. The Institutional Advancement Office directs this effort, following up on one or more of several options including:
    - o Discussion of alternatives with appropriate staff at the funding agency that rejected the proposal.

- o Review of the Catalog of Federal Domestic Assistance (CFDA) and other sources of public funding information.
- o Review of sources of corporate and foundation funding information.

Submission to an alternative funding source will often require some modification of the proposal. Objectives or outcomes may need to be restated to be consistent with the interests or goals of the new funding agency, and the budget may require modification. The originating office/department works in concert with the Institutional Advancement Office to revise the project. A new preliminary proposal review form must be submitted.

4. **Appeal the Decision.** In unusual circumstances, a basis for rejection may appear to result in whole or in part from an agency review process in violation of federal and/or other agency regulations, or some other basis for appeal may appear to exist. The President's Staff will be notified and will make the decision to submit an appeal to the funding agency. The Institutional Advancement Office is responsible for gathering appeal information and presenting this information to the Vice President in whose area the proposal originated and other faculty/staff as appropriate for their review and input. The Institutional Advancement Office will then prepare an appeal letter to submit to the funding agency. The Institutional Advancement Office will be responsible for directing the appeal effort with support from other faculty/staff as needed.

## **V. PROJECT APPROVAL**

### **A. Approval Notification**

Notice of project approval may be received by telephone or in writing from the funding agency. The approval may be "tentative," or it may be conditional upon meeting certain requirements before formal approval is received. No project is considered properly ready for implementation until a written, unconditional approval notice is received from the funding agency and any required contracts have been executed with signed copies delivered to all parties involved in the agreement. It should be noted that the term "proposal" is used for a proposed project — one that has not yet been approved. Once approved, the planned undertaking is referred to as a "project."

Funding agencies may direct telephone calls or written approval notices to the President's Office, Institutional Advancement Office, or the person named in the proposal as the Project Director/Coordinator or Principal Investigator. However, all communications received in other offices/departments should be directed immediately to the attention of the Institutional Advancement Office.

### **B. Award Acceptance**

The Institutional Advancement Office reviews approval information and determines what additional steps are required, if any, to complete the acceptance transaction. In some programs, completing this transaction means signing contracts not completed earlier. In others, written Statements of Acceptance must be signed by the President or other appropriate person(s) and submitted to the funding agency within a

specified timeframe. The Institutional Advancement Office is responsible for seeing that these activities are properly completed. The Institutional Advancement Office will not accept responsibility for awards accepted by other offices/departments unless prior arrangements have been agreed upon.

### **C. Notification of Appropriate Offices**

Once an award has been formally accepted by the College, the Institutional Advancement Office communicates this acceptance to the appropriate offices/departments and assists with basic initiation activities. The content of communications from the Institutional Advancement Office and identification of offices/departments designated to receive these communications are as follows:

- o **Informal Notification.** Immediately upon receipt of informal notification of approval from the funding agency, the Institutional Advancement Office advises those areas directly impacted by telephone that the proposal appears scheduled to be approved. Communication is limited to advising that the Institution has been informed of pending project approval and to identifying any limitations attached to this pending approval. Premature announcement of pending approval could jeopardize awarding of final contract. Therefore, at this point, shouts of joy and hallelujahs are to be quiet, subdued and restrained.
- o **Formal Notification.** Upon receipt of formal approval, the Institutional Advancement Office advises appropriate offices by telephone. Unrestrained shouts of joy and hallelujahs are now not only permissible but mandatory!

Information communicated from the Institutional Advancement Office to the Project Director/Coordinator includes the following items:

- o Confirmation of approval, along with copies of written documents received from the funding agency.
- o Copies of the program regulations and contract under which funding was awarded, if applicable.
- o Identification of limitations or special terms or conditions attached to the award by the funding agency beyond those contained in the basic program regulations.
- o A copy of the full final proposal as submitted to the funding agency, which is now part of the contract for completion of the project.
- o Matching funds requirements, if any, and information about how these are to be met, including "time on project" forms to be completed by existing personnel as indicated in proposal.
- o Information about how to achieve project revisions and indication of the last date by which project revision requests will be accepted by the funding agency.

- o Any other information specific to the particular award or program that the Project Director/Coordinator needs to be aware of in initiating the project.

The Institutional Advancement Office will meet with the Project Director/Coordinator, and any other affected offices/departments to review any of this information and provide clarification of program regulations, contract terms and other materials to accomplish a smooth and effective project initiation.

