

GRANTS MANAGEMENT HANDBOOK

An easy-to-use information resource
for administrators, project directors, and staff



Discretionary Roundtable
5/30/07
Sample Edition



INTRODUCTION

Congratulations! The college has applied for a grant and it has been funded. All the hard work and time you spent in preparing the grant application has paid off. You are about to begin an exciting and rewarding process. It is time to bring the project to life!



Although implementing a grant-funded project is exciting, it can seem overwhelming. You may have many questions such as:

- How do I set-up the project budget?
- How do I hire personnel for the project?
- How do I purchase equipment?
- What records do I need to keep?
- How do I document in-kind matching?
- How can I revise the project budget?
- How do I prepare for an audit?



If you are a new project director, these and other questions probably concern you. "What do I do first? Who can I call for help?" In response to these questions, Valencia Community College's Resource Development Office has collaborated with the Finance, Human Resources, Institutional Research, Marketing and Media Relations, and College and Community Relations offices to prepare this *Grants Management Handbook* to help you successfully implement and manage your project.

The activities you undertake in the first few weeks of your project are crucial to its success. These activities will, in large measure, set the tone of your project and determine whether or not

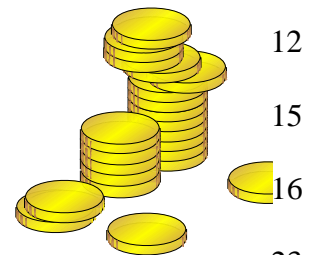
the project will be a success. Are you on target to meet your goals? Will you expend all of the funds awarded to you? Will your grant pass an audit? The likelihood of success is greatest when your project gets off to a good start.

Your grant proposal, the award letter and terms of your grant, the *Grants Management Handbook*, and the Valencia Community College *Policy Manual* combined provide you with the information you need to implement and manage your project. You must read all of these documents. Your grant proposal includes a list of objectives and a timetable for implementation. The terms of the grant are the specific laws and/or rules which you must follow in the implementation and management of your project. These laws, rules, and regulations are specific to the funding agency and the grant program, whether they are federal, state, local, corporate, or private. The *Grants Management Handbook* includes the names and phone numbers of Valencia personnel who can assist you during different phases of your project, samples of commonly used forms, and information from Finance, Human Resources, and Payroll. The *Policy Manual* will provide you with information on college policies.

Please take time to familiarize yourself with these documents and applicable regulations-- knowing what you can and cannot do, and how you must do it will save you many headaches in the future, and protects you and the college. Congratulations and good luck!

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QUICK REFERENCES

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QUICK REFERENCES

GRANT INFORMATION

Name of Funding Agency	U.S. Department of Labor, Employment and Training Administration (ETA)
Program Name	Community-Based Job Training Grant Program (CBJTG)
Project Title	Alternative Strategies for Continuing Education and Nursing Development
Agency Project Number	CB-15183-06-60
Valencia Account Number(s)	21230100-0301000-50106-04 (Valencia) 21230100-0301000-50116-04 (Subrecipients)

FUNDING

Year	Budget Period	Amount of Award	Leveraged Resources	
			Cash	In-kind
1	11/01/05-10/31/06	\$768,829	0	\$585,736
2	11/01/06-10/31/07	\$613,801	0	\$585,736
3	11/01/07-10/31/08	\$616,762	0	\$585,736
	TOTAL	\$1,999,392	0	\$1,757,208

