

Grants Manual

2004



Office of Research, Planning & Grants

January 2004

Introduction

The mission of the Grants Office is to support achievement of College planning goals by assisting faculty and staff in all phases of grant development, implementation, and management. This includes the following:

- Identification of opportunities,
- Planning assistance,
- Proposal development and review,
- Budget development,
- Proposal submission,
- Board notification, and
- Facilitation of post-award procedures

Each of these areas will be discussed in this manual. Suggestions for improving this manual are always welcome and should be sent to Kristin Hershbell, Associate Dean of Grants and Resource Development, C-306 (239-3677) or Marguerite Versher, Post-Awards, C-233 (239-3979).

January, 2004

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I. Soliciting Our Support

Grant proposals can generally develop in two ways: (1) according to an available funding source, or (2) based on an idea you have. The following section addresses the process for engaging the support of the Grants Office for both cases.

When You Have A Funding Source...

If you have already identified a grant opportunity that you plan to pursue for funding a project idea, you must notify the Grants Office by submitting a *CCSF Intent to Propose Form* (see p. 6). This enables us to:

- Determine what kind of support you need and we can provide
- Eliminate internal competition for the same funding source
- Ensure proposals align with the priorities of the College as a whole, and
- Provide appropriate post-award support to ensure smooth implementation of the grant.

The *CCSF Intent to Propose Form* can be accessed on our Web site at:
http://www.ccsf.edu/Offices/Research_Planning/grants_support.htm

When You Have A Project Idea...

If you have a project idea, but are unaware of funding sources, the Grants Office is here to help.

1. Ground Your Vision

Before you contact us, we ask that you do some leg-work by grounding your vision and investigating possible funding sources.

- Consider yourself an active member of the grant development team—your vision and its presentation are critical to winning grants!
- To develop your idea, objectives and impact, consider the following questions:
 - *What is the problem?*
 - *What are potential solutions?*
 - *What are the advantages and disadvantages of the solution(s) we propose?*
 - *How can we document this information?*
 - *How are we unique?*
 - *How are we similar to others?*
 - *Who is part of our team?*
- Explore potential funders; see p. 4
- Write a brief 1-2 page summary that includes your vision, objectives and potential impact.

2. Engage Our Support

Once you have written your summary and investigated possible funding sources, share them with *both* the Office of Research, Planning and Grants (239-3677, khershbe@ccsf.edu) and the Office of College Development (239-3816, ksalioto@ccsf.edu).

3. Identify Funding Opportunities

Now that you have grounded your vision and contacted our office, you can begin searching funding opportunities. Grants typically come from government agencies (federal, state, local) or private sources (corporations, foundations, and/or individual donors).

To identify funds:

- Review our monthly **Institutional Advancement Bulletin** which provides a brief summary of recent awards, proposals submitted and in progress, and current funding opportunities. The bulletin is posted on our Web site:
http://www.ccsf.edu/Offices/Research_Planning/grants_info.htm
- **Search the Internet.** Check the “Funding Sources” page on our Web site for connections to useful sites: http://www.ccsf.edu/Offices/Research_Planning/grants_fund.htm
- **Utilize our COS Funding Opportunities service.** Again, this service can be accessed through the “Funding Sources” page on our Web site. Through this online database, you can customize a search for funding opportunities based on your particular idea.
 - Click the “COS Funding Opportunities” link
 - Conduct a “Main Search”
 - Type in the Username (CCSF) and Password (Grants)
- Visit the **Foundation Center** and use their resources.

312 Sutter Street, #606
San Francisco, CA 94108-4323
Tel: (415) 397-0902
Hours: M-F, 10 am – 5 pm; W, 10 am – 8 pm
<http://fdncenter.org/sanfrancisco/>

4. Organize your funding opportunities.

Organizing your research will help you and us determine which funding opportunities to pursue. Create a “Funder Matrix” (see sample on next page). This matrix will also enable our office to communicate with the Office of Development and others throughout the institution potentially pursuing the same source.

Sample Matrix

Funder	Area of Interest	Funding Range	Application Process	Deadlines	Comments/ Connections	Board Members
Institute for Public Education Sally Smith, E.D. 555 Jones St. SF, CA 94111 415-555-5555 www.ifpe.org	Basic Skills	\$15k - \$250k	Submit Letter of Intent; invitation to submit full proposal following	Ongoing; better to submit in first half of year	Faculty member knows E.D.	Joe Public Jane Public Tom Tunes Jen Smith



CCSF Intent to Propose Form

Please complete the following form once you have identified a funder and before you develop your proposal. Return it to the Grants Office via email (khershbe@ccsf.edu), fax (415-239-3010) or mail (C306).

Contact Information

Name: _____ **Department:** _____

Telephone: _____ **Email:** _____

Supervising Administrator: _____ Notified?

Department Chair: _____ Notified?

Partners (internal, external): _____

Grant Information

Funder: _____

Program Name/Division: _____

Allowable Funding Range: _____ **Number of Years:** _____

Deadline for Submission: _____

Area of Focus (*check all that apply*):

- | | |
|---|--|
| <input type="checkbox"/> Applied Science & Technology | <input type="checkbox"/> Math/Science |
| <input type="checkbox"/> Basic Skills | <input type="checkbox"/> Social/Behavioral Science |
| <input type="checkbox"/> Business | <input type="checkbox"/> Student Development/Support |
| <input type="checkbox"/> ESL | <input type="checkbox"/> Visual/Performing Arts |
| <input type="checkbox"/> Facilities Improvement | <input type="checkbox"/> Workforce Development |
| <input type="checkbox"/> Health | <input type="checkbox"/> Other (<i>specify</i>): _____ |
| <input type="checkbox"/> Liberal Arts | |

Support Needed from the Grants Office (*check all that apply*):

- | | |
|---|---|
| <input type="checkbox"/> Program design | <input type="checkbox"/> Completion of forms |
| <input type="checkbox"/> Writing | <input type="checkbox"/> Obtaining letters of support |
| <input type="checkbox"/> Editing/Proofreading | <input type="checkbox"/> Submission |
| <input type="checkbox"/> Budgeting | <input type="checkbox"/> Board notification |

Brief Project Description (2-3 sentences):

Additional Comments:

II. Proposal Development and Review

When a source of funding has been identified, and **once you have submitted a *CCSF Intent to Propose Form***, the Grants Office can assist with any stage of the proposal development process. To ensure that you get the help you need, contact the Grants Office as early as possible and schedule time for assistance. If you have not submitted successful proposals before, we strongly urge you to make use of our assistance from editing to budget development to completing forms.

The following describes the basic proposal development process.

1. Obtain support from your department chair and dean.
2. Carefully review guidelines from the funding organization to determine if they are willing to fund what you propose. If the fit is loose, is there a way to re-frame your ideas? If you can't find a good fit and are unable to re-frame the ideas, look for other funders. Be sure to check general restrictions (e.g., eligibility, geographic area funded, etc.) and budget restrictions.
3. Review significant information (e.g., due date, where to send proposal, etc.).
4. Identify the funder's submission checklist or make one of your own outlining everything that is required for a complete proposal (you might consider developing a notebook with forms and brief descriptions of what is required). Be very specific.
5. Develop a schedule of what is needed. Assign tasks and deadlines to individuals. Discuss hurdles and how they can be addressed.
6. Complete a narrative draft. Most requests for proposals require you to include the following in your narrative:
 - **Need:** a statement of the problem that you plan to address with grant funds
 - **Goal(s):** overarching aim of the project; speaks directly to your need
 - **Objectives:** the clear and measurable objectives you aim to achieve through the grant
 - **Activities:** the strategy you will employ, the activities you will complete, and the timeline for completion
 - **Outcomes:** the anticipated result of your work and the indicators that will help you recognize when you have achieved those outcomes
 - **Evaluation:** the process for identifying achievement of your objectives; questions should be aligned with objectives
 - **Key Personnel:** a description of the team that will direct the grant activities
 - **Dissemination:** an outline of how you will share your results with others internally and related organizations externally
 - **Budget:** an itemized list of expected expenditures; includes personnel, benefits, materials and supplies, operating expenses and services, capital outlay, and "other outgo"; indirect costs and match costs should be included

