Project Director Orientation

SEPTEMBER 2023

Welcome to Grants Management

Congratulations! Receiving a grant and assuming the role as a Project Director/Principle Investigator (PD/PI) is a big responsibility but is essential in order to serve a critical need for our students. If you were involved in the writing of the grant application, this is a much deserved reward for all of the effort you put in during the development of the grant application. If you are new to the grant, and possibly new to the college, you will spend the first few months catching up, but please know that there are numerous resources and people on campus that you may access for assistance.

The purpose of this guide is to assist both seasoned and new Project Directors / Principle Investigators in the administration of a grant or contract. This handbook covers all grants administered by College faculty, staff, and administrators for the benefit of AHC students, programs, and personnel, regardless if they were awarded to Allan Hancock College.

Our goal in creating this handbook is to minimize the amount of time you are taken from project development and implementation and required to deal with the logistics of grant management and compliance. While you, as the Project Director/Principle Investigator are the primary person responsible for ensuring the success and overall award management of grant funds, you are not solely responsible. In this manual, we will outline the key departments / people who will help ensure that the grant is compliant with federal, state, and institutional rules, regulations, and procedures.

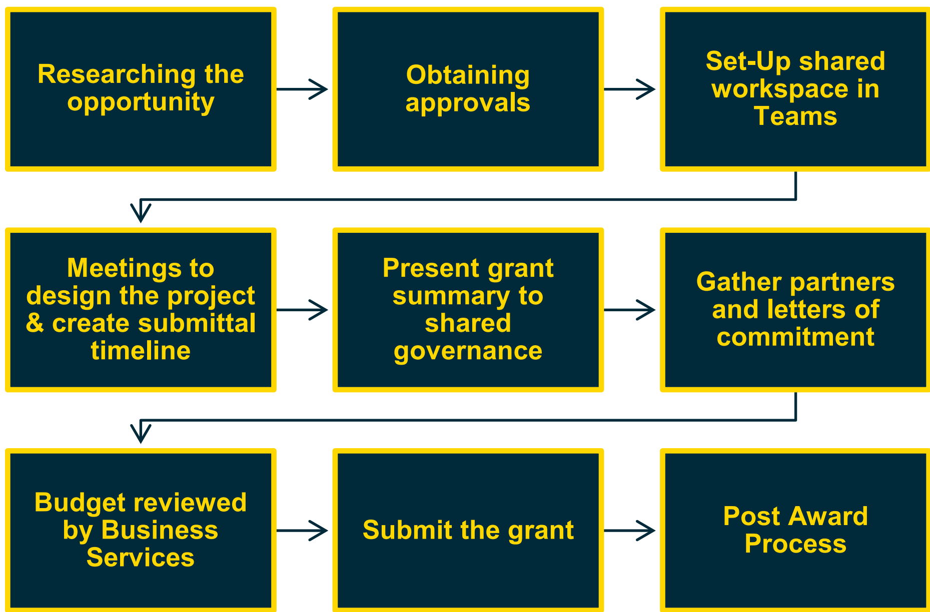
This orientation document is designed to complement both the new project director's orientation and the Grant Procedure Manual provided by the Business Services office.

Two important terms for you to know:

- Project implementation is about actualizing the objectives written into the proposal. The grant proposal, the award letter, and district policies and procedures provide the information you need to successfully implement and manage the project.

- Grant management is about compliance with the funder's requirements, the district's policies, and meeting reporting deadlines and procedures.

Below is a flowchart that shows the steps that are taken to submit a successful grant proposal through the AHC process.



Institutional Grants Department is here to help in all phases from the application to close-out! Contact us anytime.

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Project Director is responsible for…

The Project Director/Principal Investigator (PD/PI) is the most important person on the grant. The PD/PI may be:

1. A CSEA staff member or supervisory staff, often hired as a project manager specifically to manage the grant but may also be an existing administrator who has taken on a new responsibility.
2. A member of the faculty, particularly on grants that support curriculum development or pathway enhancement**.**

The PD/PI is the College's primary liaison with the funding agency and is usually identified in the Grant Award Agreement. The PD/PI is responsible for:

1. Initiating and approving all changes to the grant or contract—no expenses should be charged to the grant budget without the authorization of the PD/PI. In addition, no changes should be made to grant activities without the authorization of the PD/PI. This includes changes made by the Grant Administrator (the supervisor of the PD/PI).
2. Reviewing monthly expenditure reports from Business Services to determine the accuracy and allowability of all charges. The grant budget is similar to a bank account opened in the projects name under the college. The PD/PI may draw funds from it for approved expenses during the life of the grant project. The PD/PI is responsible for the account and in assuring that there are sufficient funds to cover project-related activities, salaries / benefits, and materials.
3. Understanding the special circumstances, rules and protocols of the grant award. Although all grants must adhere to relevant state, federal, and institutional guidelines;

many grants have additional policies and procedures that grant staff must follow. The PD/PI is responsible for attending grant-related meetings, workshops trainings, and conferences organized by the Program Monitors to stay aware of changing guidelines and conditions specific to each grant. The PD/PI must attend the new grant orientation meetings that many funding sources offer at the beginning of each new award period, either in person or through webinars. Ultimately, it is PD/PI's responsibility to read, understand, and implement all information and instructions sent from the funding source, AHC's Institutional Grants Department, and AHC's Business Services.

4. Implementing the grant and overseeing the day-to-day activities of the grant as outlined in the original grant application.

Getting Started

The first few months of a new grant are both hectic and critical. The grant contract is negotiated with the funder and accepted by the Board of Trustees. The grant award is forwarded to Business Services, which then sets up the budget and identifies a FOAP. If necessary, the process for hiring personnel is initiated, and key internal and external collaborators come together for an initial planning meeting.

This all happens with a grant management team in place. Delays in getting board approval, budget set up, personnel hired, and goods and services purchased can cause problems throughout the duration of the grant. Problems or delays in the hiring process can have a particularly detrimental impact on reaching grant objectives on time, in the manner planned, and in accordance with the grant budget.

The time between the grant award notice (GAN) and the actual start date will vary. Although costs for activities and personnel cannot be charged to the grant before the authorized start date, it is possible to advertise positions and interview, select, and orient key personnel before the grant starts. This is also a good time to convene internal and external partners and review the grant application, create a monthly activity plan, and ensure that proposed grant activities / outcomes are still relevant since some time as passed since the application was submitted. Grant applications are often submitted six months to a year before their start date, and circumstances can and will change, particularly if your grant is dependent on equipment or technology.

The project team also needs to review and confirm the grant management structure. Grant oversight and monitoring, as well as support for grant-related activities, will vary by project and department. The Institutional Grants Office is available to provide support upon request. Formalizing the grant management structure before the grant begins will help establish appropriate chain of command / authority and reporting responsibility.

Refer to the **Getting Started Checklist** in the Appendix for a step by step guide to getting your grant started.

During grant implementation, what we might call the ‘Post Award’, the PD/PI has two basic responsibilities, including:

I. **Program Responsibilities** – the development and implementation of the grant award agreement and assuring that project goals, objectives, and outcomes are achieved on time. In this capacity, the PD/PI is responsible for working with many different groups on and off campus, communicating project goals and outcomes, and securing institutional support. Below are some examples of this responsibility.
    a. Administration
        i. Implement & document project activities in accordance with stated goals, objectives, and timelines.
        ii. Maintain a project file with the proposal, award document(s), progress reports, and correspondence with program officer.
        iii. Work with Institutional Grants to troubleshoot issues that arise and close out the project.
        iv. Attend a project director’s orientation meeting annually with the Grants Director and/or Grants Analysts in the Institutional Grants Department and keep your respective grant administrator informed.
        v. If hiring, the Project Director/ Principle Investigator is responsible for completing the PAR/NE and coordinating with Human Resources to recruit and/or creating a new job description.
        vi. If there is a Subrecipient under the college for the grant, then follow the *Subrecipient Monitoring Checklist* found in the appendix.
    b. Reporting
        i. Preparing program reports for funding agency which might include quarterly reports and/or annual reports, as well as a summative report for the close-out of the grant.
        ii. Send progress reports, quarterly reports, and final reports to the Institutional Grants Post Award team prior to submission. If you would like us to review the report and make recommendations, please allow a minimum of two weeks for review prior to the reporting deadline.
        iii. Create a data collection plan, periodically evaluate data, and participate in continuous improvement plans to address grant activity gaps.
        iv. Assisting with audits.

