



**Office of Resource and Community Development
Eastfield College of the
Dallas County Community College District**

GRANT PROCEDURES HANDBOOK

Introduction

This handbook has been written for those wishing to obtain a grant for EFC, as well as for grant managers. It does not replace the Grants Management Training notebooks that the DCCCD District Grants Management Office issues but acts as a supplement and quick reference.

Resource and Community Development Office

The Mission of the Office for Resource and Community Development (RCD) is to increase external funds to Eastfield College by providing assistance to faculty, administrators, and students in grants development, fundraising, and community involvement. The RCD Office accomplishes its mission through the following services:

1. Identify external funding sources and maintain positive relations with each;
2. Assist faculty, administrators, and students in grants planning and management process;
3. Conduct grant writing and fundraising workshops for faculty, administrators, students, and community;
4. Serve as clearinghouse for grant procurement and management process for local, state, federal and private sector grants;
5. Assist in pre-award program planning, grant writing, and grant evaluation;
6. Build relationships and partnerships in the community to enhance the effectiveness and overall development of the College.



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Getting a Grant – First Things First

So you have an idea to improve something, or to start something new. You need money to do it. How about a grant?

1. First, go to the Resource & Community Development web site (It's under About Eastfield College) and click on the "Grants Process" link. Fill out the **New Grant Inquiry** form and email it or bring it to the RCD Office. Some grants may take months to write so be aware that timing can be critical. We need to hear from you as soon as your idea is fully developed.

2. We will evaluate your submitted form for feasibility and make an appointment to discuss your ideas. If we decide to go forward, we will obtain permission to proceed from the President and VP or we will ask you to do that.

3. We will search for funding sources and communicate with you about what we find.

4. We will meet with you and others to develop proposal content and we will work with you to write the proposal.

5. We will submit the proposal, or assist you in doing so, and notify you of the results.

Requests for Proposals (RFP)

Federal and private funding agencies often issue Request for Proposals (RFPs), which includes the grant application guidelines. Other common forms of solicitation include Call for Proposals, Request for Applications, Program Announcement, or Program Solicitation. The RCD Office will seek an RFP that matches your idea. Sometimes we can submit a grant to an agency without an RFP.

Ideas to Consider

* Have you discussed this idea with your supervisor and obtained support for proceeding? (Please do this before bringing us the New Grant Inquiry form.)

* Have you talked with those whose work groups would be affected if the grant were funded? (Please do this before bringing us the New Grant Inquiry form.)

* If a grant is obtained, how will you be involved? Will you manage the grant, be involved in teaching, or do you see some other role for yourself?

* Are you the content expert? If not, are there content experts willing to work with us?

* Are you committed to assisting in writing the grant?

* Have you considered how the idea will fit into the Eastfield College goals?

* Are there others at EFC or in the District who are interested in this idea?

* Have you done any research to see if other colleges are doing something similar? (This will assist us in determining if the idea is fundable, and who might fund it.)

Partnerships

Some grants require partnerships. Usually this would be an area public school, another college, a business, or a non-profit agency. Some grants require partnership with the Dallas County Workforce Development Board.

Proposal Writing Team

The RCD personnel will work with you and other content experts to develop the proposal. You may be asked to identify others on campus who are willing to work with us to do this. Hopefully, you will have already spoken to them about your ideas and they have shown interest. The RCD Office may seek assistance from the District grants office under certain conditions.

Proposal Narrative

The proposal is the promise the college makes to the funding source regarding outcomes, people served, and the amount of money and time it takes to accomplish the purpose. The proposal narrative will contain the following information:

- * Statement of Need
- * Intended Results
- * Objectives
- * Plan of Operation
- * Timelines
- * Budget
- * Evaluation Plan
- * Supporting Documentation

Success in obtaining a grant starts with adhering exactly to the specifications spelled out in the RFP. Answer every question, provide every piece of information required, and eliminate filler.