- **Attachments** (e.g., Letters of Support, Memorandum of Agreement, resumes, biographies, etc.)
 - **Forms** (e.g. cover sheet, contact page, budget summary)
7. Complete a *CCSF Pre-proposal Budget Form* (see p. 11, http://www.ccsf.edu/Offices/Research_Planning/grants_support.htm). Determine if matching funds are required (see also section IV, “Budget Development” and Appendix II, “Getting Started”).
 8. Compose and/or review the letters of commitment or Memorandum of Understanding (MOU) you need from partner organizations. You should begin this process as early as possible to make sure that you obtain all signed letters in advance of the submission date.
 9. Revise your narrative draft.
 - Do you still meet grant requirements?
 - Are the ideas clear, concise, and precise?
 - When needed, do you back up what you claim with research?
 - Are you following the correct format?
 - Are the criteria on which you will be evaluated easily identified in the narrative?
 10. Revise Pre-proposal Budget.
 - Does the budget meet their restrictions?
 - Have you included any necessary sub-recipient funds for partners?
 - Have you received approval for institutional matches?
 - Is the budget in the required format?
 - Do they require a budget detail and/or a budget summary?
 - Have you allowed for indirect costs?
 11. Ask someone who is not involved with the project to read a draft. Then make revisions accordingly.
 12. Complete any special forms (e.g., cover letter, a grant application sheet, a summary or abstract, other signature pages)—review forms at least one week in advance of the due date to determine which signatures you need so that you can contact those individuals to ensure that they will be available to sign or that they designate another individual to sign for them.
 13. Prepare final copy.
 - Review all materials.
 - Make needed copies.
 - Send in materials on time.

III. Budget Development

Accurate and complete budget development, especially in terms of staffing, will greatly facilitate the smooth implementation of your project. Conversely, a lack of planning can delay implementation. We encourage you to seek assistance on developing your budget even if you are already familiar with the process. When completing your *CCSF Pre-proposal Budget Form*, consider the following.

Staffing

- Multiple-year grants should reflect a cost of living increase annually. Depending upon how much money is available, you can figure 3-5 percent.
- Full-time faculty should charge for release time, not replacement costs
- Part-time hourly faculty associated with the grant cannot take on assignments that exceed 60 percent of a full load. In this case, consider summer stipends or off-sessions.
- If faculty will be working during the summer, make sure to figure in the extra funds.
- The project must maintain compliance with negotiated collective bargaining agreements regarding salary and workload.
- Benefit costs should be properly calculated to cover faculty and classified grant personnel (see *Fringe Calculation Worksheet, Appendix II, Getting Started*)

Indirect costs

Indirect costs are those incurred by activities required for the general support and management of a project or program that are difficult to assess for an individual project. Indirect costs are usually in the following categories: (1) general administration and general expense: accounting, payroll, general administrative offices, etc.; (2) research administration; (3) plant operation and maintenance: utilities, janitorial services, routing repairs, etc.; (4) administrative costs at the College and departmental level; (5) library expenses; and (6) depreciation or use for buildings and equipment. Indirect costs are expressed as a percentage of the total funding requested. Here are some things you should know.

- Check with the Grants Office for the most current federally negotiated indirect rate.
- The California Community Colleges Chancellor's Office restricts indirect costs to 4% of the budget total.
- CCSF requests that we use a minimum of 10% for indirect costs whenever possible.
- Some funders will not allow any indirect costs.

Matching funds

Funders frequently require applicants to show matching funds in their proposed budget. A match—cash or in-kind—demonstrates to a funder that our institution also finds the project an important initiative and is willing to offer its own support to make the project a success, during

the grant period and possibly beyond. Moreover, funders are interested in leveraging their investment as shown by other contributors and partners willing to contribute to the project, in addition to the College.

Matching funds may include:

- Contributions of cash or its equivalent
- Contributions of indirect costs
- Contributions of non-cash support, such as in-kind services (e.g., contribution of time by an external advisor)
- Use of equipment, office space, or other facilities (e.g., meeting space)
- Discounted rates, fees or charges (e.g., educational discount on supplies)
- Staff time
- Other grants, loans or contracts

Ultimately, the funder determines which of these match options you can include in your proposal. Always read the application instructions carefully to identify which of these options to incorporate. See section IX, “Ongoing Budgetary Issues” for a method of tracking your match.

Sub-recipient Agreements

Collaborative projects between CCSF and other institutions require a joint agreement or sub-recipient agreement. Typically, the grant has provided that funds can be jointly expended on grant activities by authorizing one institution to serve as the fiscal agent for the grant. The other institution or institutions expend funds and then invoice for those expenditures.

Agreements may need to be first approved by the CCSF Board of Trustees and may require a full board resolution with grant agreement and budget details. See Section V, “Notifying the Board.” The agreement must be signed at the participating institution by an official authorized to enter into a joint agreement. The agreement also must include a full project budget for all expenditures by each institution. Once both institutions have signed all four copies of the document, a fully executed copy of the agreement should be sent to the participating institution.

CCSF Pre-proposal Budget Template

Use the template below to create a detailed pre-proposal budget. Add rows to accommodate the number of items needed in a particular category. For example, if you have a full-time instructor coordinating the program (non-instructional) and another teaching the program (release), list the cost of both. Also, insert columns as needed to include all budget years and matching requirements. See **Budgeting Tips** to guide budget development.

Category	Description	Yr 1	Match-Yr 1	Yr 2	Match-Yr 2	Yr 3	Match-Yr 3
1000	Academic Personnel						
	Administrator(s) (% FTE x Annual Salary)						
	Full-time Faculty						
	Non-instructional (hours/week x # weeks/year x hourly rate)						
	Release (% FTE x Annual Salary)						
	Part-time Faculty						
	Non-instructional (hours/week x # weeks/year x hourly rate)						
	Instructional (Remember 60% rule!)						
2000	Classified Personnel						
	Full-time Staff						
	Part-time Staff						
3000	Benefits						
	Full-time						
	Part-time						
	Student/Overload						
4000	Materials & Supplies						
5000	Other Operating Expenses						
6000	Capital Outlay/Equipment						
7000	Other Outgo						
	Total Direct:						
	Total Indirect:						
	Total Request:						

Administrator time is usual provided as a match

Release time must be charged to the grant, not course replacement time

Part-time instructors working on a grant must ensure that total hours of work remain under 60%

Includes any staff and/or student employees to be paid by the grant; if this is a new classified position, appropriate hiring procedures must be followed

Usually, supplies have a life of 1 year or less, but this category includes software; it does not include equipment

Includes travel, consultants, maintenance and repair of equipment, software licenses fees, printing, advertising and marketing

Usually includes items with a life of more than 1 year; some grants do not allow the purchase of equipment, so check your RFP before including

Includes sub-recipient(s) of funds and payments to students as scholarships or financial aid

First check the RFP to determine if the funder limits the amount of indirect that can be included; if none is recommended, use 10% of the Total Direct

Budgeting Tips

First, make a list of program activities. Determine what tasks you need to complete and what resources you need (both human and material).

Remember! All time committed to the grant must be verifiable. You will need to account for all time charged to the grant or matched by the institution using a timesheet.

Include some amount of money in any budget category you expect you will need throughout the life of the grant. For example, if you anticipate needing supplies at some point during the project, be sure to include some funds for supplies.

A match includes cash or in-kind support contributed to a project by the institution and/or an external partner for a grant project, but is not charged to the grant. Review your RFP to determine the amount of match required by your funder and in what form. Some funders require a specific amount of match from a particular source (e.g., 50% cash match from industry), while others only state that a match will strengthen the competitiveness of your grant. When building your budget, clearly identify the source of each item matched. Finally, remember that you will need to track all match funds committed upon project implementation.

IV. Proposal Submission

The Grants Office can help you submit your proposal. Whether you submit the proposal yourself or you receive help, make sure that you have attended to the following.

- A *CCSF Intent to Propose Form* is completed and sent to the Grants Office (via e-mail attachment, fax or campus mail).
- The proposal is submitted on time. Be sure to check if the submission date is a postmarked time or the time by which the proposal must be received.
- If you are required to submit the proposal electronically, assess the process well in advance of the due date. Some online submissions require a registration process that may take several weeks to complete. Also, identify the format in which you are required to submit documents, forms, information, etc.
- If signatures are needed, get those at least one week ahead of time.
- Make copies for the Grants Office as well as others at the College who are part of the grant. Also, send copies to any outside partners.