II. **Fiscal Responsibilities** – responsible for fiscal accountability, meaning that you must ensure that grant funds are expended according to the grant agreement. Each PD/PI should review all expenses for accuracy and ensure that they are allowable, allocable, and reasonable. Below are some examples of this responsibility.
    a. Finance/Budget

i. Annually set up Banner Budget template and submit to your respective Grant Accountant. If you need help understanding your Grant Budget and turning it into a Banner Budget, then the Institutional Grants Team is here to help you with that.
ii. Work with a Grant Accountant for financial reporting responsibilities.
iii. Process purchase requisitions.
iv. Monitor expenditures, ensure they have been correctly coded to each account, and check spending as each payment is posted.
v. Document cost share if any are required.
vi. Supervising grant personnel in accordance with District policies and bargaining unit agreements
vii. Compiling time and effort reports, when applicable.

Each Project Director / Principle Investigator is the expert – they know the details of the activity or spending restrictions in addition to the project objectives related to their grant.

Carrying Out the Grant Agreement

A grant is an award of funds from a funding agency or nonprofit foundation to the college to provide specific services, products, resources, or facilities within a specific time frame. During this time frame, services are offered to a target population in order to meet a need on campus to ensure equitable and accessible educational opportunities. In the proposal, the team develops a budget for the estimated costs that would be required to serve that target populations need and therefore the money must be used in compliance with that expressed need. The proposal, negotiated budget, program regulations, and notice of award set the parameters of the project. By requesting money from the funding source, the college is committing to specific outcomes. THIS IS A CONTRACT. If there is a breach in contract, the college can be held legally and financially accountable by the funding source.

For this reason, the PD/PI must be familiar with six essential documents, including:

1) **Original grant proposal**, specifically the project goals, objectives, outcomes, and activities. This includes the logic model, Plan of Action/Scope of Work/Work plan.
2) **Grant budget**. The budget is a key component of the contract, and any changes must be in compliance with the regulations outlined by the funding agency or as allowed by the project monitor. It is important to remember that sometimes the amount we asked for in a grant proposal is not the amount we receive in the award. If this is the case, then the Institutional Grants team will help you with negotiating changes in your budget and how those changes effect your Scope of Work / Work Plan. We will cover more on that in the Setting Up Your Budget Section of this guide.

3) **Program policies, procedures, and requirements** including federal / state regulations, statutory provisions, and the legislation that initiated the grant. PD/PIs of both public and private funding must comply with institutional regulations, as well as program requirements. PD/PIs of public funds must also comply with the appropriate government regulations, including federal, state, and city/county policies. Some grants funded through the state are supported by federal funds and thus it is essential that you know the source of funding.
4) **Notice of award (NOA)**, also known as the Grant Award Notification (GAN), which includes the project's award number, the Program Officer, and other essential reporting information.
5) **Board Action Item or Administrative Acceptance of the Grant**: All grants must be approved and accepted by the Board of Trustees. This process is handled by the Director of the Institutional Grants Department and often occurs prior to the start of a grant. However, you should contact the Grant Administrator or the Institutional Grants Department to ensure that this has occurred.
6) **AHC operational budget**, also known as the Banner Budget, for the project as approved by Business Services. Each grant has two budget plans first, the Grant Budget which is the plan that was submitted to the funding source using the funding source's budget forms and classifications. Second, the Banner Budget which is submitted to Business Services, using the College's budget forms and classifications. While the numbers are the same (particularly the totals), how they are classified within budget line items may vary. It is important to understand both budgets and how they are similar and why they are different.

Depending on when the college hires the PD/PI, Business Services may not have received the internal budget forms yet. You should contact the Grant Administrator and/or Business Services to ensure that the grant has an operational budget.

To support you, the Institutional Grants Department creates a **Grant Summary** for your post award that provides you a snapshot of your grant. This **Grant Summary** should help you answer these questions:

- What is the grant number?
    - Important note: You will need to include this number on all communications with the Program Officer.
- Did the notice and attachments contain any limitations on the grant or reporting requirements?
- What is the name and phone number of the Program Officer?
- What are the start and end dates of the grant award? Do they coincide with the timeline included in the proposal?
    - They may not, as it is often unclear during the pre-award process when funds will be available. If the dates do not coincide, you will need to revise the work plan as necessary.

- Who is responsible for achieving grant objectives? Is it you and grant-funded project staff? Or will you be working within other departments on campus? If so, who are the key contact people and how will they come together?
- What results have been promised to the funding agency? How will you demonstrate that these results have been achieved?
  - These are generally not negotiable, except will a solid rationale, and prior approval from the Program Officer.
- What special populations will the project serve, such as students from traditionally underrepresented racial/ethnic groups, women, individuals with disabilities, unemployed, or economically disadvantaged? How will the college pick participants? Are there any populations that cannot be served? What are the requirements for receiving services?
  - These are very important questions because there are some grants that will not allow you to spend money on ineligible participants. If you do, the college may need to return money.
- What personnel are authorized in the grant? What are their responsibilities? Will you need to hire new staff or reassign existing staff?
  - It can take significant time to hire new staff, so you will need to begin this process as soon as possible.
- Does the grant proposal state that you will work with external partners or collaborators? If so, do these relationships exist? If not, what will you need to do to establish these relationships? Do these partners know that the grant was funded? Will these partners receive grant funds? If so, is there a subcontract agreement in place? Many grants require partners because the funding source knows that the grant will not be successful if the grantee does not partner.
- Do you understand all the technical jargon or special language used in the proposal? If not, refer to the funding regulations, the Institutional Grants Department, the Grant Writer, and/or other key institutional resources?

The award notice authorizes the expenditure of grant funds. Without an award notice, Business Services will not set up an account code (FOAP), and you will not be able to spend money. In most cases, however, the college will receive the award notice prior to hiring a PD/PI. You should have a copy of the award notice in your files. The award notice may include a separate contract that outlines the responsibilities of the grantee and the grantor. If the award notice does not include a separate contract, then the initial grant proposal is the contract of performance. Other things to consider:

- What college need generated the proposal? What is being done now to address that need? It can be up to a year between the time a proposal is written and the time it is funded. During this period, many things can change.
- Most grants are flexible enough to accommodate minor changes due to institutional changes that have occurred since the proposal was submitted. However, if these changes are substantial, you may need to contact your Program Officer.

As you review the budget, ask yourself these questions:

- Is the 'grant' budget or negotiated budget the same as the budget proposed in the initial grant application? If not, has a revised budget been sent to the funding source?
    - The funding source has the discretion to reduce the size of our award. If they do, we may be able to negotiate a change in scope, outcomes, or activities to accommodate the reduced funding.
    - However, do not contact the funding source without first speaking with the Institutional Grants Department and/or the Grant Administrator.
- Does the grant require an institutional match? Where will the matching funds come from? How will the college document the match? Please refer to the Match Section of this handbook for more information.
- Have activity timelines or objectives changes? Will this impact the budget?
- If the grant is already underway, have there been any expenditures? How do these expenditures align with the proposed and negotiated budgets?

Regulation Review Questions

As the PD/PI, it is your responsibility to know the do's and don'ts of your grant. All grants are different, so you cannot expect the Institutional Grants Department or Business Services to know the specific details of your grant. Therefore, it is very important that you understand the state and federal regulations that apply to your project. These may be written in the Federal Register announcement, the authorizing legislation that approved the grant, the Request for Proposals, and department-specific rules and regulations, including the U.S. Department of Education's General Administrative Regulations (EDGAR) or the National Science Foundation's Grant Policy Manual.