GRANTS OFFICER

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CALENDAR OF IMPORTANT DATES

CBJTG

1. The Resource Development Office will submit performance reports to the funding agency based on drafts provided by the project director: quarterly reports, January 30, 2006, May 30, 2006, September 2006, **an annual project performance report is in early December 2006 and 2007, and a final performance report is due December 31, 2008.**
2. To allow sufficient time for administrative approval and Resource Development Office review of the draft performance report, the project director should design an evaluation process that includes continuous data collection and analysis, and submit the draft reports to the Resource Development Office at least three weeks prior to the actual report submission deadline.
3. **Future year awards are subject to annual federal appropriations and the project making substantial progress as judged by funding agency review of the performance reports.**
4. The last date for incurring expenditures is October 31 of each grant year. **The project director must allow reasonable time for internal approval and processing of expenditure requests;** last minute requests are discouraged. The Finance Office will submit to the funding agency a final Financial Status Report by November 30 of each grant year.
5. **The project director should check grant and leveraged resources/matching budgets monthly** (15th of each month) to ensure that funds are being spent (or donated services and goods are being received) in a timely manner. Project implementation should include a continuous planning process to anticipate the need for budget changes. Final budget changes for the project year should be approved internally (and externally by the funder, if required) by July 31 each year.
6. **The project director must retain programmatic records related to this grant until the date(s) shown:**

Year 1	October 31, 2013
Year 2	October 31, 2013
Year 3	October 31, 2013



Within one month after the ending date of the grant, the project director should notify the Resource Development Office of the location where the electronic and written documents will be stored during the remaining post-grant record retention period.

7. **The project director must ensure that any equipment items purchased using grant funds are specifically approved by the funding agency and are tagged and inventoried**

in accordance with college policies and procedures. Disposition of this equipment during or at the end of the grant period must be in accordance with funding agency and college guidelines.