V. Notifying the Board

As a result of CCSF's Board of Trustees passing Resolution Nos. 020228-S5, 021121-S4, and 030130-S4 (see *Appendix I, Board Notification*), we have developed a decision tree to assist you in determining the necessary action to take with respect to notifying the Board when (1) submitting or amending the terms of grant proposals and (2) generating or modifying grant-funded subcontracts. *These guidelines are intended to clarify what you need to do.* Below we discuss the format, content, and submission of items that require Board approval (B-Resolutions and matrix items) and "Information Only" items once you have determined the appropriate method for Board approval or review.

Items Requiring Board Approval

The format, content, and submission of items requiring Board approval (B-Resolutions and matrix items) have changed slightly. Per the Chancellor's memo dated November 26, 2002, you must now include whether or not the B-Resolution you are submitting has undergone Shared Governance review. For proposals, such review is not required, but you must still include that information in the B-Resolution (but not in the matrix). Please see the examples that follow this section.

Information Only Items

After you receive approval from your Dean and Vice Chancellor, submit Information Only items to **Kelley Karandjeff**, Special Projects Coordinator in the Office of Research, Planning and Grants, **kkarandj@ccsf.edu**. For format, please see the attached sample. For content, use the guidelines below.

For grant applications **requesting less than \$500,000**, include:

- Funding agency
- Purpose statement (one sentence)
- Amount
- Period of Funding

For grant applications **requesting \$500,000 or more**, include:

- Funding agency
- Project purpose
- Brief description of activities
- Partners
- Linkage to College priorities; refer to all specific goal numbers that apply contained in:
 - the Strategic Plan¹ (<http://www.ccsf.edu/Offices/Research_Planning/planning/strplan.htm>)

¹ Use the most recent Strategic Plan for the College.

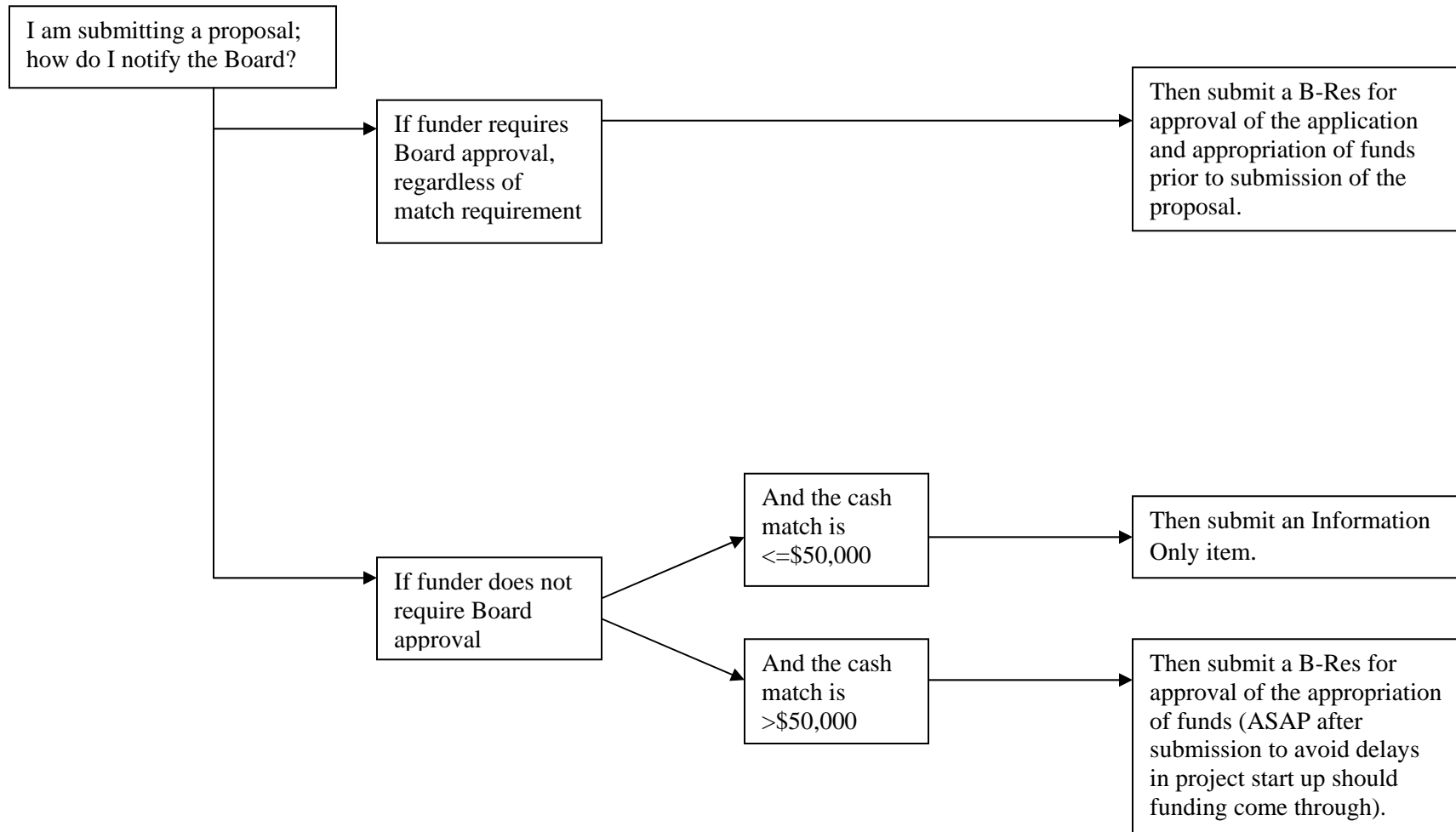
- the Annual Plan (<http://www.ccsf.edu/Offices/Budget_Office/annual_plan.htm), and/or
 - the Chancellor’s Goals
(*e.g., a proposal focused on service learning might reference “Strategic Plan 2.4, 3.3d, 3.3e; Annual Plan Operational Objectives 1 and 3”*)
- Amount of funding
 - Period of funding
 - Space/match requirements

For further guidance, please contact Kristin Hershbell, Associate Dean, Grants & Resource Development 239-3677, khershbe@ccsf.edu.

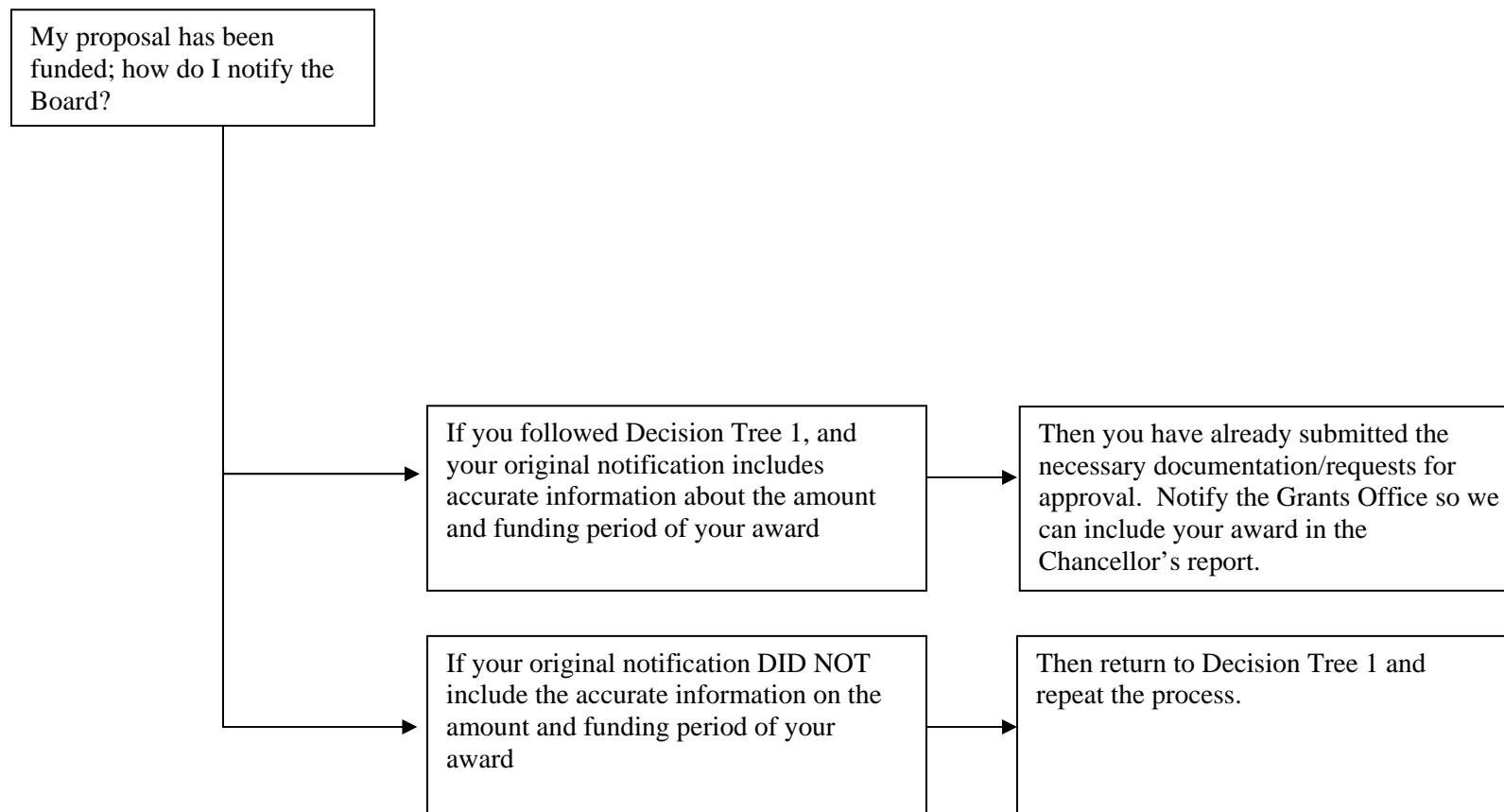
If you would like the Grants Office to write and submit a B-Resolution, matrix or an Information Only item for you, indicate so on your *CCSF Intent to Propose Form* (http://www.ccsf.edu/Offices/Research_Planning/grants_support.htm). Timely board notification can facilitate a smoother implementation of your grant. The schedule for monthly board meetings and the process for board packet review can be found at http://www.ccsf.edu/Offices/VCFA/resolution_schedule1.htm.