Sometimes, grant regulations are attached to the award letter, particularly for state and local grants. Additional information is also distributed during new grantee meetings conducted by the funding source, often led by your project monitor. Upon review of this information, you should be able to answer the following questions:

- Do you have a copy of the department-specific rules governing your grant?
- What are the eligibility criteria for participation in this program?
- What activities are allowable and disallowable?
- What costs are allowable and disallowable?
- Is travel authorized? Are there any limitations on out-of-state travel?
- Can the grant fund equipment? Are there any restrictions on equipment? Who owns the equipment?
- Are there any special guidelines to follow in procurement?

Achieving Project Goals and Outcomes

The initial grant proposal is the college's contract with the funding source. In the proposal, the application outlines what the college committed to doing in exchange for the money. For this reason, significant revisions in the direction of the project are, generally, unallowable without prior approval from the funding source. Changes in project scope include:

1) Changes in grant goals or objectives; and
2) Changes in grant outcomes.

If the Project Director and project team determine that the college cannot achieve grant goals as written; then, you must ask permission from the funding source to change the scope of work. However, prior to contacting the Project Monitory, the PD/PI should discuss these changes with their Dean / Administrator, Institutional Grants, and their assigned Grant Accountant.

In cooperation with the Institutional Grants Department, the PD/PI will then contact the Program Monitor / at the funding agency to determine the procedure for requesting changes in their scope of work for the grant. They will discuss the plausibility of getting approval for the change and any additional requirements that the PD/PI may have to complete in order for the change to be approved.

The Grant Team cannot make changes to the project work plan that alter the scope or outcomes of the project until the college receives official written approval from the source. Likewise, grant funds should not be obligated for outcomes that are not yet approved by the funding source.

Over time, it has become increasingly difficult to negotiate changes in the scope of work once the grant is awarded. Therefore, it is imperative that the PD/PI, with support from the project team and the Institutional Grants Office, can articulate the reasoning behind the change. It is insufficient to say that the objective is unattainable. If you do so, the Program Officer might very well say, “then, why was it written as such in the application? Your institution received funding based on the assumption that you could produce this outcome. If you cannot deliver on these objectives, then please return the money.”

As a new PD/PI, you might not have been involved in the writing of the initial grant application. You might have more expertise than the individuals who wrote the grant and identify some areas we can improve the scope or goals of the project to better serve the target population. For this reason, it is important that you review the current goals, objectives, and outcomes and work with the Grant Administrator and/or the Institutional Grants Department as soon as you have concerns that a goal or outcome may not be achievable.

Changes in Activities and/or Budget Distribution

Although changes in grant goals and outcomes are, in general, not allowable without prior approval, most grants will allow you to change the manner / methods in which you will achieve your deliverables. Changes in activities, and subsequent changes in budget, are in general, allowable if these changes do not alter the overall scope of the grant. There are exceptions to this rule, so it is important to know the specific limitations of your grant. For example, some grants will not allow changes in the budget for anything **above 10% of a line item**. Others allow **up to 10% of the entire budget** to be changed without approval, make sure you know what an allowable change for your grant is.

Notable Exceptions that Apply to Many Grants

1) In most cases, it is unallowable to expend funds in a budget category / line item, such as supplies, travel, equipment, or salaries, which was not allocated funding in the initial grant budget. In other words, if the approved budget has $0 in the travel line item, you may not be able to shift funding from another line item to support travel without prior approval. If you want to expend money in an unfunded category, the PD/PI should review the grant agreement and / or contact the funding source for prior approval if necessary.
    a. NOTE: *When considering this change, the budget that matters is the budget submitted to the funding source, what is known as the negotiated or grant budget. Changes to the internal College operating budget, or Banner Budget, is dependent upon changes to the negotiated / grant budget.*
2) For grant-funded projects that provide training stipends and/or other forms of direct assistance to project participants it is, generally, not allowable to move money from this category to another category without prior approval.
3) Equipment is an area that many program officers scrutinize more closely than other expenses, due to the fact it is tangible property often usable beyond the end of the grant period. As such, if the need arises to purchase a piece of equipment more than or equal to $5,000, the PD / PI may need to request prior approval from the Project Monitor. Especially if that equipment was not initially budgeted in the grant application. Additionally, changes to the proposed equipment purchases may need to be pre-approved by the Project Officer / Monitor.
    a. Proposed changes to the budget as illustrated by this example: if the initial grant application indicated that the College would buy a 3D printer and then decided to purchase a high-end camera instead. This type of change which changes the deliverables / objectives may need to be approved by the monitor.
    b. Be sure to always review the grant agreement before calling the program officer. When meeting with the monitor justify why you feel this change is necessary to achieve your grant objectives / goals.
4) The Contractual line item is another area that program officers monitor closely. Prior to moving additional funds to the contractual line item, the PD/PI must request prior approval from the Program Officer / Monitor. This action is crucial due to the fact that many funding sources have stipulations / guidelines in the grant agreement which require that it be reported if a grantee is going to work with a subcontractor to carry out one or more activities in the grant. In those cases, the funding source must approve that entity.

a. NOTE: Creating a subcontractor agreement to carry out a grant objective is different than hiring a consultant to perform a service, like a data analyst compiling a report.

Much of the initial correspondence with the Program Officer can be made via email. However, if the Program Officer indicates that a formal request must be made to the funding source, this request must come in writing. You might need to create PDF or Word document which outlines the changes requested, proposed plan / budget, and have your Grant Administrator sign the document as a part of the formal request process to the funding agency.

Setting up your budget

Negotiated / Grant Budget vs. Banner Budget

A grant budget is submitted to the funding agency through the grant application process. A compliment to a Grant budget is the budget justification, which outlines what made up the budget line items. The grant budget, which was submitted to the funder, might need to be adjusted depending on the amount awarded in the GAN / NOA. After the goals and objectives are outlined in the application, then costs are associated with these activities which are spent along what are known as 'line items.' Those line items are translated into a banner budget as specific activities and costs are coded to the appropriate account code within the assigned FOAP. Each year you will have to submit a Banner Budget, which is the institutional system utilized by the college for spending and ensure that the budget is in alignment with what we negotiated with the funding agency.

Line Item	Grant / Negotiated Budget	Banner Budget
Different types of expenses that can be incurred	• Broad categories • Performance year may or may not align with the fiscal year (ex: October 1 – September 30) • Often total award is the sum of multiyear planning budget	• Specific account spending - FOAP • Payments are spent by fiscal year (July 1 – June 30) • Includes one year of the multi-year budget / total allocation

Below is a table which compares some of the things you might need to budget for to meet your objectives and goals during the performance period and follows the fiscal guidelines of the funder. There are some key differences between the two types of budgets like the time frame of the performance budget and the banner budget and the limitations you might have in spending / when you should be spent down by. Please refer to your Grant Award Notification / Notice of Award for the performance period established in the contract to see if there is some overlap between the fiscal year period. Planning ahead can be important to ensure that spending aligns with the grant performance and some additional actions might need to be taken to ensure funds carry forward within the Banner System if the grant budget spans multiple fiscal years.

Budget Overview

Line Item	Grant / Negotiated Budget	Banner Budget
1000 - Personnel	Instructional Salaries	Full-time faculty Part-time faculty CSEA - Instructional Stipends
2000 - Personnel	Non-Instructional Salaries	CSEA - Instructional Student Workers Administration / Management
3000 – Fringe Benefits	Employee Benefits	Health & Wellness STRS / PERS Social Security Medicare Unemployment Insurance Workers Comp
4000 - Travel	Travel	Airfare / Car Rental / Mileage Per Diem Hotel Conference fees
5000 - Supplies	Supplies and Materials	Desks, chairs, paper, pens, etc. **DEFINED:** consumables used in performance of the project less than $5,000.
6000 - Equipment	Equipment	Software, equipment, technology or tools needed to meet grant objective **DEFINED:** federal government defines permanent equipment as property with a purchase price of $5000 or more and a useful life of two or more years
7000 - Other	Other	Direct student aid Professional Development
7000 - Other	Construction / Capital Outlay	New building, demolishing, or upgrades. Spent to maintain, upgrade, acquire, or repair capital assets.
7000 - Other	Contractual	Subcontractors Independent Contractors Performance Evaluator / Consultant
Indirect	Depends on what is allowable for specific grants. Ex: Chancelor's Office is 4% Negotiated federal 45% indirect cost rate	Depends on what was allowed in the grant.

