Grants Handbook
INTRODUCTION

The purpose of the Craven Community College (CCC) Grants Handbook is to establish internal procedures and guidelines to facilitate the development of externally funded projects from new grant initiation to post award management.

This handbook is not intended as a substitute for the policies and procedures required by funding agencies. The procedures in this handbook are intended to address the role of the Project Director, Grant Manager, Budget Officer/Accountant and Grant Writer. This handbook will be re-evaluated and updated periodically and will evolve as the institution’s needs change.

A grant is a monetary award given by a government department, foundation, corporation or trust to a recipient that is often times an educational institution, non-profit entity, business or individual. The grants to higher education institutions are commonly those from the federal government or a foundation. A federal grant tends to have strict guidelines and clear cut eligibility requirements. A foundation grant may have leniency in guidelines for proposal submittal, however there may be unique reporting requirements specific to the funding agency. One of the requirements is generally that the organization has to be tax-exempt or a 501 (c) organization. In such instances, the grant proposal would be submitted under the Craven Community College Foundation.
PROGRAM BLUEPRINT

A program blueprint is the first step to conceptualizing a grant funded project. CCC’s vision, the mission, goals and strategic plan should be reviewed to assure that the blueprint aligns with the college’s future direction. A plan of action must be devised and written once an institutional need has been identified. It is pertinent that there is current data to support and justify the institutional need. The data will prove to be important in establishing a solid proposal and will add validity to the proposed program. The idea for the program should be made tangible through a comprehensive plan that should answer the following questions:

- What is the need? Describe.
- How can the need be fulfilled? (Plan of Action)
- What results are expected?
- How will this plan benefit the college and/or students?
- How will the results be measured? (Projected Outcome/ Evaluation Plan)
- Why will the planned project succeed? Are other colleges, with the same demographics, having success with a similar project? (Best Practices)
- What does the research show about the success of these projects?
- Is this a one-time project or is it a continuous program? (Sustainability)

THE SEARCH

Grant opportunities can be researched via various internet search engines. When researching grant opportunities consider the funding agency’s objectives and if they match the program blueprint. A preliminary budget will be helpful to decide if the size of the award is enough to fund the project. There is no need to proceed with a request for proposal (RFP) if the award will not cover the expenses. The deadline should be considered to allow enough time to collaborate with the Grant Writer and institutional/community partners, write the proposal, and for appropriate revisions to be made. Finally, consider the funder’s objectives and if the Project Director can adhere to all the guidelines and requirements.

NOTE: In some cases a RFP may be discovered first, and then the Project Director will have to compile a program blueprint and then begin the CCC proposal process.
## Funding Sources