Once you are awarded grant funds, you must send a copy of the B-Resolution or the Information Only item to the District Budget Office at Gough Street in order for them to establish a fund number and enter information on the BANNER system.

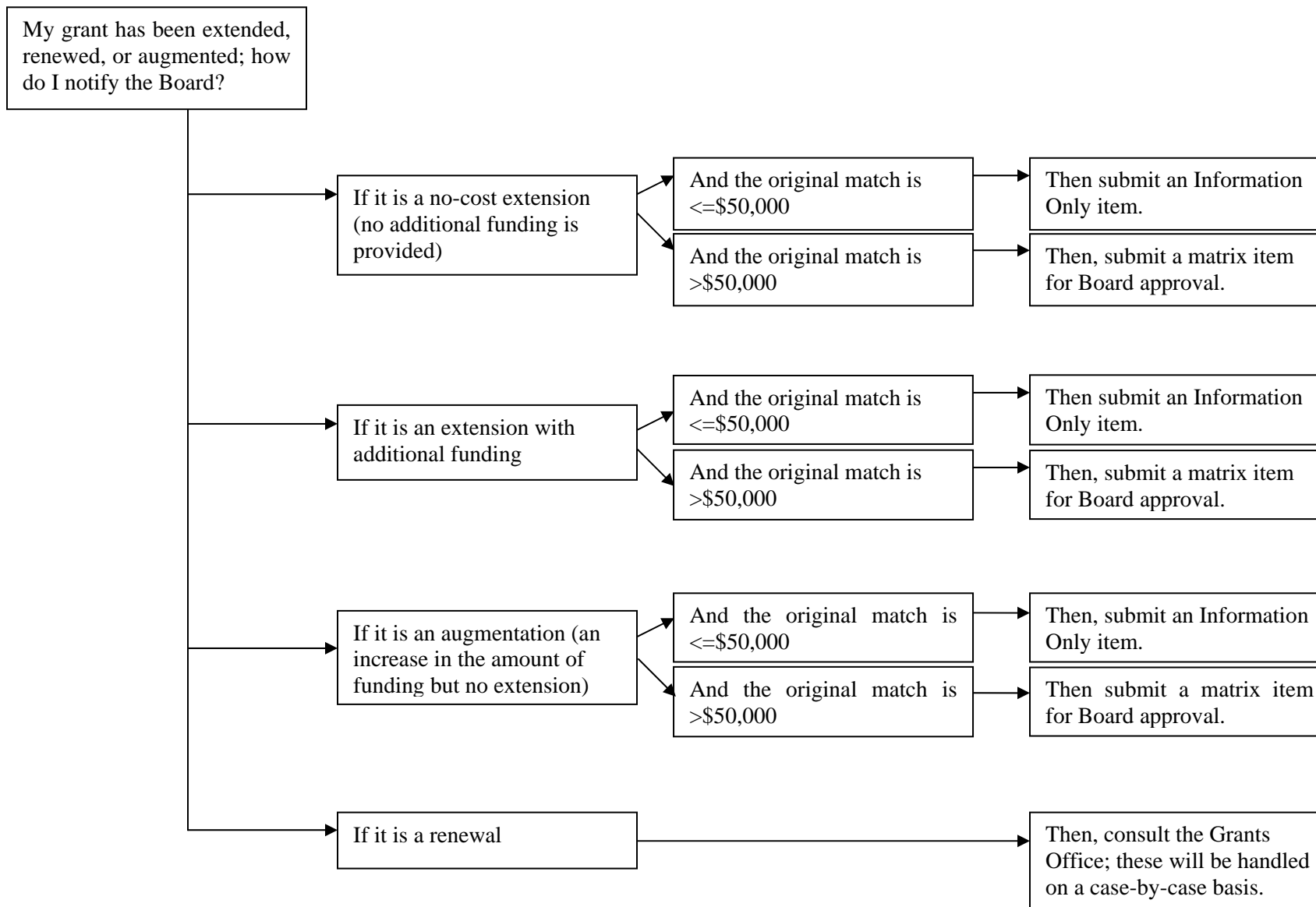
Decision Tree 1: Submitting a Proposal



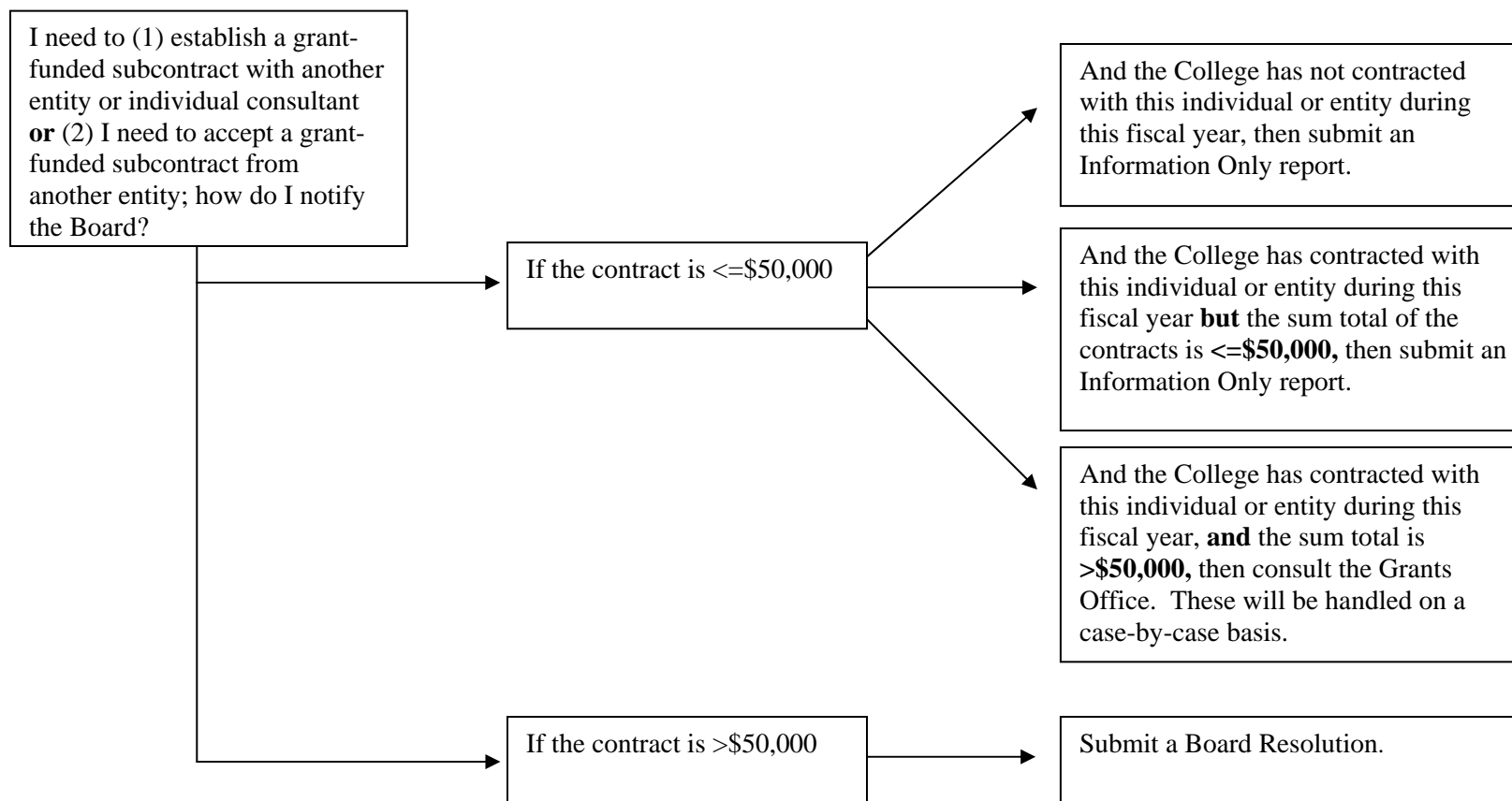
Decision Tree 2: Announcement of Award



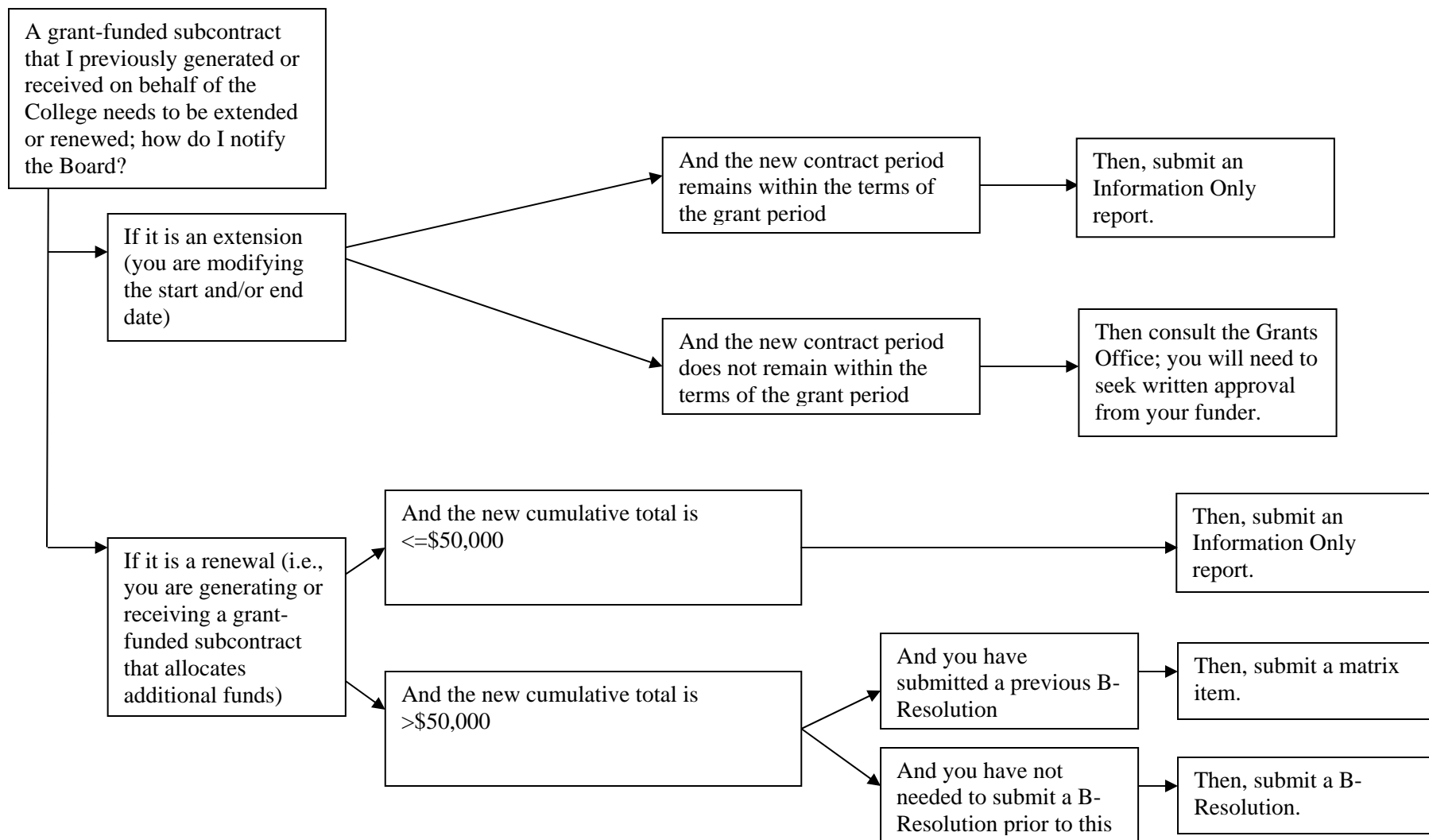
Decision Tree 3: Extensions, Renewals & Augmentations



Decision Tree 4: Grant-Funded Sub-Contracts



Decision Tree 5: Extensions and Renewals for Grant-Funded Subcontracts



NOTE—THESE SAMPLES HAVE BEEN ADAPTED TO SERVE AS MODELS;
ACTUAL AMOUNTS AND TERMS MAY NOT REFLECT REALITY.

DATE: February 28, 2002

BX

TO: Board of Trustees

FROM: Dr. Philip R. Day, Jr., Chancellor

SUBJECT: GRANTS

Approval to appropriate funds – \$300,000 Wells Fargo Bank Grant

(Resolution No. 020228-BX)

BACKGROUND INFORMATION

This resolution requests authorization on behalf of CCSF’s Small Business Development Center (SBDC) to appropriate all funds related to a grant from Wells Fargo Bank. Funding from Wells Fargo will allow the SBDC to expand its efforts to improve the success of small and emerging businesses in targeted revitalization neighborhoods (please see Resolution No. 020228-Bxx which describes the services of the SBDC). Specifically, these funds will support the launch of services for disabled small business owners in these neighborhoods. The total request is \$300,000 for the period March 7, 2002 to March 6, 2004.