Often the budget categories used to create the grant budget are broad and can vary between federal, state and local funding agencies. Some of these broad categories may refer to different account codes here on campus. When we change personnel costs, for example in our Banner Budget, we often used different accounts to code depending on if the person is considered faculty, administrative or classified staff. Changes to the Banner Budget might not require a budget modification request to change the grant / negotiated budget because spending is within the same line item. Changes to the personnel line are important however because as personnel changes are made those costs change the cost of employee benefits. Make sure you check in with your grant accountant about projected costs that have changed, especially early in the performance period to ensure you do not exceed the award amount.

Depending on your grant, you might need to request a change for 10% of spending within line item or in order to transfer funds to another line item. Some funders even allow up to 10% of your performance budget to be modified without approval, but it is crucial to read the GAN / NOA and attachments to see what budget restrictions there are to budget modifications. If you are unsure and have checked in with the Institutional Grants Office and Business Services, then contacting your project monitor to ensure you understand the guidelines would be appropriate. Each project monitor will clearly state what their restrictions are and the process that might be required, like a formal written request or email outlining the reason for the change.

Make sure you monitor your spending monthly to ensure spending is on track and if it is not, the Institutional Grant Office can help you develop a plan to address the situation. The earlier you spot a problem, the easier it is to make adjustments to our spending plan in order to avoid large changes to the negotiated / grant budget.

Evaluating the Project

Many grants require that the college provide data on both output, the specific activity, and outcome, the overall impact, as part of a comprehensive evaluation plan. Therefore, the PD/PI will need to develop a plan for collecting, assessing, and reporting this information as the project team begins to implement the grant. Once these activities or events have passed, it is very difficult to gather data needed for evaluation efforts.

If you are managing a grant that requires an external evaluator and the evaluator is not identified in the grant application, the PD/PI will need to work with their Dean / Grant Administrator, Institutional Effectiveness, and / or the Institutional Grants Office to identify this person. One of the best resources for finding qualified evaluators locally, regionally, or nationally is the Evaluation Center at Western Michigan University (http://ec.wmich.edu/evaldir/index.html). You will also want to get references from other project directors on campus who have worked with the college before in managing evaluation data for federal / state grants.

If you have any concerns regarding the grant's evaluation plan, you should contact the Institutional Grants Department and/or the Office of Institutional Effectiveness as soon as possible.

Once an evaluator is identified, then you will work with the Business Services to complete the contracting process. In most cases, evaluators will be hired as Independent Consultants and their responsibilities will be outlined in an independent contractor / consultant agreement (ICA). To hire an Independent Consultant, the PD/PI should complete the following steps:

1) Discuss the evaluation plan with the consultant and agree to outcomes, activities, and cost;
2) Submit a Board of Trustees agenda item to your division Vice President following the procedure set by the division – the agenda item should include the consultant's legal name, the dates of the contract, the cost of service, and a brief overview of the contract;
3) Complete the Independent Consultant Agreement;
4) Send the required paperwork for contract and payment including
    a. Independent Consultant Agreement,
    b. a federal W-9 tax form, and
    c. a state 590 tax form
    d. All these require a signature from the contractor and can be collected via email.
5) Route the signed agreement and forms for signature by the
    a. PD/PI or Grant Administrator
    b. Associate Superintendent/Vice President of Finance and Administration and
    c. Superintendent/President
6) Submit the signed Independent Contractor Agreement and attachments to Business Services for review.
7) Complete a purchase requisition form for the consultant; and
8) Submit the purchase requisition, the signed Independent Consultant Agreement, and the signed tax forms to Vice President of Finance and Administration. The Vice President's office will then submit all signed materials to Purchasing Office for processing.

NOTE: It is essential that the Purchasing Office receives these materials and prepares a purchase order before the consultant begins work. The Purchasing Office will not process a Purchase Order after the fact. As such, if time is of the essence, you may want to walk the purchase requisition from the Vice President's office to the Purchasing Office.

Additional information regarding contracting with a consultant can be found on the Purchasing Office website at:

https://portal.hancockcollege.edu/EmployeeResources/businessservices/Documents/Purchasing%20and%20Contract%20Guide.pdf#search=Purchasing%20Office
However, depending on the grant funding source, other regulations may apply, and as such you should carefully read your award agreement.

If your grant does not specify that the college will hire an external consultant, you will need to conduct an internal evaluation and report the results to the funding source as requested by the funder.

This might mean that you need to track data through ARGOS or other internal sources. It is important that you plan how you will track the data for your grant. If you have never done, this, please schedule time to meet with the Institutional

Reporting and Evaluation of the Grant

One of the most important tasks of the Grant Manager is reporting to internal and external constituents the successes and challenges experienced during the project period. Especially the successes and challenges experienced in meeting its goals and objectives. In the evaluation process areas of improvement will become clearer and future programs can build on the successes identified. Reporting is one way the funder evaluates how successful the program has been at serving the stated need for students on campus. Each grant has different reporting requirements so be sure to check the outlined reporting requirements in the award letter, the attached contract, and / or in follow-up correspondence. *It is the Grant Manager's responsibility to complete and submit these reports on time.*

The Institutional Grants Office is available to assist with the completion of these reports and will edit reports upon request. Some reports need to be signed by the Dean / Grant Administrator, while others require approval by the President / Superintendent. So, the PD / PI should complete the reports two or three days prior to the deadline date to allow time for executive review and approval.

Many mid-year, year-end, and final reports require a financial report as well as a narrative report. The Grant Accountant will help the PD / PI with the required fiscal reports. After completing these reports, the PD / PI should email an electronic copy to both their Grant Analyst and Grant Accountant. Both your Analyst and Accountant will retain a copy for their respective department records.

Communicating Grant Successes

In addition to informing the funding source of the successes and challenges of the grant-funded project, the PD /PI should work in partnership with the Public Affairs Office to develop a plan to share with the campus community and partner organizations in the county who have worked on / participated in grant activities. . Effective methods of disseminating grant evaluation information include:

- AHC website;
- Project specific social media and email lists;
- Internal City of Santa Maria newsletter;
- Campus-wide announcements through the Office of Public Affairs and Communications;
- Project advisory boards or steering committees; and
- Articles in the local newspaper.

For campus-wide project announcements and all activities involving the local media, please contact AHC's Office of Public Affairs and Communications. They will need to approve the design and wording on posters/flyers, as well as communicate and coordinate with local media and social media outlets.

Dean / Administrator Responsibilities

Administration

- Supervise PD / PI and secure office space. Please ensure that the Institutional Grants Office is made aware of these offices spaces to note in Grant Summaries.
- Ensure project is integrated with other department activities as appropriate.
- Oversee the renovation or modification of workspace to implement grant activities as necessary and appropriate.
- Participate in community partnership activities and coordinate with Business Services to oversee sub-recipient agreements, if applicable.
- Mitigate any conflict of interest that are identified and work to ensure there are no conflict of interest in the future.
- Ensure that human subjects are protected through compliance with safety regulations.
- Adhere to copyright and licensing agreements.
- Require that all health and safety regulations and procedures are adhered to
- Identify authorized signatory in accordance with District policy in the absence of the PD / PI.
- Work with Institutional Grants to troubleshoot issues, concerns, and coordinate with the funding agency
- Keep an equipment inventory with the assistance of Business Services

Finance/Budget

- Work closely with Grant Accountants for Financial Reporting

Reporting

- Be knowledgeable of reporting deadlines and oversee data collection to complete reports on time.
- Work alongside the PD / PI to prepare continuation funding documents, program / data reports, and close-out reports.