## **VI. PROJECT IMPLEMENTATION, MANAGEMENT AND MONITORING**

### **Roles and Responsibilities of Key Staff/Offices**

#### **A. The Institutional Advancement Office is responsible for the following:**

1. Directing the acceptance of the award and communicating notice of approval and authorization to implement.
2. Maintaining a copy of the following documents:
  - o Preliminary Proposal Review Form and other internal communications
  - o Application Package
  - o Proposal
  - o Award notice, including terms and conditions
  - o Approved budget
  - o Agency correspondence, including revision requests
  - o Progress and status reports as required by funding agency
  - o Other pertinent documents relative to the project
3. Meeting with the Project Director/Coordinator and other appropriate administrators, faculty, and staff generally not later than thirty days following approval notification to review pertinent information, answer questions, resolve concerns, and establish a sound basis for initiating the project.
4. Determining requirements for documentation of non-cash match, communicating these to the Project Director/Coordinator and assisting in establishing a system for accumulating documentation.
5. Coordinating project budget and programmatic amendments/revisions. (See Chapter VII.)
6. Conducting periodic monitoring/status reviews with regard to progress in completing the project.
7. Assisting the Project Director/Coordinator as requested in resolving other matters associated with efficient, effective completion of the project.

8. Achieving resolution of contradictions between College policies, practices and procedures and requirements, regulations or contractual obligations established by the funding agency, where needed.
9. Coordinating and serving as College liaison for monitoring/site visits of funding agency staff. Arranging details of visit including accommodations for visiting staff (when appropriate or requested), agenda for visit, etc. Obtaining as much detail as possible about intended review activities and sharing with Project Director/Coordinator and other appropriate faculty/staff.

**B. The Project Director/Coordinator** is responsible for all aspects of administration and completion of a funded project. The Director/Coordinator is expected to discharge this responsibility in accordance with existing policies, procedures and practices of the Institution and in concert with the regulations, requirements and contractual terms established by the funding agency. In instances where contradictions arise between Institutional policies and procedures and requirements of contractual obligations of the funding agency, the Project Director/Coordinator should contact the Grants Writer, who has responsibility for achieving resolution of these contradictions. Initial and continuing responsibilities of the Project Director/Coordinator include the following:

**Initial Responsibilities:**

1. Reviewing the total project, including funding agency regulations, reporting requirements and other expectations.
2. Establishing the project budget in coordination with the Vice President of Administration and Vice President of Instruction and Student Services. A budget account number is assigned to the project at this time. The Project Director/Coordinator is responsible for insuring that all expenditures are made in accordance with the categories, line items, and amounts shown in this budget. Substitutions, transfer of funds or other changes should be discussed with the Vice President of Administration, Vice President of Instruction and Student Services and the Grants Writer.
3. Contacting other College offices whose support is required for completion of the project, providing them with a definition of the support needed, and working with them to gain support.
4. Establishing, in conjunction with the Business Office, a schedule for the purchase of equipment and/or other materials and services.
5. Reviewing purchase order/purchase contracts to ensure all purchases are consistent with the project budget and the Public Procurement Act.
6. Coordinating/communicating with all faculty/staff who will have project responsibilities and helping them gain an understanding of the project and their role.
7. Establishing final job descriptions and directing the screening and hiring of staff, if any.

8. Reviewing the project timetable and make any necessary revisions.
9. Devising or finalizing a system for gathering information required for periodic reports and internal review meetings. Meeting with the Vice President of Administration and Vice President of Instruction and Student Services to identify items necessary for fiscal documentation and audit and determining area of responsibility for gathering and maintaining such documentation.

**Continuing Responsibilities:**

1. Monitoring the project budget to ensure all expenditures meet budgetary and other program guidelines and are consistent with approved budget categories, items, and amounts.
2. Periodically monitoring the on-line Financial Reporting System using it as a guide to project expenditures.
3. Reviewing and submitting all purchase orders, requisitions and specifications for bid to the Purchasing Officer.
4. Identifying problems, reviewing alternative solutions to these problems, and presenting a recommendation for problem solution to the appropriate administrator. After such review, the Director/Coordinator will consult the President's Staff to ascertain if a project revision/amendment will be required.
5. Accumulating all documentation required for non-cash matching expenditures in the grant. Forwarding copies of these to the Grants Accountant for inclusion in financial close-out reports.
6. Directing the completion of all activities specified in the project and coordinating as needed with the President's Staff and Grants Accountant in preparation for project close-out.
7. Participating in activities associated with monitoring visits by funding agency staff to the project site. The Grants Officer will advise as far in advance as possible of these monitoring visits and actively assist in preparing for them.
8. Completing interim and final narrative reports as required by the funding agency and forwarding copies to the Institutional Advancement Office.
9. Preparing and submitting continuation or renewal applications, if appropriate. The Institutional Advancement Office must be notified no later than one month prior to the grant deadline, using the Information Regarding Ongoing Funded Project Proposal form, so that this information may be presented to the President's Staff for approval. (See next page for copy of form.)