### Foundation Grant Opportunities

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<tr>
<th>Organization</th>
<th>Website</th>
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<tr>
<td>American Associations of University Women</td>
<td><a href="http://www.aauw.org">www.aauw.org</a></td>
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<td>Bill &amp; Melinda Gates Foundation</td>
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<td>Ford Foundation</td>
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<td>GlaxoSmithKline</td>
<td><a href="http://www.gsk.com/community/our-grants.htm">www.gsk.com/community/our-grants.htm</a></td>
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<td>Kate B. Reynolds Charitable Trust</td>
<td><a href="http://www.kbr.org">www.kbr.org</a></td>
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<td>North Carolina Community Foundation</td>
<td><a href="http://www.nccommunityfoundation.org">www.nccommunityfoundation.org</a></td>
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<td>The Foundation Center</td>
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<td>The Hearst Foundations</td>
<td><a href="http://www.hearstfdn.org">www.hearstfdn.org</a></td>
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<td>The Leon Levine Foundation</td>
<td><a href="http://leonlevinefoundation.org">http://leonlevinefoundation.org</a></td>
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<td>The Wachovia Wells Fargo</td>
<td><a href="http://www.wachovia.com/wachoviafoundation">www.wachovia.com/wachoviafoundation</a></td>
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<td>The Wal-Mart Foundation</td>
<td><a href="http://www.walmartstores.com">www.walmartstores.com</a></td>
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<td>The William &amp; Flora Hewlett Foundation</td>
<td><a href="http://www.hewlett.org">www.hewlett.org</a></td>
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<tr>
<td>Wish You Well Foundation</td>
<td><a href="http://www.wishyouwelfoundation.org">www.wishyouwelfoundation.org</a></td>
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<tr>
<td>Bureau of Health Professions</td>
<td>bhpr.hrsa.gov</td>
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<tr>
<td>Department of Labor</td>
<td><a href="http://www.dol.gov">www.dol.gov</a></td>
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<tr>
<td>Economic Development Administration (EDA)</td>
<td><a href="http://www.eda.gov">www.eda.gov</a></td>
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<tr>
<td>Environmental Protection Agency</td>
<td><a href="http://www.epa.gov">www.epa.gov</a></td>
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<tr>
<td>Institute of Museum &amp; Library Services</td>
<td><a href="http://www.imls.gov">www.imls.gov</a></td>
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<tr>
<td>National Endowment of the Arts</td>
<td><a href="http://www.nea.gov">www.nea.gov</a></td>
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<td>National Endowment of the Humanities</td>
<td><a href="http://www.neh.gov">www.neh.gov</a></td>
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<tr>
<td>National Institute of Health (NIH)</td>
<td><a href="http://www.nih.gov">www.nih.gov</a></td>
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<tr>
<td>National Institute of Standards &amp; Technology (NIST)</td>
<td><a href="http://www.nist.gov">www.nist.gov</a></td>
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<tr>
<td>National Science Foundation</td>
<td><a href="http://www.nsf.gov">www.nsf.gov</a></td>
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<tr>
<td>North Carolina Arts Council</td>
<td><a href="http://www.ncarts.org">www.ncarts.org</a></td>
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<tr>
<td>Office of Naval Research</td>
<td><a href="http://www.onr.navy.mil">www.onr.navy.mil</a></td>
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<tr>
<td>U.S. Department of Agriculture</td>
<td><a href="http://www.usda.gov">www.usda.gov</a></td>
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<tr>
<td>U.S. Department of Health and Human Services</td>
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PROPOSAL PROCESS

1. Before a faculty, staff or administrator initiates a proposal, regardless of the amount of money requested; he or she must complete both the Grant Efficacy Assessment and Grant Approval Forms. The Grant Efficacy Assessment Form will assist the initiator/Project Director in determining if it is feasible to submit the RFP this grant cycle or if more planning is necessary. Once the assessment form is completed, allow the Grant Writer to review.

2. Next, the Grant Approval Form should be thoroughly completed and the designated signatures obtained. The signatures must be obtained no less than 30 business days prior to the grant proposal’s deadline. Both forms must be completed before any RFPs are submitted to outside funding agencies that may potentially support a College project.

3. The approved or denied form must be returned to the Grant Writer within 3 business days of obtaining all signatures. Upon receipt of the original approved Grant Approval Form, the Grant Writer will make an appointment with the Project Director and other partners (if required) to set a time table for review, editing and submission of the grant proposal to the funding agency.

Grant Forms: [http://www.cracencc.edu/researchplanning/grants.cfm](http://www.cracencc.edu/researchplanning/grants.cfm)

The responsibilities of the Project Director, Grant Writer and Budget Officer/Accountant during this phase are listed below:

Project Director

- Use the program blueprint to write the proposal. Strengthen the proposal to be clear and concise in the areas of program description, plan of management, objectives, timelines and evaluation. Be sure to align the evaluation plan with the program’s goals and objectives and acquire any supporting documentation.
- Remain in contact with content experts or partners (if required).
- Research and obtain actual costs, justify the dollar amount and finalize revisions for the itemized budget.
- Provide feedback to Grant Writer after editing and revisions.
Grant Writer

- Review and edit proposal to ensure all funder objectives have been addressed.
- Format document and organize proposal to meet the submission guidelines.
- Review the budget and make recommendations to better present to the funder.
- Submit draft revisions to Project Director and/or content experts to finalize.
- Submit letter of inquiry or final proposal electronically or by mail.