Grant Analyst Responsibilities

The Institutional Grants Office oversees all pre- and post-award grant activity at Allan Hancock College and is directly responsible for grant writing, proposal development and application submission, unless otherwise discussed. The Grant Analysts provide technical assistance to PD / PIs throughout the life of the grant to ensure regulatory compliance. As all grants have an expiration date, the Institutional Grants Team will assist with the development of continuation and / or new funding applications as needed.

Pre-Award	• Submit Grant Applications • Ensure the grants applied for align with Allan Hancock College's Mission, Vision, and Educational Master Plan. • *Assisting* to set up budget, write job descriptions, and initiate MOUs and/or sub-recipient agreements • Present **NEW** grant project proposals through the Shared Governance Process • Obtain signatures on legal documents
Pre / Post Award	• Serve as liaison with the funding agency • Maintain a project master file for audit purposes • Meet with project staff to resolve issues, review regulations, and answer questions • Work with staff on grant renewals and submissions

Post-Award	• Present **NEW** grant AWARD through the Shared Governance Process • Help Project Director to adhere to compliance guidelines with grant objectives, allowable spending, and vision. • Support the preparation and submission of progress reports to agencies by reviewing reports, obtaining signatures, and sending documentation to funding agencies through grantee portal or mail, as is necessary • Assist with budget revisions, creation of Banner Budget and requests for modifying the terms of award • Submitting no-cost extensions if needed • Assisting in the grant close out process

Transparency and teamwork are critical elements of a successful grant proposal. Therefore, the Institutional Grants department sets up a **Microsoft Team** group for each grant proposal, and we ensure that everyone who is part of that grant is added to the group. This 'team' is a repository for grant information and is a critical part of the process. When you work on a grant proposal element (Narrative, budget etc.), please save the document with the same name but add your initials and the date (i.e. DB 09.12.22)

We are working to improve the utilization of Microsoft Teams as a supportive tool for Post Award grant Management. Over the next year we will be working in partnership with several Project Directors to develop a new protocol to improve reporting / collaboration with Business Services and facilitate a collaborative space for problem resolution.

Grant Accountant Responsibilities

- Upon receiving a grant Award, accountants set-up the FOAP/the account for the funding
- Establishing an account with the funding agency
- After receiving the Banner Budget template from the PD / PI, the Grant Accountant will input the project budget into the district financial system
- Assist the PD / PI and grant program staff with financial issues
- Prepare and submit financial reports to the funding agency
- Maintain official financial reports and other documents for audit purposes
- Drawing down funds from the funding agency and keeping PD / PI informed of budget deadlines
- Track spending to evaluate spending trajectory by evaluating thinning or bulging balances
- Verify the availability of funds for expenditure requests and ensuring requests are in compliance with grant terms and conditions
- Process journal entries, budget transfers, expenditure transfers, and creating reports in financial system
- After the PD / PI admin office enters an ITS work order for financial system access, the Business Services Team will set up access to the financial system for the PD and provide technical assistance as needed
- Providing financial information and reports to auditors and other agencies

Other Departments Responsibilities

Business Services:

Staff	Role	Ext	Email
Laura Becker	Director	3268	laura.becker@hancockcollege.edu
Abraham Gonzalez	Grant Accountant	3842	abraham.gonzalez@hancockcollege.edu
Jamie Zamudio	Grant Accountant	3341	jamie.zamudio@hancockcollege.edu

- Process purchase requisitions, vendor requests, travel requests and claims, subcontracts, consultant agreements, payroll, and other expenditure payments
- Conduct and coordinate competitive bidding processes
- Review MOU's and sub-recipient agreements, including verifying the recipient is not on the debarment list, and submit to proper signatory for execution

Human Resources:

Staff	Role	Ext	Email
Ruben Ramirez	Director	3936	rubenc.ramirez@hancockcollege.edu
Janeal Blue	Assistant Director	3976	janeal.blue@hancockcollege.edu

- Assist with the classification of personnel
- Answer questions and guide job title and description and wage to reflect all contracts in accordance with AHC and labor regulations
- Coordinate the recruitment and hiring of project personnel in accordance with college policies

Public Affairs:

Staff	Role	Ext	Email
Lauren Milbourne	Director	3779	lauren.milbourne@hancockcollege.edu

- Prepare and disseminate news releases to the media
- Approve statements pertaining to the college made on project website, brochures, newsletters, etc.
- Participate in developing and printing program brochures and publications
- Provide guidance and direction in meeting with and responding to the media and/or inquiries from the public

Essential Parts of a Grant:

Pre-Award

First, to gain permission to pursue the grant contact the Director, LeeAnne McNulty. As the grant application is being written / drafted, Donna Beal will be working with you closely to help answer questions in the application and strengthen the proposal.

Staff	*Role*	*Ext*	*Email*
LeeAnne McNulty, Ed.D	Director	3450	leeanne.mcnulty@hancockcollege.edu
Donna K Beal, MPH, MCHES	Grant Analyst II	3785	donna.beal@hancockcollege.edu

Grant Narrative:

The description of grant activities and objectives as well as the needs met by the grant.

Target Audience:

The group / individuals who most benefit from the activities / interventions outlined in the grant proposal.

Logic Model:

A table of grant objectives, activities, short term / long term outcomes, and the person(s) responsible for making sure those activities happen.

The Budget:

In this part of the grant process, you will prepare a budget outlining the estimated costs that will be incurred during the lifetime of the grant whether this is a one-year award or multi-year. Each year will need to include the functional categories listed below, but some funders might have additional line items they would like included in the budget proposal. Often the budget will include a budget justification, describing the need for each activity / cost outlined in the budget and a description of changes in estimates for multi-year budgets.

The proposal is an estimate, and a funder may or may not award the full funding request, once you have the notice of award with your total funding award it is important to review if there need to be changes made to the grant / negotiated budget.

Some grants require **cost-sharing or matching funds** to be outlined in the budget as well to ensure there is institutional support for these projects.

Indirect Costs (IDC): Also known as F&A (Facilities & Administration) costs These are costs that cannot be directly charged to the grant, i.e. utilities, maintenance.

- AHC's federally negotiated rate is 45% of salaries and wages.

    - Rate subject to renegotiation on a periodic basis
- Most funders we work with cap the IDC rate between **4-12%** of direct costs Direct Costs (expenditure categories)
- Based on California Budget and Accounting Manual

Functional Categories	Object Codes
Salaries (faculty, administration, staff, student workers)	100000, 200000
Employee Benefits (payroll taxes & health benefits)	300000
Supplies & Materials	400000
Other (includes travel, consultants, subscriptions)	500000
Capital Outlay (includes equipment)	600000
Other Outgo (Indirect Costs)	700000

Post Award

Now that your proposal has been funded, Donna Beal will help to facilitate a smooth transition from Pre-Award to Post-Award. Donna will continue to be a resource, but Mackenzie Greeley will be working to help you stay compliant with institutional and funder regulations. The team will work to set up collaborative meetings to address areas of concern and prepare for both programmatic and fiscal reporting required by the funder.

Staff	*Role*	*Ext*	*Email*
Mackenzie Greeley	Grant Analyst I	3369	mackenzi.greeley1@hancockcollege.edu

Notice of Award (NOA) / Grant Award Notification (GAN):

This is the official grant award letter that confirms the funding award amount, performance period, and reporting expectations.

Reporting Procedures:

Reporting procedures are different for every grant. These need to be identified for each grant award. The dates, documents, destination for reporting (portal vs mail), and a list of information / data needed should be outlined in your Reporting Information summary. All this need to not only be noted, but reminders in your calendar need to be set up to implement the grant. Planning for the reporting on a grant begins the first day of the grant by placing the organizational systems in place to capture the data and information to support the documentation of actions leading to desired outcomes.

Setting up your Banner Budget

Training in the Banner system will be necessary for setting up your budget and purchasing. Please make an appointment with Business Services. As you are preparing your Banner Budget, it might take some time to translate your grant budget to the college's financial system. The Institutional Grants team will be there to support you to learn how to use the AHC Budget Template to upload into Banner. By the end of this process, your grant budget should be equal to your Banner Budget. Remember that only one performance year will be included in the Banner account and these performance years may or may not coincide with the fiscal year.