The SBDC is a co-sponsored project of CCSF, the U.S. Small Business Administration, the State of California (with grants from the Chancellor’s Office of Economic Development and the California Trade and Commerce Agency), local government, and the private sector (including Chevron, Cisco Systems, and the Bay Area Association of Guaranteed Government Lenders). The grant requires a cash match in the amount of \$145,467 to be covered by General Funds.

Income	Year 1	Year 2
	(3/7/02-3/6/03)	(3/7/03-3/6/04)
Wells Fargo Bank	\$150,000	\$150,000
 <u>Expenditures</u>		
Supplies/Materials	4,807	4,807
Other Operating Expenses (Consultants, Advertising)	145,193	145,193
Other Outgo (Indirect Cost)	<u>\$15,000</u>	<u>\$15,000</u>
Sub-Total	\$150,000	\$150,000

Cash Match

Salaries and Benefits	\$31,442	\$40,000
Equipment	<u>45,000</u>	<u>29,025</u>
Sub-Total	\$76,442	\$69,025
Subtotal Expenditures	150,000	150,000
Subtotal Cost Share	<u>76,442</u>	<u>69,025</u>
Total Expenditures	\$226,442	\$219,025

SHARED GOVERNANCE REVIEW:

Yes____; No x; If yes, which committee: _____
Date of review: _____

RECOMMENDATION:

RESOLVED: That authorization be appropriate all funds receivable upon approval from Wells Fargo Bank for the period of March 7, 2002 to March 6, 2004, in the amount not to exceed \$300,000, and

FURTHER BE IT RESOLVED: That the Chancellor, Vice Chancellor of Finance and Administration and/or their designees are hereby authorized to execute any and all documents on behalf of the District to effectuate this resolution.