**C. The Vice President of Instruction and Student Services and/or the designated project administrator** is central to the review and approval process and continues to play a vital role in implementing and managing an externally-funded project. Primary responsibilities of the Vice President of Instruction and Student Services and/or responsible administrator include the following:

1. Conducting an initial meeting with the Project Director/Coordinator to review plans for implementing the project to ensure that all activities can and will be accomplished in a satisfactory manner. This meeting should occur within thirty days of notification of approval of the project.
2. Establishing with the Project Director/Coordinator a schedule of regular progress review meetings. These meetings need not be extensive where projects are running in accordance with plans but should occur at least every thirty days.
3. Conducting a project completion and closeout meeting approximately thirty to sixty days prior to the project end date to ensure compliance with all close-out regulations.

#### **APPROVAL FOR ONGOING FUNDED PROJECT PROPOSALS**

**Name of Project:** \_\_\_\_\_

**Project Director:** \_\_\_\_\_

**Funding Agency:** \_\_\_\_\_

**Deadline Date of Proposal:** \_\_\_\_\_

**Type of Application (check one):**

- (1) Continuation Grant (Year \_\_ of \_\_ -year cycle)
- (2) General Application or Standard Contract with No Major Changes
- (3) General Application or Standard Contract with Major Changes from Funding Agency

**Additional or New Personnel Requested:**

**All full-time positions in this project are classified as (check one):**

Permanent                       Temporary

If temporary position status, please indicate the appropriate criteria:

- Grant is of short-term duration (24 months or less).
- Duties of position are not expected to continue beyond duration of grant.
- No renewal or further funding is expected.

**Match Requirements (Cash and In-kind):**

**Comments:**

Please submit this form to the Institutional Advancement office one month prior to grant deadline. Submit a copy of proposal to Institutional Advancement office when original is mailed.

*Contact Person:  
Betty Domjahn  
Extension 2538  
NEB 942 (142)*

**THIS SECTION IS FOR INSTITUTIONAL ADVANCEMENT OFFICE USE ONLY**

Presented at the President's Staff on \_\_\_\_\_  
(date)

**APPROVAL TO PROCEED**

\_\_\_\_\_  
*Vice President of Instruction and Student Services*

\_\_\_\_\_  
*Vice President of Administration*

D. The Vice President of Administration and the Business Office responsibilities include maintaining a financial management system that meets the conditions and requirements established by the Office of Management and Budget (OMB) for federal funds or meets requirements of other agencies in the instance of state, local or private grant awards.

The Vice President of Administration (with assistance from the Grants Accountant) is responsible for the following:

1. Establishing, in coordination with the Project Director/Coordinator, a project budget in the College's accounting system.
2. Completing interim and final financial reports in accordance with the forms, requirements, and instructions of the funding agency.
3. Revising the project budget in the College's accounting system upon written notification from the Institutional Advancement Office of approval by the funding agency for budget revision.
4. Receiving, at the end of the project, documentation from the Project Director/Coordinator for all non-cash contributions and including this information in final financial reports in accordance with the instructions provided by the funding agency.

The Business Office is responsible for the following:

1. Requesting, receiving, depositing, and crediting against proper accounts monies from the federal, state, or other funding source through the payment system established by that source.
2. Throughout the project, monitoring expenditures to ensure that approved category totals and the total approved amount of funding are not exceeded. (Note: The Project Director/Coordinator is the person with primary responsibility to see that category totals and the total project budget are not exceeded. The Business Office serves only as a check.)
3. Preparing for and participating in audits in accordance with College and funding agency requirements.

The Business Office processes all purchase orders and contracts consistent with established College policies, procedures and practices. For federally-funded projects, procurement transactions are completed in accordance with EDGAR and OMB Circular A-110 requirements.

E. **The Human Resources Office** assists with advertising for positions and completion of hiring transactions for grant-funded staff consistent with existing procedures and practices of the Personnel Office. All full-time personnel in grant-funded positions are hired either in permanent or temporary status based on the criteria outlined on the preliminary proposal review form and according to all applicable state regulations. The Institutional Advancement Office will work with the Project Director/Coordinator and the Human Resources Office to answer any grant personnel questions.