Purchase Requisitions:

Before creating a purchase requisition, review the RFA / RFP / NoFo Guidelines for special requirements and your grant's **Allowable / Non-allowable** list in your grant summary. In some cases, your funder may offer a special training to help you understand the allowable/non-allowable expense. If this happens, please share these details from the training with the Institutional Grants Office so that we can include them in your Grant Summary.

Ensure you understand the policies related to purchasing. A good rule to follow is, whichever policy is more restrictive on purchasing (AHC's or the granting agency) is the one that applies.

- Step 1: Check to see if where you are purchasing from is already a known vendor in our AHC system
- Step 2: Check to see if vendor is on a debarment list (takes 3 minutes on SAM.gov) If the vendor has an active exclusion, they cannot provide services or products being paid for from the college
- Step 3: Attach report to all purchase requisitions Date on report must match the date of the purchase requisition
- Step 4: Attach 3 quotes to PR for all purchases over $5,000

How to Avoid Unnecessary Stress, Hardship, and Audit Findings

The following list of suggestions is based on "real experiences." It is included in this handbook for two reasons: 1) to prevent similar mishaps and 2) to provide guidelines for successful grant management. Questions regarding items on the list should be directed to the Institutional Grants Department.

1) **Carefully read all correspondence from the funding source**; pay attention to due dates and prioritize grant tasks.
2) **Don't lobby, don't politic, don't entertain, and don't support religious activities**: Each of these activities is strictly prohibited by nearly all funding sources. This includes using staff time for any of these activities. To illustrate this point, support letters for legislation cannot come from project staff. Another example, cookies for receptions not related to project activities are not allowable. You must use private donations and/or college operational funds only.
3) **Cultivate a "sixth sense" about improprieties**: If any planned action causes hesitation or even a second thought, check. In this case, consultation and/or permission is the best route. Forgiveness can be extremely expensive – personally, professionally, and financially.
4) **Ask questions**: As a new PD/PI, and especially those newcomers to the College, the sheer volume of information can be daunting. The grant project is important and smooth implementation is important. This handbook provides a beginning. The people and places that form the grant network are there to help.
5) **Give credit to the funding agency**: Many funding sources want grantees to acknowledge their contribution in all public correspondence, particularly printed matter, such as news releases, brochures, or major products. As such, a credit line should appear on these items listing the funding source by its full name. If verbal presentations are given to community groups, the donor should receive credit there as well. Some donors, particularly private donors, will not want to be publicly credited. As such it is important to read the terms of the award.

6) **Provide lead time**: Each grant project is one of many activities impacting the College's services. People work best when the impossible request is a rarity. Grants programs frequently deviate from routine college activities and/or timelines, therefore, it is essential that the PD/PI provides sufficient lead time to accommodate these requests. This is particularly true for activities that involve AHC's Purchasing and Human Resource offices. Planning ahead and adhering to timelines will help prevent challenging situations.
7) **Keep up with the budget:** The College received the grant award at the end of a competitive process involving other colleges with equally pressing needs. The grant is an investment by a public or private entity in the overall mission and vision of the funder. The College will be held accountable for its stewardship in using those funds. Managing the budget can be time-consuming, and internal resources at the College do not make it easy. As such, it may take longer than you expect to review the budget each month, but it is important to do that, so that you can catch mistakes before they become difficult to fix.
8) **Plan carefully for grant-related meetings**: If you are new to the College, utilize other members of the Grant Team, including the Grant Administrator, to negotiate difficult conversations and facilitate initial meetings. Make a written agenda available to participants prior to the meeting. Use effective group management techniques to keep the meeting on track and to use your time well. Follow up with meeting summaries and action items as necessary..
9) **Integrate the grant project into the college community**: In the grant application, the College made a strong connection between the grant project and the mission, vision, needs, and goals of the college. It was pursued and awarded with the understanding that it will provide essential assistance to students, faculty, programs, and the institution. As such, the PD/PI should work closely with the Grant Administrator to ensure that the project becomes part of the college community. Avoiding isolation / silos builds community-wide support for project goals and interest in grant outcomes. It can also help leverage other institutional resources. An advisory committee comprised of representatives from diverse areas of the college community can help foster integration and should be considered.
10) **Address problems before they become a crisis**: Any large project has the potential for going awry. Contact your Grant Administrator and the Institutional Grants Office when things begin to falter to identify early solutions. If a mistake has been made, seek guidance immediately.
11) **Keep the Grant Accountant informed**: Copy the Grant Accountant on all correspondence involving fiscal or budget issues. The Grant Accountant is a key member of the Grant Team.
12) **Do not purchase from or award contracts to relatives and friends**: There is significant leeway in grant implementation processes so that PD/PIs have the flexibility to manage their projects and achieve their goals. However, this leeway also gives the PD/PI significant room to make decisions free from scrutiny and input. It is important that the PD/PI sign any relevant "Disclosure of Substantial Interest" forms and identifies any potential conflicts of interests. This may include any community or workforce relationships,

including sitting on external boards of organizations that may be eligible to engage in grant activities via subcontracts, consultant agreements, and purchase orders.

13) **Be ethical.** The American Society for Public Administration created this Code of Ethics for those who are serving the public. This is just an example but remember that you are a reflection of the College and funding agency as a PD / PI. This is the ASPA workbook should you feel there is an ethical dilemma

14) **Supplement – don't supplant:** It is illegal to supplant on-going operational costs with federal funds, which could include personnel, construction, and furniture costs. To determine if funds would supplement or supplant, ask the following questions:

1. Would the service have been provided if federal dollars were not available?
   □ if yes, supplanting can be presumed.
2. Is the grantee required to provide the service under federal, state, or local law?
   □ if yes, supplanting can be presumed.
3. Did non-federal funds pay for this last year?
   □ if yes, supplanting can be presumed.

Tips for keeping out of hot water:

- ✓ Meet reporting deadlines!!! (Make Outlook calendar reminders and include Institutional Grant Analyst – Post Award)
- ✓ Always have a paper trail, this included electronic records
- ✓ Reflect the college in a positive manner
- ✓ Ask questions! Don’t lobby, entertain, or support religious and political activities
- ✓ Credit the funding agency
- ✓ Provide lead time and plan ahead
- ✓ Keep up with the budget and track your expenses
- ✓ Plan grant-related meetings carefully
- ✓ Integrate into the college
- ✓ Address problems before they become crises
- ✓ Keep the Institutional Grants Team informed
- ✓ Don’t purchase from relatives or friends
- ✓ Keep the larger goals in mind
- ✓ Thoroughly understand all grant documents
- ✓ Ask questions of the Institutional Grants team or Business Services team when you do not understand or are unsure about a specific action / activity

Again, congratulations on your new assignment!

Grants are a great opportunity to carry out activities that the College would otherwise not be able to do. While there are often many project requirements and tasks associated with grant implementation that can be tedious and stressful, grants also offer many opportunities for creativity and flexibility.

This handbook will answer many of the questions that you may have, but it is not universal / exhaustive of all possible scenarios. If at any time, you have questions or encounter a situation not covered in this handbook, please remember to contact the Institutional Grants Department or any of the other departments mentioned throughout this handbook as these questions arise.

We look forward to working with you on this project!