Budget Officer/Accountant

- Review and edit proposed budget to ensure compliance with State and Federal regulations and/or funder requirements.
- Identify Business Office liaison or serve as liaison.
- Offer financial advice as needed.

The final revision will be submitted to the Grant Writer 5 business days prior to the grant’s due date. If the proposal is to be submitted under the Craven Community College Foundation then the final document needs to be signed by the Executive Director of the Foundation.

Post Award Management

Once funded, the project must be implemented, tracked and services documented to demonstrate how the funds are utilized within the guidelines of the funding agency. The primary individual responsible for the management of the grant is the Project Director. The Project Director may hire or appoint a Grant Manager to oversee the daily tasks of the project but overall responsibility and accountability of the grant remains with the Project Director.

The Roles and Responsibilities of the Project Director/Grant Manager

Below are basic administrative duties to implement the funded project:

1. Provide copies of the award letter to the Grant Writer, Budget Officer and Executive Director of the Foundation (if applicable).
2. If the funds awarded are less than what was requested in the proposal, submit the revised budget to the funding agency, Grant Writer and Budget Officer.

3. Develop and disseminate specific timelines for project implementation for all involved in the project.

4. Coordinate with all departments/units for project implementation, some may be the following:
   - Human Resources- advertise, screen and hire personnel in accordance with policies and procedures of the College. **NOTE**: Do not hire until funds are received.
   - Marketing- coordinate publicity announcements regarding the project while adhering to funding agency guidelines.
   - Business Office- meet with the Budget Officer to set up the accounting system for the project.

5. Develop a procedure and database for internal budget controls and monitoring within the project.

6. Develop a procedure for completing required reports with the project.

7. Develop a procedure for regularly keeping all departments/units and participating partners advised of the project’s progress and accomplishments.

8. Develop and implement evaluation process for the project.

9. Set up a program budget on an EXCEL spreadsheet, enter all expenditures and budget activities on this spreadsheet, and maintain an accurate balance at all times. This is necessary for comparison with the monthly report given by the Budget Officer.

**The Roles and Responsibilities of the Budget Officer/Accountant**

1. Set up grant budget according to the itemized budget submitted to the funding agency.

2. Track expenditures and provide monthly expenditure reports to the Project Director and Grant Writer.

3. Work with the Project Director to track matching funds.

4. Provide Project Director with account balances and itemized expenditures when needed.
5. Assist Project Director with the financial portion of the final report.

PROGRAM STRUCTURE

The Project Director is required to carefully read the funding agency’s policies regarding schedules and deadlines. Reporting information is generally included in a packet received after the initial award notification letter, and this information is provided to the Project Director. If this information is not available, the Project Director should contact the funding agency’s Program Manager to obtain the reporting information. The Project Director is solely responsible for reporting schedules and report submissions. The Grant Writer does not notify the Project Director of reporting dates and deadlines.

The Project Director can maintain organization within the program by:

- Creating and maintaining master files for the project (One for the Project Director, one for the Business Office and one for the Grant Writer). The master files should include a copy of the proposal, approved budget, operational budget, correspondence, time documentation, contracts, time sheets, consultant contracts, invoices, and progress reports.
- Documenting grant activities that include client records, publicity, evaluations, advisory committee meeting minutes, and related rules and regulations.
- Keeping all participating partners notified of project activities, revisions of plans, and progress on a regular basis (monthly, quarterly, or as appropriate).
- Ensuring diligent and continuous program review. The review reports should include updates on the status of the grant, budget expenditures, accomplishments, recommended changes in the project, or anticipated barriers in meeting project goals and objectives.
- Submitting budget amendments, program amendments, and reports as required to the funding agency.

The organizational structure will prove beneficial in the evaluation of the project’s progress in relation to the set objectives. Continuous internal review will help in identifying follow-up items to facilitate a system of quality control that guarantees compliance with grant
requirements. Once the grant period has ended, a copy of all documentation must be submitted to the Grant Writer for storage.