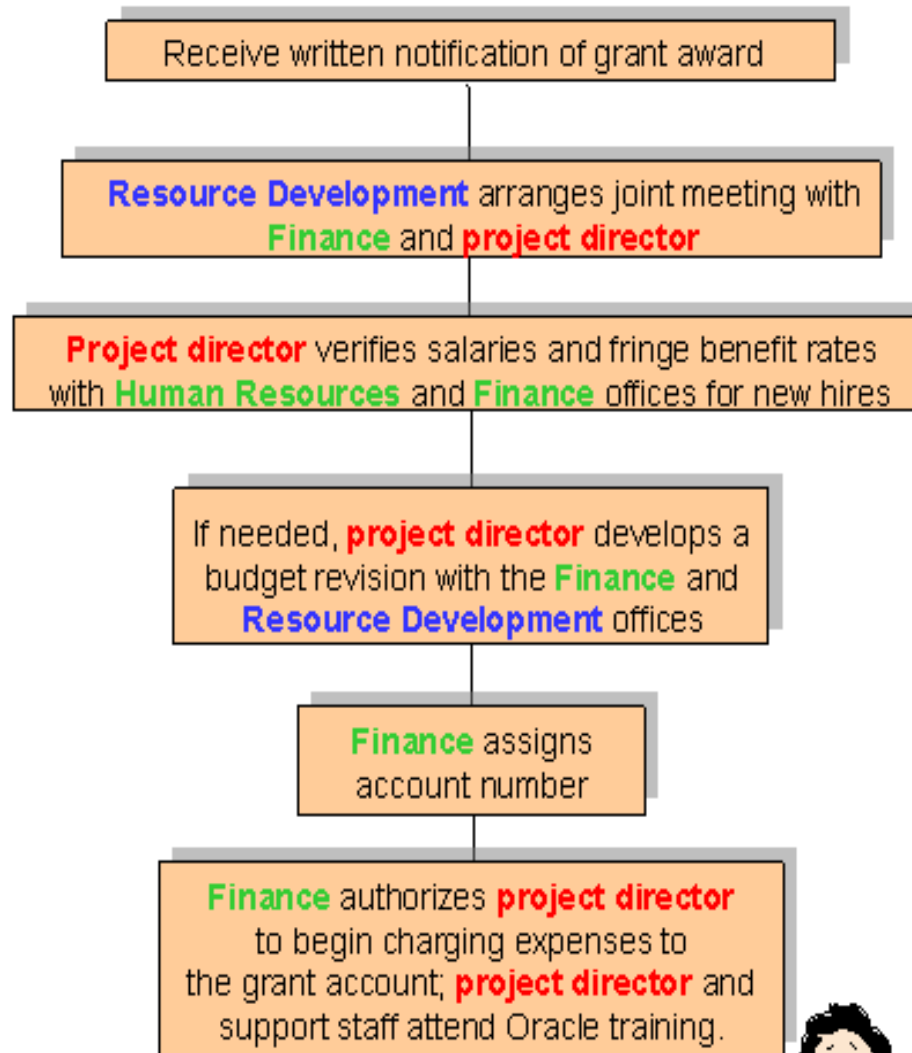
Special Conditions

1. Flexibility is allowed within the grant budget (except wages, salaries, and fringe benefits), provided no single line item is increased by more than 20%. Changes in excess of 20% and any changes in wages, salaries, and fringe benefits, and indirect cost rates **MUST receive** prior written approval from the Grants Officer.
2. Awardees must receive prior approval from the Grants Officer for the purchase and/or lease of any equipment with a per unit cost of \$5,000 or more, and a useful life of more than one year.

SECTION 1:

GETTING STARTED

SETTING UP THE GRANT BUDGET



SECTION 1: GETTING STARTED

(A) SETTING UP THE GRANT BUDGET

Step 1: Initial Meeting

Once written notification of the grant award has been received, Resource Development will schedule a meeting with the project director and representatives from the Finance Office and Resource Development offices to conduct the initial budget review. This review must be completed before an internal account number is assigned and grant funds may be spent. The primary purpose of this meeting is to explain the assignment of state general ledger codes (commonly known as “GL codes”) to each proposed line item expenditure and to clarify recordkeeping responsibilities. The Resource Development Office will provide the project director with a *Grants Management Handbook* to serve as a written resource on grants-related issues.

This handbook includes a copy of the most recently-approved budget for this grant (including any negotiated changes) in Section 5, and a listing of the most-commonly used GL Codes (see page 5). A complete list of GL Codes may be found at <http://valenciacc.edu/accounts/> (then click on “General Use”).

When reviewing the project budget, the project director must remember that direct costs are those that can be specifically identified with a particular cost or service, while indirect costs are those that are incurred for common or joint objectives and cannot be readily identified with a particular cost or service (i.e., the project director can only “spend” direct costs; indirect costs are allocated to the college to cover overhead expenses). All grant budgets include direct costs, but not all include indirect costs.

The Finance Office is responsible for tracking all expenditures charged to grant projects for purposes of accounting and audit. One of the Grants Accounting Specialists will be assigned to each grant. Under the supervision of Judy Jackson, Director of Restricted Funds Accounting,

they will maintain copies of all expenditures charged to the project budget including those for personnel, equipment, supplies, and travel. **Approval of all grant expenditures and documentation of all expenditures and matching (including personnel costs) for the project is the responsibility of the project director.** While project staff may assist, the ultimate responsibility rests with the project director to maintain documentation and authorize grant expenditures. Be sure to note any special financial conditions that are attached to your grant. For example, limits placed on transferring funds from one GL code to another, prior approval needed to purchase equipment, etc.

Step 2: The Analysis of Personnel Costs

Before the budget can be officially approved, the project director needs to review the project budget to ensure that the correct amount of funds is allocated to cover salaries and fringe benefits. The project



director should contact the Human Resources Office to verify the salary levels for grant-funded new-hires and to ensure that enough funding is included to cover Social Security (F.I.C.A.), F.I.C.A. Medicare, State Retirement Benefits, Worker's Compensation, and Health Insurance for all full-time employees, and Social Security, F.I.C.A Medicare, and Worker's Compensation and possibly State Retirement Benefits for part-time employees¹. The correct percentages for these charges are available from the Finance Office and should match those included in the approved grant budget. If these figures do not match, contact the Resource Development Office; an internal (and possibly external) budget revision will be required. Any external request for revision must be submitted through the Office of Resource Development.