Appendix

i. Getting Started Checklist
ii. Allowable/non-allowable Checklist
iii. Grant Summary example
iv. Monthly Self-Assessment Checklist
v. Monthly Invoice Monitoring/Approval Checklist
vi. Grant Closure Checklist
vii. Subrecipient Monitoring Checklist (Internal use only)

Getting Started Checklist

- ☐ Read the grant application and Grant Award Notification (GAN)
- ☐ Identify the source of funding (private/public, federal/state/county/city), the grantee and all relevant policies, procedures, and compliance requirements
- ☐ Review grant goals, objectives, and outcomes and the evaluation plan
- ☐ Respond in a timely manner and/or as required to all follow-up requests by the funding source (as outlined in the Grant Award Agreement and/or subsequent communications)
- ☐ Establish grant FOAP (Business Services Director will do this)
- ☐ Identify and connect with your Grant Accountant
- ☐ Submit detailed budget through Banner to Grant Accountant
- ☐ Review personnel plan
- ☐ Initiate hiring process for all new positions (Division Vice Presidents initiate this process with Senior Staff based on input from grant leadership team)
- ☐ Identify faculty and/or other existing staff who will work on project
- ☐ Determine payment structure for all existing faculty/staff, if applicable
- ☐ Inform Program Office of key changes to grant plan after consultation with Grant Administrator and Institutional Grants Department
- ☐ Inform internal and external grant partners, as applicable
- ☐ Convene meeting of grant partners, if applicable
- ☐ Initiate Purchase Order process for collaborative partners – all subcontracts and consultant contracts follow AHC's Purchasing process and are approved by the Board of Trustees.
- ☐ Initiate the grant evaluation plan, including identification of the project evaluator, which may be internal or external; work with the Office of Institutional Research, as appropriate.

Adapted from Santa Monica College

Allowable/Non-allowable Checklist

Award restricts spending on (Check all that apply):

- ☐ Conferences
- ☐ Consultants, Professional Services or Pre vs Post Award
- ☐ Direct funding to students, hiring students, hiring employees to oversee the grant
- ☐ Equipment
- ☐ Executive Compensation
- ☐ Facilities and Administrative Costs
- ☐ Food (at conference and other restrictions)
- ☐ Fringe Benefits
- ☐ Indirect Cost Allocation
- ☐ Specific Activities (Please explain)
- ☐ Subawards
- ☐ Supplies
- ☐ Travel
- ☐ Other (Please Specify)

Award adds additional requirements for (Check all that apply):

- ☐ Disclosures
- ☐ Subrecipient Monitoring
- ☐ Matching or Cost-Share
- ☐ Contract Oversight
- ☐ Inventory of Computing Devices and other Electronics
- ☐ Public Policy Requirements (like texting & driving, DEI Statements)
- ☐ Outside Evaluator

Please share this information with the Institutional Grants Department

Adapted from MyFedTrainer.com

Grant Summary - Explained

Institutional Grants Department

ALLAN HANCOCK COLLEGE
Start here. Go anywhere.

Project Title	All associated names with project. Grant proposal title and commonly used names which might be used for project lead / business services
Project Lead	Responsible party for program implementation and reporting
AHC Department	What department is this housed in and run through?
Reporting Info	General overview of where do we submit reports? When do these need to be submitted and who submits them? More details can be found in the Reporting Information form.

Funder	Ex: US Department of Education (DOE), CA Department of Education (CA DOE), Santa Barbara County Education Office (SBCEO) It is important to note that sometimes you can be a sub awardee within a larger grant award. For example, the National Science Foundation is a federal agency who might award several colleges through a Primary Awardee (ex: CSU Cal Poly) and we would report to Cal Poly and necessarily NSF. All are government agencies but have different rules / regulations for grant monitoring. Be sure you know who you are reporting to!
Website	Look for official guidance or general information about the grant prior to get acquainted with the overall mission of the grantor in spending these funds.
Type	Federal, State, County or Private funding agency. Many times, federal / state agencies have similar guidelines so this can be useful if you have projects that are funded through the same type of grantor.
Contact	This is your project monitor who works for the agency who awards the grant. If you have questions about your grant or changes that need to be made, you would communicate this to the project monitor.
Award Letter	Can be referred to as a: • GAN – Grant Award Number • FAIN - Federal Award Identification Number • NOA - Notice of Award This document is an official confirmation notifying us that the proposal has been funded. In this letter there can be fiscal / programmatic reporting information, fund restrictions, project period, and any obligations which we are responsible for in completing during the grant project.

Funding Amount	Total award amount. Can list more details with an award for each year during the project period.
Project Period	The time in which the project is active as defined by the grantor / project monitor
FOAP	Banner reference numbers for spending on campus
Grant Accountant	Responsible for fiscal reporting on this grant

Project Summary	Overview of the goals for the project during the project period
Target Audience	Who are we serving on campus?
Deliverables	Specific and Measurable goals which should be reported back to our funding agency.
Partnerships	Internal partnerships at AHC External partnerships in the county or state who are collaborating on grant activities and coordinating action together.
Education Master Plan Alignment	Specific to AHC Educational Master Plan and alignment to college goals
Evaluation	Continuous monitoring and improvement throughout the process of grant implementation. What are we collecting in terms of data and how to we use this to make informed decisions for future grant activities / projects? Is there money for an external / third party evaluator?
Staff Locations	Where are key staff located? Can include specialists / project coordinator or other lead partnerships on campus.

Budget Summary

Budget Category	Jan 1, 2022-June 30, 2022	July 1, 2022-June 30, 2023	July 1, 2023-Dec31, 2023
Personnel			
Fringe Benefits			
Travel			
Equipment			
Supplies			
Contractual			
Other	$ -		
TOTAL DIRECT COSTS	**$ -**	**$ -**	**$ -**
INDIRECT COST RATE @ 45% salaries			
TOTAL COSTS	**$ -**	**$ -**	**$ -**

The budget above should be based on the Grant Budget and each year's allocation. Some of these lines items correlate to our banner budget but there can be a gap between Business Services FY and the Grant's performance period – make sure you plan for carryforward (Banner Budget) or rollover (adjustment to monitor) if you have remaining funds if a multi-year grant.

Allowable/Eligible Expenses

Specific to EACH grant / agency so make sure to check in. These are general guidelines publicly available.

i. **FEDERAL –** Office of Management and Budget's (OMB)
   a. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards - HERE
      i. Subpart D: Post Federal Award Requirements - HERE
         - Revision of Budget and Program Plans (2 CFR 200.308)

- Performance & Fiscal Monitoring / Reporting (2 CFR 200.328 & 2 CFR 200.329)
- Subrecipient and Contractor Determination (2 CFR 200.331)

ii. Subpart E: Cost Principles **-** HERE

- Factors affecting allowability of costs (2 CFR 200.403)
- Prior written approval (2 CFR 200.407)
- Direct and Indirect Costs (2 CFR 200.412, 2 CFR 200.413, & 2 CFR 200.414)

ii. **STATE –** Office of Management and Budget's (OMB)

a. Grant Rules & Regulations - HERE

i. Subpart D:

iii. **CHANCELOR'S OFFICE (CCCCO) –** Office of Management and Budget's (OMB)

a. Appendix C: Guidelines, Definitions and Allowable Expenditures - HERE

i. Allowability of General Costs Table (pg 11-12)

ii. Clarification for activities that are both allowable and nonallowable (pg 12-15)

Non Allowable/Eligible Expenses

Monthly Project Assessment Checklist

- ☐ Are you tracking deliverables to assess progress on grant objectives?
- ☐ Are your spending on the same timeline as described in the proposal?
- ☐ Have you added reporting due dates to your calendar and invited the Institutional Grants Post Award team to these events?
- ☐ Are budget modifications needed? If so, do you know the rules & procedures to request a budget modification?
- ☐ Are project modifications needed? If so, do you know the rules & procedures to request a budget modification?
- ☐ Are you working with Institutional Effectiveness for the institutional Data needed?
- ☐ Do you clearly understand Allowable costs and other spending rules?
- ☐ Are you thinking about project sustainability? If so, what is your plan, who needs to be involved, who is responsible for which part of the plan, and what is the timeline?