Inadequate program planning will kill your chance of success. To get started, here are three questions to ask yourself:

- a. What end results do I expect? (benefit to college/students)
- b. How will I get these results? (program planning)
- c. How will I know when I've achieved these results? (evaluation)

In the proposal narrative you will need to:

- a. Describe the problem and the magnitude of the problem
- b. Describe the impact on students or college or community
- c. Describe the intervention and how it will solve the problem

You will need data for the narrative. The RCD Office can assist you to some extent in collecting this data, but you may need to contact the Institutional Effectiveness & Research Office as well. They may need lead time to find the data you need.

Budget

Some grants require matching funds. This requires assurance from the EFC VP of Business Services that the matching funds are available. Matching can be in actual dollars, or in employee time and effort, depending on the grant.

Evaluation

This is an often neglected area in proposal writing, but if not done well it can hurt the chances for funding. The program plan must include measurable objectives, and they must be measured as part of the grant implementation process. Sometimes the grant will specify that an outside agent must evaluate grant success. In any case, accurate data will be required for regular reporting to the granting agency, as well as for evaluation. The RCD Office and/or the IE & Research Office can advise you if the data you plan to collect is available on the Colleague system, or if it will require manual collection. Evaluation should tell both you and the funding agency how well you did toward reaching your proposal goals, and what you learned in the process.

Deadlines

Proposals need to be finished and in the RCD Office at least two weeks before the funding agency deadlines. Budgets must be submitted to the EFC grants accountant and signatures must be obtained from several offices before submitting to an agency,

Submitting Proposal to Funding Agency

Depending on the agency, the RCD Office may submit your proposal, or you may do it yourself. If you are asked to do it we will provide assistance.

Funding Agency Review Process

Accept/Decline of the Proposal

The granting agency will usually send a notice to the District Chancellor, the college president, the grant writer, or to the District Grants Management Office (or any combination thereof) that the proposal has been accepted or rejected. The agency may also ask for additional information, or may require some negotiations on the budget or other parts of the proposal.

Notice of Award

After the negotiated proposal has been approved, the funding agency will send a notice of award to the District Office of Resource Development, as an acknowledgment that the grant has been funded. The notice of award must be received by the DCCCD prior to any employment activity occurring. The notice will contain the following:

- * Grant number
- * The duration of the grant period (timeframe)
- * The awarded amount

The District Office of Resource Development will process the notice of award and will notify the Chancellor and other relevant personnel of the award. The notice of award should be filed both with the grants manager and with the RCD Office.

Budgets & Reporting

The operational budget must be established before any personnel paperwork or expenditures can be processed. It is the District's mechanism for translating the broad categories of the proposal budget such as personnel and supplies into specific District accounts

Process

1. The Grants Manager is responsible for preparing and managing the operational budget. Details on how to prepare/revise an Operational Budget are provided in the DCCCD Grants Training notebooks. The budget must be submitted to the District Director of Resource Development within one week of receipt of the Notice of Award. It must first be reviewed and approved by the RCD Office and by the Business Office.
2. If the College is contributing matching funds, a BR -14 Form must accompany the budget.
3. The College RCD Office or the Business Office will forward the operational budget to the District Resource Development Office for review and advisement/approval. From there the budget will go to the District Accounting Contracts and Grants Management Office.

A Few Rules

1. Money may not be moved from restricted accounts (Fund 13) to Fund 11 except as a journal entry to recapture improperly charged expenses, to repay the Fund 11 accounts for money expended for the project. The journal entry is based on expended funds and thus,

becomes a charge from the college to the grant. Such transfers should be extremely rare and must always be documented and justified.

2. District policies prevail for travel, personnel, and purchases. Funding agencies often require tracking purchased equipment through inventory. There may also be limits on the amount paid a single consultant or on item purchases. Records, including invoices and contracts, must be kept on file for the period of time required by the granting agency—generally three years.

3. The District may not make a “profit” on a grant. Actual charges for instructor salaries, books, tuition, etc. must be documented.

4. Funds must be spent or encumbered by the date the grant ends. Last minute purchases can raise a red flag for auditors and program personnel because they signal that the specified materials/ equipment may not have been needed to accomplish program objectives. Some grants specify “received” which means the purchased item must be physically present on the premises and logged-in through receiving.