Kristin Hershbell, Originator

Date: May 30, 2002
To: Board of Trustees
From: Dr. Phillip Day, Jr., Chancellor

Subject: GRANTS

**Authorization to amend (1) one resolution as indicated in the table.
 (Resolution No. 020530 – BX)**

	<u>ORIGINAL RESOLUTION NUMBER</u>	<u>GRANTOR/CONTRACTOR</u>	<u>CONTRACT DATE</u>	<u>ORIGINAL TOTAL AMOUNT</u>	<u>CHANGE</u>	<u>NEW TOTAL NOT TO EXCEED</u>	<u>COMMENTS; ORIGINATOR</u>
A	010118-B12	Corporation for National Service/San Francisco State University	October 1, 2000 – September 30, 2001	\$57,829	Increase funding by \$10,000	\$67,829	SFSU increased CCSF's sub-recipient contract for Project SHINE by \$10,000 to expand the number of student participants. Originator: Kristin Hershbell

FOR INFORMATION ONLY

Honorable Board of Trustees of the
San Francisco Community City College District

Subject: Report on grants submitted and managed between March 22 – April 25, 2002 by the Office of Research, Planning and Grants, City College of San Francisco (CCSF)

This report is for information only on grants submitted and managed by the Office of Research, Planning and Grants, March 22 – April 25, 2002.

Grant proposals requesting \$500,000 or more:

Funds for Student Success (FSS) – With California Community Colleges Chancellor's Office FSS funds, CCSF will expand its Community Service Learning programs—Project SHINE in particular—and develop a set of second-stage courses enabling students to deepen, hone, and expand their interest in integrating service with their academic experience.

Proposed activities link to the following College priorities: **SP 2.4**, expand out-of-classroom activities to provide a range of opportunities (service learning is specifically cited as one approach); **SP 3.3.d**, collaborate with community-based organizations and businesses to provide students with a first employment/ internship opportunity; **SP 3.3.e**, use work-study, internships, and other similar programs to provide students with work experience in the community related to their program/course of study; **AP Operational Objective 1**, provide high-quality educational programs and courses; **AP Operational Objective 3**, provide high-quality extra-classroom opportunities.

The request totals \$570,952 over three years (2003-2005). The required district match does not exceed \$50,000. No additional space is required.

Frank Chong, Originator

Grant proposals requesting less than \$500,000:

Public Programs Consultation Grants – If awarded the NEH's Public Programs Consultation Grant, CCSF will hire a consultant to develop the Outlook program. The amount requested is \$10,000 for one year (2002-2003).

Kristin Hershbell, Originator

San Francisco Municipal Railway (MUNI) – CCSF received an extension on the funding period for the San Francisco Transit Career project funded by MUNI. The funding has been extended to March 30, 2004 in the amount not to exceed the original award of \$350,000.

Phyllis G. McGuire, Originator

Key: SP = Strategic Plan 2002-03 (Draft); AP = Annual Plan 2002-03

Grant-funded contracts involving less than \$50,000:

CCSF Northern California Biotechnology Center (NCBC) – CCSF's NCBC will contract with Solano Community College for the services of Jim DeKloe, who will act as the Center's Project Director. The contract is in the amount not to exceed \$38,489 for the period of July 1, 2003 – June 30, 2004. This notification is retroactive due to delayed notice from the State Chancellor's Office about renewed NCBC funding for 2003-2004. When expenditures are incurred on the contract, they will be included in a C-Resolution.

Wing Tsao, Originator

Caltrans – CCSF's California Resource Center has submitted a proposal to be included as a subrecipient for a grant to Caltrans from the Metropolitan Transit Commission. Under this grant, CCSF will receive a sub-contract from Caltrans to develop and deliver a credit-bearing certificate program in Transit Planning utilizing the DACUM methodology. Funding for CCSF would total \$42,164; CCSF will provide an in-kind match in the amount of \$5,580. The proposed contract term is July 1, 2004 – June 30, 2005.

Phyllis McGuire, Originator

VI. Post-award Procedures

Starting Your Grant-Funded Project: Award Checklist

Upon receiving notification that you are awarded funding, you are authorized to conduct the program or project in accordance with grantor regulations. You must also conduct the program or project in accordance with CCSF policies and procedures. If you are not familiar with either the grantor or CCSF policies and procedures, get help from the Grants Office by contacting Marguerite Versher, 239-3979, mversher@ccsf.edu.

Listed below are the main steps to take to implement your project:

- Announce award notification in the appropriate places.

The Chancellor's Office, your department dean and chair, and Grants Office should be notified that your grant has been funded.

- Complete a *Post-Award Budget Form* and *Staffing Form* and get signatures.

These forms should be completed in accordance with College District expenditure account codes (see *Appendix II*, "Getting Started").

- Send award notification, proof of board notification (e.g., B-Resolution or FIO), and signed Post-award Budget and Staffing Forms to Business Services at Gough Street. (Maintain copies of everything.)

- Check with Business Services for assignment of fund number.

- Complete CCSF personnel hiring forms. As soon as the fund number is assigned to your grant, file personnel forms with the appropriate office.

Handle personnel issues:

If applicable, go through CCSF hiring procedures.

If applicable, complete any Professional Services Contracts.

If applicable, complete Sub-Recipient Agreement.

- Request BANNER access from ITS and the Business Office to track grant expenditures. (If you do not have a CCSF e-mail address, you should also request e-mail access.) E-mail is required for BANNER access.
- It is strongly recommended that you track all expenditures with a simple Excel spread sheet. You may also request expenditure reports from the Grants Accounting Office.
- Complete reports required by grantor. Contact Business Services at least two weeks prior to deadline for grant financial reporting.

Award Notification and Board Notification

The award document is the funding agency's official obligation of funds for a project. Keep a copy for yourself. Forward the original and one copy to the District Budget Office (Gough) and send one copy to the Office of Research, Planning, and Grants. The Grants Office should be notified of any changes to the award and/or approved budget as changes may require a modified B-Resolution, matrix item or FIO. Make sure that you also send a proof of board notification to the District Budget Office (Gough) and the Grants Office.

- A new award is the original award of funds.
- A continuation award obligates funds for a subsequent budget period within an existing project period (multiyear award). Be aware of requirements should it be necessary to apply for funding each year of the project.
- A supplement adds funding to an existing budget period for additional work or costs not anticipated in the original proposal or award.
- A renewal award provides funds for the continuation of a project beyond the original project and budget period. Renewals may or may not be competitive, but usually require you to apply formally for additional funds.
- A no-cost extension allows you to extend the period of your grant beyond the original project budget year without additional funding. During the no-cost extension, you will be able to expend the original funds allocated to achieve the proposed program goals.

VII. Project Implementation

Post-Award Budget, Staffing Form, and Fund Numbers

A *Post-Award Budget Form* and *Staffing Form* must be submitted to the District Business Office prior to making any expenditure or hiring personnel (see *Appendix II*, “Getting Started”). The *Staffing Form* must include all CCSF personnel (faculty, classified, and students) to be paid out of the award. The total amounts for personnel positions should match the total amounts for academic and classified personnel line items on the *Post-Award Budget Form*.

Every grant is identified by a special set of numbers. The FOAPA (*Fund, Organization, Account, Program, Activity*) number is the expenditure control number that identifies the account for the award. These numbers are assigned as follows.

- **Organization number, program number, and activity code:** The organization number is based on the department guiding the project, the program number is based on the school or unit the project will operate, and the activity code determines the type of project, such as instructional or credit, service, administrative. See *Appendix II* for general account codes. These numbers must be entered on the *Post-Award Budget Form* based on the types of planned expenditures. See also *Appendix II* for specific account numbers and expenditure codes for completing requisitions, personnel forms, contracts and other grant expenditures.
- **Fund number:** assigned by the District Business Office when they receive the *Post Award Budget Form* and *Staffing Form* (with proof of board and award notification).
- **Expenditure codes (also known as account codes):** allocated to sub-budget categories or account codes based on amounts in the adopted budget agreed to by the funding agency. CCSF expenditure account codes are listed in *Appendix II*.