**F. The Institutional Advancement Office** is responsible for all grants news releases. Upon receipt of award notification from the funding agency, the Grants Writer sends a project description and summary of the project to the Coordinator of Public Relations & Marketing to serve as the basis for development and issuance of a media release. This is done in cooperation with the Project Director/Coordinator, who should be available to provide necessary detail and/or to elaborate on the nature and scope of the project to produce a quality news release.

## **VII. REVISION OF FUNDED PROJECTS**

Approval is required from the funding agency to make substantial changes in approved budgets/objectives. Some agencies permit little or no project revision — others give the Project Director/Coordinator wide latitude to make changes without advance approval. Between these two ends of the continuum, most agencies permit revision within prescribed limitations. The most common limiting factor is the date by which revisions must be submitted. The Institutional Advancement Office notifies the Project Director/Coordinator of funding agency revision requirements at the time of project approval. A standardized procedure for project revision has been developed and contains the following elements:

- o The Project Director/Coordinator notifies the Grants Writer of the need to submit a revision — budget revision, programmatic revision, or both.
- o The Project Director/Coordinator develops the revisions to be sent to the funding agency.
- o Revision requests are submitted to the funding agency from the Institutional Advancement Office, unless otherwise agreed upon. Correspondence from the funding agency regarding the revision request is directed to the Institutional Advancement Office for disposition.
- o Upon approval by the funding agency, the Institutional Advancement Office notifies the Project Director/Coordinator and other affected offices/departments.

## **VIII. COMPLETION, CLOSE-OUT, AND POST PROJECT ACTIVITIES**

Approximately thirty to sixty days prior to project completion and close-out, the responsible administrator will coordinate a meeting with the Project Director/Coordinator, the Vice President of Administration, Grants Accountant, Grants Writer, and any other appropriate personnel. The Grants Writer will provide a completion, close-out, and post project activities form for completion at this meeting to ensure that all parties understand and agree upon close-out activities.

### **A. Narrative Reports**

The Project Director/Coordinator completes a final narrative following all the requirements and instructions provided by the funding agency. It is particularly important to meet the deadline for the report as required by the agency. **Copies of the report must be forwarded to the Institutional Advancement Office and the Vice President of Administration for inclusion in the files.**

### **B. Financial Reports and Documentation**

Final financial reports are completed by the Grants Accountant/Vice President of Administration and submitted by the deadline, most often sixty to ninety days beyond the end of the project. Reports are completed in accordance with forms, instructions and other information previously provided. As reports are submitted, copies are sent to the Project Director/Coordinator and the Institutional Advancement Office. Once close-out activities are completed, plans are made for retention of records and other post-project activity as necessary.

**C. Maintenance of Permanent Project Files**

Record retention periods vary for different funding programs. EDGAR provisions set a general retention period of three years. Other agencies require up to five or seven years. The Project Director/Coordinator will meet with the Institutional Advancement Office to determine where the records will be maintained.

**D. Disposition of Tangible Property**

Tangible property includes items such as equipment, building and land. Specific disposition regulations vary for different funding programs. Regulations for projects funded by the U.S. Department of Education are found in EDGAR, Appendix M, Subpart O. The Project Director/Coordinator should obtain a copy of EDGAR from the Institutional Advancement Office and will meet with the Institutional Advancement Office to determine proper disposition of all tangible property.

**ANNUAL PROJECT COMPLETION FORM**

**Project Title:** \_\_\_\_\_ **Project Director:** \_\_\_\_\_

**Funding Agency:** \_\_\_\_\_

**Grant Number:** \_\_\_\_\_ **Funding Cycle:** Year \_\_\_\_ of \_\_\_\_\_

**A. NARRATIVE REPORT**

The Project Director/Coordinator is responsible for completing the final narrative report following all the requirements and instructions provided by the funding agency.

**Narrative Report Deadline:** \_\_\_\_\_

**Requirements and Instructions:** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Copies sent to:** Agency \_\_\_\_ Institutional Advancement Office \_\_\_\_

Vice President of Administration \_\_\_\_\_ Others (list) \_\_\_\_\_

**B. FINANCIAL REPORT AND DOCUMENTATION**

Final financial reports are completed by the Grants Accountant, signed by the Vice President of Administration and submitted by the deadline, most often 60 to 90 days beyond the end of the project. Reports are completed in accordance with forms, instructions, and other information provided by the funding agency.