Budget Adjustments

Changes to allocations of funds across categories often require agency approval, i.e. moving dollars from personnel who were specified in the proposal to buying supplies will require justification. Be sure your grant allows whatever budget adjustment you plan to make, or that you have obtained permission for the revision. The RCD Office or the Business Office can offer assistance.

Monthly Internal Progress Reports

The District Accounting Office will forward a Monthly Budget/Labor Distribution Report on each grant to the Grants Manager for review. Expenditures and time management must be checked to verify the following:

- * If this is the first report, the accuracy of the accounts and amounts must be verified
- * Line items must be reviewed to ensure that the proper accounts have been charged
- * Matching dollars, salary accounts, and telephone charges must be checked
- * The percentage of budget expended must be compared with the percentage of project time that has elapsed to ensure that the grant's funding objectives are being met and that program activities are proceeding on a timely basis

Submitting Progress Reports to Funding Agency

The Grants Manager will be responsible for preparing progress reports on the grant project in accordance with the stipulations in the grant contract. Copies of the progress reports will be sent to the RCD Office for review and approval before submission.

Grant Personnel

Administering grants can take up much more time than you might think. Consider how much time current employees have to spare for your grant activities, and plan accordingly. Key personnel participating in grant activities will be listed in proposal. No grant personnel will be hired until after the Notice of Award has been received.

Hiring Staff

The EFC Human Resources Director will assist with the completion of the required paperwork for hiring, transferring salaries (if necessary), paying employees who work on the grant project, and terminating or transferring employees upon completion of the grant project.

Policies regarding summer salaries, supplements, and fees for consultant services are contained in the Grants Training notebooks and DCCCD Business Procedures Manual. The Grant manager will keep time and effort sheets for faculty and staff getting paid a percentage of their salary out of a grant. A copy of a signed Employer Authorization Form and monthly Labor Distribution Reports (see A.1 of next section) can be used if an employee is paid 100% out of a grant. For additional information, reference Section IV of the DCCCD Policy And Procedures Manual; Section 3 of the Business Procedures Manual, and "The Grants Management notebook" section on "Hiring/Transferring/Supervising People."

Staff Orientation/Training

The EFC RCD personnel will meet with newly hired grant personnel for orientation and training. In addition, the District Grants Management Office offers periodic training classes for grant managers. All grant managers are required to attend these classes and obtain the associated notebooks. For new hires, additional orientation to the College campus and to College procedures will be done by the HR Office.

Goals, Objectives, Outcomes

Different grants or agencies use different terminology for these parts of a program. Use whatever terms the RFP references. Here are some samples:

Goal: Increase in-class retention

Objective: The retention rate in all classes increases by 10% or more in Year 1

Outcome: The retention rate in all classes increased by 11.4% in Year 1.

Goal: Increase minority participation in STEM classes

Objective: Recruit students for EFC STEM classes. At least 50% of newly recruited students will be minority.

Outcome: Of the 100 new students recruited for the STEM classes, 54 were minority.

Goal: Reduce substance abuse among college students

Objective: Eliminate the use of alcohol and other drugs on campus

Outcome: No reported cases of substance abuse on campus

Your program objectives should meet the criteria of the RFP as closely as possible.

Developing Strategies/Activities to Meet Objectives

Strategies or activities are the actions you will take to meet program objectives. If the objective is to increase in-class retention, then what actions will you propose that are likely to cause that to happen?

- Survey drop-outs to determine why they dropped out

- Data-mine & analyze drop-out demographics

- Provide workshops for faculty on in-class group activities

- Provide workshops for faculty on service learning

You should study "best practices" from other institutions to determine what strategies have proven effective. The literature should point you to what strategies are effective for what issues.

Revising Program Objectives

If, for any reason, you decide to revise program objectives, you must get permission from the funding agency. Contact the RCD Office for assistance.

Plan of Operation

How will you implement this project?

- Communication
- Access
- Assessment
- Services

What personnel will you need for the project and what are their job descriptions?

What resources, supplies and facilities will you need?

What is the timeline for all activities?

Supplies and Equipment

The District follows strict state and federal rules regarding purchasing. Some purchases may be made through approved vendors. Other purchases must be made through the bidding process. Do not plan on making last-minute purchases to expend unused grant funds, as this may raise a red flag for the funding agency and compromise your chances of getting future awards.