**Note:** The key to grant management is planning, allowing for extra time to complete requests, addressing problems before a crisis and leaving a paper trail of activities.

**BUDGET MATTERS**

After the receipt of the award letter and budget negotiations are completed, the operational budget for the funded project should be established. The operational budget will identify the expenditures by line item specifying the available funds. Operational budgets may be revised depending upon the guidelines of the funding agency, or may require submission of a budget amendment to the funding source for pre-approval. While it may be possible to transfer money between line items, please note that it is NOT allowable to add a budget line item that was not included in the original proposal.

- **Management-** the Project Director is responsible for reconciling monthly budget reports with the Budget Officer/Accountant. Grants expenditures must be monitored on a regular basis. The Project Director should maintain separate records from the Business Office (Budget Officer). In addition, the Project Director should monitor the budget by comparing the percentage of time elapsed in the grant period and percentage of the total budget spent. This will prevent returning unexpended funds or over-expenditure, and will help ensure that the objectives of the project will be met.

- **Guidelines for financial management-** The following is a list of resource tools to assist the Project Director in adhering to the guidelines of the CCC Business Office, federal and state funding sources for financial management of a grant.
  
  a. Policies and procedures manual- [http://www.cracencc.edu/about/policies.cfm](http://www.cracencc.edu/about/policies.cfm)
  c. Office of Management and Budget Circulars- The guidelines for the management
and use of federal funds are specified in these Circulars. They are A-21, A-110, A-23, A-133 and more. These can be viewed at http://www.whitehouse.gov/omb/circulars/

SITE VISITS

Funding agencies may plan to conduct site visits to the College. The purpose of the visit is generally stated before hand as well as who must attend and what information will be reviewed.

Site visits and review of program structure are particularly important when the College is a new grantee or has started a new project. Sometimes visits are conducted when a project is known to be experiencing operational or financial difficulties, the award will significantly change the nature of the organization’s operation, or there are reasonable doubts about the effectiveness of the financial and program management capabilities.

To ensure readiness for a site visit, projects should review the grant contract which may include but is not limited to the following:

- Financial management- includes internal controls, separation of duties, a written accounting manual, back up source documentation and budgetary controls.
- Personnel system- includes a current organizational chart, written personnel policies and the duties of employees assigned to the grant.
- Travel- includes formal written policies, documentation that travel requests have prior approval and related travel documentation.
- Property management- includes detailed property records, rules for disposition in accordance with the grant agency’s administrative regulations, physical inventory reports and property labels.
- Procurement- includes written procurement policies, signed copies of contracts or sub grants, copies of invoices, records related to procurement and the evident of free and open competition.
CLOSE OUT

Close out of the funded project is as important as the development of the project. The Project Director should start preparing at least 60 days prior to the close out. The continuation request and/or final report will usually include a narrative description of the project accomplishments for each objective in the program description. Included in the narrative will be an evaluation of data and statistics. Any objectives not accomplished during the funding period, as well as any changes in the program structure of the project will require explanation. This may include charts, reports on clients and delivery services.

Copies of the final report must be submitted to the Grant Writer at least 5 business days before submission to the funding agency for feedback. Copies must also be provided to the participating departments/units and or partners including the Executive Director of the Foundation (if appropriate). **Final reports are the responsibility of the Project Director.**

If there is a request to submit an application for grant continuation, then another Grant Approval Form must be completed prior to submitting the proposal.

**Note:** The following areas of management are critical to close out the project: budget, personnel, purchasing, distribution of final reports and document storage. Timely filing of final reports may have an effect on future funding opportunities.

The Project Director will assure that all records, accounts, and reports are filed and closed out. All department/units and participating partners will be notified by the Project Director of the termination of the project. The close out, at a minimum, should consist of a meeting initiated by the Project Director with the Budget Officer/Accountant, Grant Writer and Executive Director of the Foundation (if applicable) to ensure that all requirements have been met.

**Contact Information:**

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