Expenditures

The District Business Office maintains records for all grants through BANNER even if CCSF is not the fiscal agent for the grant. However, it is recommended that projects also keep track of expenditures by using a simple Excel spreadsheet and maintaining copies of requisitions, invoices, and other supporting documentation.

BANNER access is limited, but may be available to the budget manager. Requests for access to BANNER, as well as e-mail accounts, should be made to Information Technology Services (ITS). BANNER Finance access also requires consulting the BANNER Systems Administrator. The fund number (FOAPA) should already be assigned before requesting an account using the *Information Technology Services’ Request for Computer Accounts* (see *Appendix II*, “Computer Account Request”).

Purchasing information should also be consulted before making expenditure requests (*Appendix V*). For expenditure requests, requisitions are required to obtain approval *prior* to purchase. Request a *Purchasing Manual* from 33 Gough or visit <http://www.ccsf.edu/Services/Purchasing/> for more information. Project Managers should also consult grantor guidelines on vendor

bidding procedures that may affect how the Purchasing Department is required to handle your purchasing requests. Some State and Federal grants require that certain expenditures be opened to bidding by vendors which will require extra time and planning to conduct the process.

Once the proposal is submitted and the board is notified, it is a good idea to request any forms necessary to begin the project. Such forms may include documents required to hire CCSF faculty, classified staff, and enrolled students. The *Professional Services Contract* is required to pay consultants and other non-CCSF employees providing services for grant-related activities (see *Appendix III*).

Personnel Issues

Personnel issues can be somewhat complex. Based on the needs of your grant, there are several types of staffing scenarios that you can employ. Each has its own procedures and forms; the following discusses each in detail.

1. Engage currently employed CCSF classified staff

To hire currently employed classified staff, the FOAPA number should be included on a *Form 3* to charge the budgeted percentage of hours to the grant. Only full-time (40 hours per week) permanent classified staff may use an overtime timesheet to charge additional hours to the grant.

2. Utilize currently employed CCSF instructors

How CCSF faculty are paid through the grant largely depends upon the project and its budget. Release time is generally used in the case of a full-time faculty member being more fully engaged in grant activities. A percentage of a faculty member's salary matches the amount budgeted in the grant and the College will be reimbursed by the grant for that faculty member's salary and benefits. Course replacement or back-fill is no longer allowed in the cases in which the faculty member was released from teaching a course or courses. Full or part-time faculty may be paid non-instructional hourly pay for grant project activities. In the case of part-time faculty, the 60% workload rule generally applies during the academic year.

3. Hire new classified staff

This is only advisable if the grant project is for more than two years. There are seven basic steps to hiring a new classified employee.

1. Obtain Classified Position Request Package.
2. Obtain approval from the City/County Human Resources Civil Service Unit.
3. Obtain approval from the Classified Position Allocation Committee.
4. Submit Classified Personnel Requisition (Form 3).
5. Post job announcement.
6. Screen applicants.
7. Select candidate for position.

Human Resources Office	33 Gough Street
Human Resources - General Information	241-2246
Classified Employment	487-2445

4. Hire new instructors

Generally, grant funds are not used to hire new faculty. Consult your department chair regarding faculty new hires and FTE allocations.

5. Hire consultants

The *Professional Services Contract* is used for consultants, vendors, guest speakers, and other non-CCSF personnel (not employed by CCSF for at least 12 months prior to consulting) contracted to perform services over an abbreviated period of time. Board approval is required prior to beginning the contract process unless services are contracted for less than \$50,000. A new Board Resolution is not required for services less than \$50,000 (see “Board Notification,” p. 14). Also, the line item must already be appropriated in your Post-Award budget as “Other Operating Expenses.” Professional Services Contracts should be submitted at least 3 weeks prior to the intended start date. A contractor should not be allowed to perform any services prior to approval by Administrative Services (see also *Appendix III* and www.ccsf.edu/Offices/VCFA/Contracts for more information).

6. Hiring Students

Student Lab Aides must maintain a minimum of 6 units during Fall and/or Spring semesters and/or 3 units in the summer. Noncredit students must maintain 12 hours in Fall and/or Spring and 6 hours in the summer. Students may work a maximum of 15 hours per week. A description of the available position should be posted with the Career Development and Placement Center. For more information contact CDPC at 239-3117. For guidelines and forms, contact Student Employment in the Financial Aid Office at 239-3599.

Sub-recipient Agreements

“Sub-Recipient Agreements” and other grants contractual agreements with other institutions, must be considered during the proposal process and always require board approval.

Purchasing Materials and Supplies

The Purchasing Office distributes a Handbook to help negotiate the policies and procedures for expending funds for supplies, materials, and equipment. There is also a Purchasing Office Web site available at <http://www.ccsf.edu/Services/Purchasing/>.

Departments may not order directly from vendors. All purchases require prior approval via a requisition order form. You can, however use the Internet to research the product, vendor, and price. CCSF purchasing currently does not allow phone and Web site orders with a requisition. Any purchase between \$2,000 and \$49,999 will be informally bid. The lowest responsible

bidder will receive the order. Allow at least one week for this process. Orders should include specifications and price quotes for accurate requisitioning of products. It's advisable to attach specifications and/or product descriptions (if available) to the requisition (see additional information on purchasing in *Appendix V*).

Travel

The *Requisition and Travel Order Form* is used for all travel expenditures. If your grant includes travel for CCSF faculty or staff, this form should be completed well in advance as all travel expenditures must be pre-approved. Generally, only payments for registration fees for conferences can be pre-paid by the grant or CCSF. Transportation costs, lodging, and meals are paid by the traveler and reimbursed upon submission of the *Travel Settlement Report* and original receipts for approved expenditures stated on the *Travel Order Form*. First-class airfare is not allowable under any circumstances. An allowable cost of per diem for meals does not require meal receipts, but must be included on the *Travel Order Form* for reimbursement. For further information on an allowable per diem and on local travel, check district policy at: http://www.ccsf.edu/Offices/District_Business_Offices/Travel%20Guidelines.doc.

No reimbursement can be made without the original receipt(s) (see *Appendix VI* for more information).

Travel by Non-CCSF Employees

Generally, unless the grant specifically determines that the person(s) filling the role that the grant identifies, non-employee travel and reimbursements are discouraged. Should a non-employee be required to travel, the District may be required to report that travel as income on the *IRS Form 1099*. In that case, non-employees should claim their un-reimbursed travel on *IRS Form C* when filing their yearly income tax. It is wise to undertake this discussion with any consultant who is hired and expected to incur the cost of grant-related travel. Estimated travel costs may be included in the Professional Services Contract and reimbursed by including expenses with the consultant's invoice for services provided.

The issue of non-CCSF employee travel reimbursement is still being discussed. There are federal and state laws that dictate the College's option to treat consultant travel as income. We recommend that you discuss this with the Grants Office as early in the grant process as possible.

VIII. Ongoing Budgetary Issues

Tracking Your Match

Once your project receives grant funding, you will need to track your match expenditures for funder reporting and College auditing purposes. Match can be accounted for using the *CCSF Match Tracking Form* (see p. 34).

Referencing your *CCSF Pre-proposal Budget Form*, identify all expenditures you need to track. As the project progresses, record each match item, the amount spent for that item, the fund from which the expenditure will be paid, the account code, the date or time period during which the match was incurred, and any special directions or comments.

You also need to provide documentation/evidence of the match (e.g., receipts, timesheets, requisition forms). Attach that documentation to your completed form and submit it to Grants Accounting in a timely manner (based on the length of your grant, “timely” could be quarterly, semi-annually, annually, etc.).

Re-budgeting

Re-budgeting, or changing the way award funds are expended, may require prior approval by the funding agency. Approval to re-budget, if required, must be requested of the funding agency in writing but can be done via email. The Post-Award Grants manager should receive a copy of that request and approval. Federal agencies participating in the Federal Demonstration Project (FDP) allow re-budgeting among most funding categories without prior approval as long as the expenditure is allowable under the approved project. The award document, grant guidelines, and the Grants Office can help interpret whether agency permission is needed to re-budget. Special care must be taken when re-budgeting amounts into or out of the supplies and materials and equipment categories, as those categories may not bear indirect costs in the agreement (see *Appendix IV*).