Communicating with Funding Agency/Program Officer

Only the District Resource Development staff or the District Contracts and Grants staff are authorized to make direct contact with the funding agency, unless the Executive District Director of Resource Development has given certain faculty or staff authority to make direct contact.

Records Maintenance/Required Files

Records to be kept by the grants manager include, but are not limited to:

- Notice of Award
- Time & Effort Forms
- Progress reports
- Budget adjustments
- Contracts
- Termination or transfer paperwork
- All purchasing documents

Submitting Grant Application Renewal

Some grants allow for a year's extension after the final date. A no-cost extension can be requested if you have unexpended funds in your grant budget. The request should be made before the grant comes to an end.

Grant Close-Out

Finishing a grant project is just as important as starting one. In many cases, the way in which close-out procedures are handled, such as timely submission of final reports and the quality of those reports, can have a direct impact on chances for future funding.

These are several areas of management that need particular attention at the close of a funded project: Budget, Personnel, Purchasing, Grant Files, and Publications.

Budget: Grant managers need to make sure final budget revisions are on file. The grant manager must notify staff and other appropriate personnel that the F/L/Div # has now expired and should not be used after the grant period has ended.

Personnel: Grant managers must complete all termination paperwork for all staff, and if needed, payroll changes for staff members transferred to other cost centers, or to the new grant

number assigned to a continuing grant. In all cases, if the grant expires, personnel must be removed.

Purchasing Activities: Grant managers must transfer telephones to other F/L/Div#s or remove them. Bookstore charges should be checked and reconciled, and the bookstore should be notified that charges to that grant F/L/Div# are no longer valid. Equipment purchases should be matched with requisitions, and receipt of items confirmed.

Grant Files: All files should be reviewed for grant documents, personnel records, purchase orders and requisitions, and budget records, including necessary documentation for changes. A general “sprucing up” is usually in order after the last burst of grant activity. Remember, the auditors may be the ones burrowing through these documents, not the local friendly grant manager. Also, make sure final reports have been submitted to the funding agency, and that copies are retained in the grant file.

Publications: Grant managers should double and triple check publications to be certain that the funding source is credited before printing is approved. Civil rights compliance statements are a requirement for all publications.

Storage: Finally, arrange for storage of grant files. Grant managers should notify the RCD Office as to where these files will be stored.

PROPOSAL REVIEW GUIDE

Study your proposal to find the answers to the following questions:

1. When does the grant start and end?
2. Do those dates coincide with the timelines in the proposal?
3. What is the need that this proposal responds to?
4. How will the grant program respond to this need?
5. What is being done now to respond to this need?
6. How does this grant program fit into the mission or goals of the college?
7. What is the target group for this grant, what special population will be served?
8. How many participants will be needed for the program?
9. How will the participants be recruited?
10. How will the participants be selected?
11. What criteria qualify them for the grant?
12. What timelines exist for the grant?
13. When do activities need to start and finish in order to meet the goals of the grant?
14. Are there outside partners required for the program?
15. What agreements/contracts with partners need to be made and are they in place yet?
16. Who will coordinate the partners (if any)?
17. How will the grant fit into the organizational structure of the college?
18. Is the program going to be a part of an existing organizational group or will it be an independent, separate entity?
19. What other departments or workgroups will be involved?
20. Who are the contact people for the various groups on campus?
21. What personnel are authorized in the grant?
22. What are the responsibilities of each grant staff person?
23. What outcomes or results are proposed for the grant?
24. How will the outcomes be measured or assessed?
25. How will you demonstrate that the results were achieved?
26. Do you understand the terminology and jargon of the grant proposal? If not, refer to the funding agency resources to define the terms.
27. Is there any term or component of the grant that you do not clearly understand? If yes, please contact the Resource Development Office for further assistance.
28. What reports are required for the grant?
29. What are the due dates/timelines for those reports?
30. How will you stay abreast of the report needs to assure timely filing?
31. Is there other assistance needed for the implementation of this program? If yes, please clarify and discuss with Resource Development.