¹State Retirement Benefits for part-time employees are charged for individuals who have worked more than 2,080 hours at the college.

If the project director (and support staff, if applicable) is not already authorized to use the Oracle system, he or she must attend Oracle training offered through Leadership Valencia to prepare for expending funds.

If faculty is designated to serve as paid grant project staff, the project director and administrators responsible for overseeing that particular grant should pay particular attention to the final year grant budget. For example, if the project director is a faculty member and the ending date of the grant is September 30, the project administrator needs to determine if grant funding for the project director should end in August in order to avoid possible gaps in schedule or funding when the faculty member returns to the classroom at the end of the grant. If ending grant support early does not meet the needs of the project and of the administrator who oversees it, the administrator would need to seek college dollars in advance to cover the project director's salary and fringe benefits post September 30, and he/she would also need to obtain provost and dean approval for this arrangement to have the faculty release extend through the entire fall term.

In the last year of the grant, the department deans are responsible for making sure that college faculty and staff who have been working on the grant, and will continue to be employed by the college after the grant ends, are built into the college budget during the college's annual budget planning process.

The project director will need to complete all closeout activities prior to his/her last day paid from the grant, as described in the Closeout section of this handbook. Any questions regarding this issue should be directed to the Office of Resource Development.

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COMMONLY-USED GENERAL LEDGER (GL) CODES FOR EXPENDITURES



PERSONNEL – FULL-TIME (full fringe benefits)

520010 Instructional – Instructor/Professor
521010 Instructional – Overload
523010 Instructional – Paraprofessional/Associate/Asst
530010 Other Professional
545010 Clerical (permanent part-time over 2,080 hrs)
545020 Technical (permanent part-time over 2,080 hrs)

PERSONNEL – PART-TIME (FICA, Medicare, WC)

560010 Other Personal Services – Instructional/Adjunct
565010 Other Professional Part-Time
570010 Other Personal Services – Clerical
570020 Other Personal Services – Technical
583010 Student Employment – Student Assistants
592100 FRS Part-Time Employees

MATERIALS AND SUPPLIES

655010 Educational Materials & Supplies
655020 Office Materials & Supplies
657010 Educational Data Software
657020 Administrative Data Software
665030 Food & Food Products
670010 Subscriptions

CAPITAL OUTLAY

705010 Minor Equipment (non-capitalized)(<\$1,000/unit)
705060 Minor Computer/Technology Equipment (<\$1,000/unit)
706010 Educational Equipment (non-capitalized)(>\$1,000 but <\$5,000/unit)
706020 Office Equipment (non-capitalized)(>\$1,000 but <\$5,000/unit)
706060 Computer Equipment (non-capitalized)(>\$1,000 but <\$5,000/unit)
710110 Computer Equipment (>\$5,000/unit)
710220 Office Equipment (>\$5,000/unit)
710230 Educational Equipment (>\$5,000/unit)

FRINGE BENEFITS

591010 FICA/Medicare
591030 Social Security (FICA)
592030 Retirement Contributions
597010 Insurance Benefits
635020 Workers Compensation

TRAVEL

605010 Travel – In-district (Orange and Osceola counties)
605020 Travel – Out-of-district (in Fla)
605030 Travel – Out-of-state
605060 Travel – Student
605070 Travel – Non-employee