Carrying Forward Funds

Some funding agencies allow non-obligated funds from one budget period to be carried forward into the next budget period. Often, the Principal Investigator/Project Director must request the funding agency's permission in writing and should seek approval at least 30 days prior to the end of the budget period. Federal agencies participating in FDP allow grantees to carry balances forward without prior approval, however it is best to be certain by contacting the grantor prior to the end of the budget period.

No-Cost Extension of Funds

If the project is not completed and awarded funds remain unspent towards the end of a project period, many funding agencies will allow the Principal Investigator/Project Director to request more time to complete the work while spending remaining funds. A no-cost extension is an

extension of the project period without additional funding. Often a no-cost extension must be requested of the funding agency in writing well before the existing project period end date. FDP agencies allow the institution to approve a single no cost extension without prior approval, but still require written notification. Consult your grant monitor or program officer at your funding agency for accurate information. If your grant reports are quarterly, the third quarter report is usually a good indicator on project status and whether an extension request will be necessary.

Closeouts and Cost Transfers

The District Business Office prepares expenditure reports that should be reconciled by the project budget manager and Principal Investigator/Project Director. Most funding agencies require a final financial report from the District Business Office, usually within 90 days of project termination. Cost Transfers occur when the College's general fund is charged for grant expenditures or vice versa. Cost transfers can impact the perceived grant account balance or deficit so staying abreast of expenditures is imperative to overall grant project operations.

Financial Reporting

The District Business Office is responsible for preparing all financial reports. It is recommended that the Project Director review all expenditures charged to the project for accuracy at least two weeks prior to quarterly reporting and 30 days prior to the end of the project year. Any remaining funds must be encumbered and subsequently expended by the end of the grant fiscal year unless the project has been extended (see description of no cost-extension of funds). Any special requirements with regard to financial reports should be stipulated to the District Business Office early in the grant fiscal year. In some cases the granting agencies may have specific forms for financial reporting. The original forms should be forwarded to the District Business Office for completion (We recommend that you maintain a copy of all forms and correspondence with the granting agency and the District Business Office.)

Federal Demonstration Project

Most postsecondary institutions participate in the Federal Demonstration Project (FDP), which allows grant recipient institutions flexibility in managing awards funded by selected federal agencies. In general, the "expanded authorities act" of FDP allows the institution to decide independently to:

- Approve pre-award costs,
- Grant no-cost extensions,
- Carry over non-obligated balances from one budget period to the next, and
- Carry out a broad range of award actions, such as foreign travel or large equipment purchases.

The agencies do require prior approval for:

- Change in the scope of the project,

- Change of Principal Investigator,
- Establishing the relatedness of two or more projects for purposes of sharing project assets, and
- Substantial sub-contracting.

The Project Director is usually the faculty member or administrator who will coordinate the project or program. Acceptance of a proposal results in an award by the sponsor of a grant or contract with the College. The Project Director as an individual does not receive the grant or enter into the contract. However, he or she is responsible for conducting the program or project according to the terms of the grant or contract, and in so doing, serves as the agent of the College. Specifically, he or she engages personally in the work as stipulated, directs the activities of program or project personnel, submits reports of program or project activities, and assures that the program or project is conducted within the agreed budget limits.

If the Project Director anticipates significant changes from the original grant intent, he or she should get in touch with granting agency before moving forward with these changes. The Project Director may be required to submit to the granting agency interim reports and final reports. These reports may include fiscal, statistical, and narrative information. Reports should assess the significance of the project, the objectives achieved, the obstacles encountered, and recommendations for future programs if desired. We recommend that the Project Director record activities on an ongoing basis in order to complete the narrative information in a timely manner.

CCSF Match Tracking Form

Grant Name:

Funder:

Budget Term(s):

FOAPA:

Total Award:

Total Match Committed:

Total Match Spent:

Contact:

Role:

Ext.:

Object of Expenditure	Classification/Description	\$Amount	Fund #	Account Code	Date/Pay Period	Comments
1000-Certificated						
2000-Classified						
3000-Benefits						
4000-Materials & Supplies						
5000-Other Operating Expenses						
6000-Capital Outlay & Equipment						
7000-Other Outgoing						
Total						

Matching funds can include:

- 1) contribution of cash or its equivalent
- 2) contribution of indirect costs or other non-cash
- 3) support, such as in-kind services, use of equipment or office space
- 4) discounted rates, fees or charges
- 5) staff time
- 6) other grants and loans or contracts

IX. FREQUENTLY ASKED QUESTIONS

How do I contact the Grants Office?

The Grants Office (a section of the Office of Research, Planning, and Grants) is located in Cloud Hall in Room C-306.

The following people are available to assist you:

Robert Gabriner, Dean, Research, Planning, and Grants 239-3014

Kristin Hershbell, Associate Dean, Grants & Resource Development 239-3677

Kelley Karandjeff, Special Projects Coordinator 239-3013

Marguerite Versher, Post-Award Management 239-3979

Our fax is: 239-3010

Our Web site is: http://www.ccsf.edu/Offices/Research_Planning/grants.htm

Some grants request the submission of proof of non-profit status of the College. Where can one obtain this information? The Grants Office has information concerning the College's federal status including the ID number.

What are the definitions of direct and indirect costs usually associated with grant applications? The basic regulations for ascertaining the allowable costs of federally sponsored research, training, and educational services conducted under grants and contracts with educational institutions are contained in Federal Management Circular 73-8. For administrative and accounting purposes, costs are divided into two categories—direct and indirect.

Direct costs are those costs that can be identified specifically with a particular program or project. Examples of charges which usually are handled as direct costs are: salaries and wages of persons employed on the project, personnel fringe benefits, equipment, expendable supplies needed exclusively for the project, computer use, travel, and communication.

Indirect costs are those incurred by activities required for the general support and management of a project or program that are difficult to assess for an individual project. Indirect costs are usually in the following categories: (1) general administration and general expense including accounting, payroll, general administrative offices, etc.; (2) research administration; (3) plant operation and maintenance including utilities, janitorial services, routing repairs, etc.; (4) administrative costs at the College and departmental level; (5) library expenses; and (6) depreciation or use for buildings and equipment.

In undertaking any sponsored program or project that includes indirect cost, the College will charge the grant based upon the agreed percentage of indirect cost as funds are expended. The College does not recover indirect cost on unexpended grant funds.

Since indirect costs cannot be specifically measured for a single project alone, it is usually expressed as a percentage of the project's salaries/wages and fringe benefits or of total direct costs of the grant less equipment (if applicable). For federally sponsored projects, the government practice has been to indicate a provisional indirect cost reimbursement rate that can be used for planning purposes.

The College has a federally negotiated in-direct cost rate. The Office of Research, Planning and Grants can provide more information on indirect cost and how it relates to the overall grant award.

What is the difference between "in-kind support" and "matching funds"? "In-kind support" and "matching funds" may be the same thing and usually refers to the amount of resources the College or a partner organization is committing to directly support the project. However, match funds may also be a "cash" match.

How is proof of liability insurance provided to an institution or grantor? Requests for proof of insurance should be submitted to Toni Lee at the District Business Office. Program information and/or a description may be required. The approved Board Resolution may provide the necessary information to complete this request. Proof of Insurance is usually required when CCSF is the sub-recipient of a grant and not the fiscal agent or entering into a grant contract. The request may be made online from the College website, www.ccsf.edu/Offices/VCFA

What if CCSF is not the fiscal agent? CCSF is not the fiscal agent, the institution acting as fiscal agent will initiate a contract outlining the responsibilities with regard to the grant and institutional obligations. This requires CCSF administrative review, board notification, and signatures to execute the contract. Once the contract has been executed, it is the program's obligation to follow all procedures to insure that CCSF recovers obligated funds due. This may require such activities as report submission, expenditure documentation, and other information required for invoicing the institution acting as fiscal agent.

What is a sub-recipient contract? A sub-recipient contract is necessary when CCSF is the fiscal agent and a portion of the grant is to be expended by another institution. Board notification should outline the role of the other institution(s) receiving funds and how much of the grant will be expended by each institution. The contract is initiated at CCSF and requires the signatures of officials and officers of institutions receiving funds, a budget for that portion of the grant, and a work plan outlining program activities supported by the grant. The Office of Research, Planning, and Grants can assist in negotiating contract requirements and initiating the sub-recipient contract process.