Monthly Invoice Monitoring/Approval Checklist

- ☐ Review the general demographic information on the invoice. Ensure key business information is consistent and correct, such as: PI name, project number, purchase order number, and Institution name.
- ☐ Ensure the invoice is sequential (i.e. if the invoice is for April, confirm there is an invoice for March). Ensure the period covered by the invoice is within the period of performance.
- ☐ The subrecipient’s institutional official signature with a certification statement must be on all invoices. For an example of an acceptable Certification statement please see the Subrecipient Monitoring Guide and Resources.
- ☐ Ensure the cumulative expenses do not exceed the total approved sub agreement budget.
- ☐ Ensure the invoice in front of you totals correctly, that the expenses are allowable per the sub agreement and the sub agreement budget. Remember the sponsored award requirements and budget restrictions flow down to the subrecipient including the Fly America Act.
- ☐ Compare the cumulative totals for each line on the invoices to the last approved invoice you received. If something does not appear correct, ask the subrecipient for additional information and/or back up documentation on specific line items.
- ☐ Ensure the subrecipient’s Facilities & Administration (F&A) costs are calculated correctly with the correct and agreed upon rate for the subrecipient.
- ☐ Ensure the rate of spending (burn rate) is consistent with the timeline of the project. Look for indicators of over or under spending on the project and discuss with the PI prior to approval of the invoice.
- ☐ Work with the Project Director or Principal Investigator (PI) to ensure the expenses in the invoice are consistent with the statement of work appended to the sub agreement. The expenses should agree with the work completed. Confirm that the invoice date complies with the invoicing requirement in the sub agreement
- ☐ Obtain appointed designee’s signature approval if there is a conflict of interest concern/memorandum of understanding in place with the PI and subrecipient.
- ☐ For international subrecipients, always require that invoices and award document amounts are in US Dollars, and that the conversion rate to be used is agreed-upon in writing.
- ☐ If it is the final invoice, ensure it is marked “Final”

Adapted from Colorado State University

Grant Closeout Checklist

The post award team will work with all departments involved to complete this form and ensure a smooth closeout process.

Project Director/Principal Investigator Information

Name	Funding Agency	Award End Date

Award Number	FOAP

Project Title

Closeout Checklist

Schedule a meeting with the PD/PI 60 days prior to completion of Award

Expenses	Yes	No	N/A
Review expenditures for allowability.	☐	☐	☐
Confirm all efforts is appropriate and certified.	☐	☐	☐
Identify all outstanding invoices.	☐	☐	☐
Confirm all expenses have posted.	☐	☐	☐
Verify that all encumbrances have cleared.	☐	☐	☐
Ensure all journal entries have been completed and processed.	☐	☐	☐
Sub-recipients' final invoices have been paid.	☐	☐	☐

Record Changes	Yes	No	N/A
Close or change Purchase Orders.	☐	☐	☐
Inform HR of account termination, change PAF (Laura?)	☐	☐	☐
Update budget status to "closed."	☐	☐	☐
Remove budget from Banner accounting code options.	☐	☐	☐
Log file as closed in Record Retention files.	☐	☐	☐
Update Active CAS Grants file to closed status.	☐	☐	☐

Reporting	Yes	No	N/A
All Technical Reporting Requirements have been met (PD/PI)	☐	☐	☐
All Financial Reporting Requirements have been met (BS)	☐	☐	☐
Ensure cost-sharing commitments are met.	☐	☐	☐

Closeout prepared by:		**Date:**	

Adapted from Lewis & Clark College

Subrecipient Monitoring Checklist

Project Title:	
Prime Sponsor:	**Subrecipient:**
Award #	Award #

A subrecipient is a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal award. As the prime recipient, the pass-through entity is ultimately responsible for the subrecipient's performance and compliance with federal and state regulations and requirements. As a consequence, the pass-through entity must monitor the activities of the subrecipient.

SUBRECIPIENT INFORMATION:	YES	NO	N/A
Is there a written Subaward document with the agency?	☐	☐	☐
Date of subaward:			
Does the Subaward document describe the type of work or product that will be performed or delivered by the subrecipient?	☐	☐	☐
If no, explain:			
Does the Subaward document specify a deadline for each major service or product identified in the subaward?	☐	☐	☐
If no, explain:			
Does the Subaward document contain a detail budget to compare budgeted costs with actual costs?	☐	☐	☐
If no, explain:			

SUBRECIPIENT MONITORING

Post Review Activities:	YES	NO	N/A
Do monitoring reports document areas monitored, conclusions reached, and necessary corrective action (s)?	☐	☐	☐
Is sufficient time given to subrecipients to respond to recommendations?	☐	☐	☐
Are monitoring results communicated on a timely basis to subrecipients?	☐	☐	☐
Do results include expected corrective actions and dates for resolution?	☐	☐	☐

Financial Management System:			
What type of financial management system does the subrecipient utilize?			
How are Federal funds identified and tracked in the accounting system?			
	YES	NO	N/A
Are sources of non-Federal funds identified and tracked separately in the accounting system?	☐	☐	☐
Does the subrecipient use a Chart of Accounts and Accounting Manual?	☐	☐	☐
Does the accounting manual describe the criteria for an obligation?	☐	☐	☐
Are accounting records supported by source documentation?	☐	☐	☐
Do supporting documents accompany checks when they are submitted for signature?	☐	☐	☐
Are supporting documents canceled to prevent reuse?	☐	☐	☐
Are invoices or vouchers approved in advance by authorized officials?	☐	☐	☐
Are the requests for reimbursement from the pass-through entity based on supporting documentation from the accounting system?	☐	☐	☐
What is the process for paying project invoices?			
How is the amount of award funds to draw down determined?			
Record Retention & Access:	YES	NO	N/A
At a minimum, are the subrecipient's record retention practices in compliance with the federal requirements?	☐	☐	☐
Do the entity's policies meet or exceed the Federal retention requirements?	☐	☐	☐
Has the subrecipient retained all records related to pending litigations, claims negotiations, audits or other actions involving records beyond the regular record retention requirements?	☐	☐	☐

Audit Requirements:	YES	NO	N/A
Is the subrecipient required to obtain an audit under Subpart F for its most recently completed fiscal year?	☐	☐	☐
If yes, did the subrecipient submit the required audit report?	☐	☐	☐
Did the audit report contain any findings or questioned costs?	☐	☐	☐
If yes, has the subrecipient assigned someone the responsibility for resolving the findings or questioned costs?	☐	☐	☐
Did the subrecipient submit a timely response to the audit, including a plan for correcting any conditions reported in sustained findings?	☐	☐	☐
Miscellaneous:	YES	NO	N/A
If program income will be generated by the subrecipient, have provisions been made to ensure that it is used in accordance with federal agency rules?	☐	☐	☐
Was technical assistance/training provided to the subrecipients during the project period?	☐	☐	☐
Are financial and progress reports submitted timely by the subrecipient?	☐	☐	☐
How is the amount to be charged to the award for an employee's salary and fringe benefit cost, including those employees whose hours may be allocated to more than one cost center, determined?			
Does the system provide for prompt and timely recording and reporting of all financial transactions?	☐	☐	☐
Policy and Procedures:	YES	NO	N/A
Does the subrecipient have written policy and procedures to adequately administer Federal grant programs (Travel, Procurement, etc.)?	☐	☐	☐
Does the subrecipient have a written conflict of interest policy for their employees?	☐	☐	☐
Are there sufficient internal controls in place to protect against waste, fraud and abuse of Federal funds (segregation of duties, etc.)?	☐	☐	☐
Does the organization use the same policy and procedures for accounting and expending Federal funds as it does for other agency funds?	☐	☐	☐
What procedures does the subrecipient use to identify and account for federal property purchased with grant funds?			

Does the subrecipient have adequate safeguards for preventing loss, damage, or theft of property held (inventory control, etc.)?

Cash Management:	YES	NO	N/A
Is the cash receipts function performed by someone other than the person who is responsible for signing checks, reconciling bank accounts, or maintaining non-cash accounting records (i.e. ledgers or journals)?	☐	☐	☐
Are payment vouchers or supporting documents identified by grant number, date(s) and expense classification?	☐	☐	☐
Are all disbursements controlled by check registers?	☐	☐	☐

COMMENTS
For any issues identified during the review, provide clarification as necessary and specify corrective actions the subrecipient must take to resolve the issues. Describe the nature of any technical assistance provided during the review. Also describe any necessary follow-up actions that should be provided by the pass-through entity's staff.

Subrecipient Name and Title

Agency / Institution

Signature

Date

Project Director / Principle Investigator Name

Position at AHC

Signature

Date

Reviewed by Business Services - Signature

Date