PRINTING

610010 Freight and Postage
620010 Printing/Duplicating – Vendor

RENTALS

630010 Rentals – Facilities
630020 Rentals – Equipment

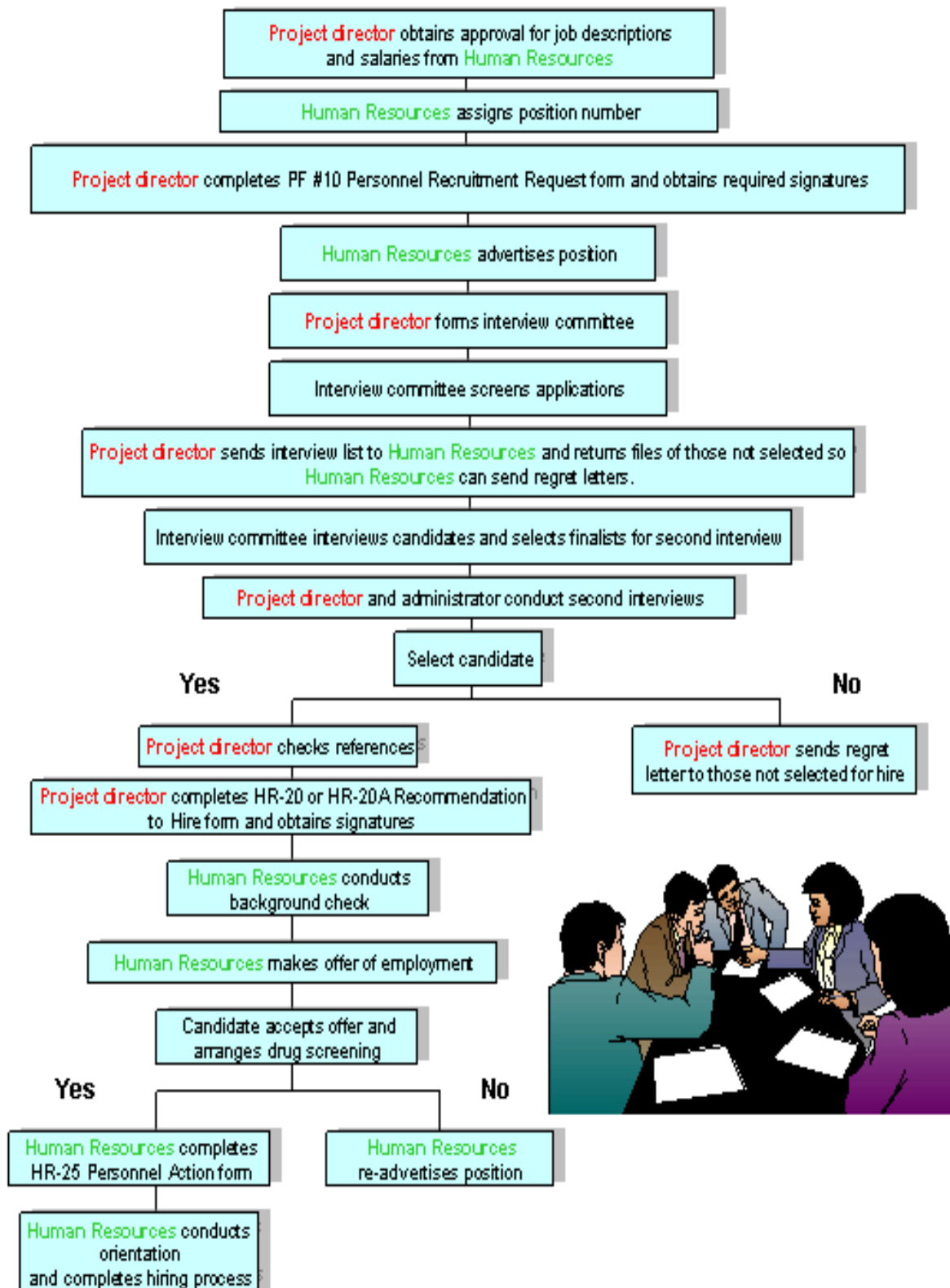
PROFESSIONAL FEES

650010 Consultants
650020 Honoraria Fees
650070 Other Professional Fees

OTHER

645010 Other Services (including contracts)
645020 Institutional memberships
645100 Advertising
680010 Scholarships
680030 Textbook Scholarships

HIRING PERSONNEL



(B) HIRING PROJECT PERSONNEL

Many grant projects include new personnel. If new individuals will be hired for the project, the project director must follow specific procedures established by the District Board of Trustees throughout the hiring process. **Grant-funded personnel must be hired utilizing the same Valencia hiring policies used for hiring all personnel.**

Note: This section is included to provide broad information regarding the hiring process. The Activity Checklist from Human Resources' *Employee Recruitment and Selection Guide* is included in Section 3 as a general guideline. For more detailed information, you may obtain a copy of the complete guide from Human Resources or call Human Resources directly.