**Financial Report Deadline:** \_\_\_\_\_

**Copies sent to:** Agency \_\_\_\_ Institutional Advancement Office \_\_\_\_ Project Coordinator \_\_\_\_  
Others (list) \_\_\_\_\_

**C. MAINTENANCE OF PERMANENT PROJECT FILES**

Record retention periods vary for different funding programs. EDGAR provisions set a general retention period of three years. Other agencies require up to five or seven years. The Project Director/Coordinator will meet with the Grants Office to determine where the records will be maintained.

**Records to be Maintained by:** \_\_\_\_\_ **Location:** \_\_\_\_\_

**Record Retention Period:** \_\_\_\_\_ **Source of Reg.:** \_\_\_\_\_

**D. DISPOSITION OF TANGIBLE PROPERTY**

Tangible property includes items such as equipment, buildings, and land. Specific disposition regulations vary for different funding programs. Regulations for projects funded by the U.S. Department of Education are found in EDGAR, Appendix M, Subpart O. The Project Director/Coordinator will meet with the Institutional Advancement Office to determine proper disposition of all tangible property.

**Disposition Regulation Source:**

Property List

Description of Disposition

## **E. AUDITS**

Audits are completed in accordance with established College policies and practices, the provisions found in OMB Circular No. A-88 - "Indirect Cost Rates, Audit, and Audit Follow-up at Educational Institutions" and the regulations implementing the Single Audit Act of 1984 (Public Law 98-#504) as found in 34 CFR, Part 74.

The Business Office coordinates compliance with appropriate audit requirements of all external funding sources with the cooperation of the Institutional Advancement Office and appropriate project personnel.

**Audit Dates:**

**Results:**

**FINAL PROJECT COMPLETION, CLOSE-OUT, AND POST PROJECT ACTIVITIES**

**Project Title:** \_\_\_\_\_ **Project Director:** \_\_\_\_\_

**Funding Agency:** \_\_\_\_\_

**Grant Number:** \_\_\_\_\_ **Funding Cycle:** Year \_\_\_\_ of \_\_\_\_

**A. NARRATIVE REPORT**

The Project Director/Coordinator is responsible for completing the final narrative report following all the requirements and instructions provided by the funding agency.

**Narrative Report Deadline:** \_\_\_\_\_

**Requirements and Instructions:** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

**Copies sent to:** Agency \_\_\_\_ Institutional Advancement Office \_\_\_\_  
Vice President of Administration \_\_\_\_ Others (list) \_\_\_\_\_

**B. FINANCIAL REPORT AND DOCUMENTATION**

Final financial reports are completed by the Grants Accountant, signed by the Vice President of Administration and submitted by the deadline, most often 60 to 90 days beyond the end of the project. Reports are completed in accordance with forms, instructions, and other information provided by the funding agency.

**Financial Report Deadline:** \_\_\_\_\_

**Copies sent to:** Agency \_\_\_\_ Institutional Advancement Office \_\_\_\_ Project Coordinator \_\_\_\_  
Others (list) \_\_\_\_\_

**C. MAINTENANCE OF PERMANENT PROJECT FILES**

Record retention periods vary for different funding programs. EDGAR provisions set a general retention period of three years. Other agencies require up to five or seven years. The Project Director/Coordinator will meet with the Institutional Advancement Office to determine where the records will be maintained.

**Records to be Maintained by:** \_\_\_\_\_ **Location:** \_\_\_\_\_

**Record Retention Period:** \_\_\_\_\_ **Source of Reg.:** \_\_\_\_\_

**D. DISPOSITION OF TANGIBLE PROPERTY**

Tangible property includes items such as equipment, buildings, and land. Specific disposition regulations vary for different funding programs. Regulations for projects funded by the U.S. Department of Education are found in EDGAR, Appendix M, Subpart O. The Project Director/Coordinator will meet with the Institutional Advancement Office to determine proper disposition of all tangible property.

**Disposition Regulation Source:**

**Property List**

**Description of Disposition**

**E. AUDITS**

Audits are completed in accordance with established College policies and practices, the provisions found in OMB Circular No. A-88 - “Indirect Cost Rates, Audit, and Audit Follow-up at Educational Institutions” and the regulations implementing the Single Audit Act of 1984 (Public Law 98-#504) as found in 34 CFR, Part 74.

The Business Office coordinates compliance with appropriate audit requirements of all external funding sources with the cooperation of the Institutional Advancement Office and appropriate project personnel.

**Audit Dates:**

**Results:**