Full-Time Personnel

Step 1 - Posting the Position

The first step in the hiring process is to contact Human Resources to ensure that the job descriptions that were submitted with the proposal, and approved by the funding agency, have been approved by Human Resources and that the salary for the position is based on the appropriate pay scale. After the job descriptions and salaries are approved, Human Resources will assign a position number which the project director will need to complete each of the personnel forms.

Next, the project director must complete the **HR #10 Personnel Recruitment Request** (see Section 3) which must be signed by the project director's supervisor, the campus provost or vice president (as applicable), the Vice President for Human Resources and Diversity, and the Vice President for Administrative Services. After these signatures have been obtained, the position will be "posted," or advertised. Generally, Faculty or Professional positions are posted for four weeks beginning on a Friday. Career Service positions are posted for two weeks, also beginning on a Friday (see "Recruitment Options" chart in Section 3).

Step 2 - Screening the Applications

The project director should appoint a search committee that is representative of the college population, including an Equal Access/Equal Opportunity representative from the Collegewide Diversity Committee. The project director may serve as chair of this search committee; other committee members should include those who understand the duties and responsibilities of the position as well as representatives from departments at Valencia that include similar positions. It is strongly recommended that a representative from the Resource Development Office serve on interview committees for key grant-funded positions such as project coordinators. Committee members participate in screening the applications and in the interviews for the position.



Five business days after the position closes, the committee may screen the applications to select those applicants who meet the qualifications for the position. Particular attention must be given to applications of those individuals applying for Veterans' Preference in Career Service and Professional positions. The committee chair will then review the committee's recommendations and contact the candidates to be interviewed for the position. Applications submitted by those not selected for interview should be returned to a representative from Human Resources so a letter may be sent to those not selected for interview (see Section 3).

Step 3 - The Interviews

Traditionally, the interview committee schedules an entire morning or afternoon so that all interviews for the position may be completed at one time. It is customary to schedule time before the interviews begin to prepare a list of questions which will be used in all of the interviews to ensure that they are uniform.

After the first interviews are completed, the committee typically will recommend at least three candidates for second interviews; these second interviews are usually conducted by the

project director, his or her supervisor, and a college administrator. After the second interviews have been completed and a candidate has been selected, the committee chair will check the candidate's references. If the references are satisfactory, the **HR-20 Recommendation to Hire Form for Faculty Positions** or **HR-20A Recommendation to Hire Form for Non-Faculty Positions** (whichever is appropriate) must be completed (see Section 3). Please take care to make certain that the form reflects the correct percentage of effort that the position is expected to devote to the grant (actual records of work performed will determine, after the fact, how much time is charged to the grant). This form lists the members of the interview committee, the candidates interviewed, and the candidate chosen for the position. This form must be signed by the project director's supervisor, the campus provost or vice president (as applicable), the Vice President for Human Resources and Diversity, and the Vice President for Administrative Services before an offer of employment can be made.

Step 4 - The Offer of Employment

After the **Recommendation to Hire** form has been signed and the background check has been completed, Human Resources will extend an offer of employment. When the offer has been accepted, the drug screening will be scheduled and the committee chair should send a letter to those candidates selected for interview but not chosen for the position (see Section 3). Human Resources will complete the **HR-25 Personnel Action Form** for new employees only (see Section 3) which the new employee must sign in order to be officially added to the payroll. When all of these forms have been completed, and on the new employee's first day of work, Human Resources will hold a new employee in-processing and orientation and have the employee complete all necessary paperwork.

Part-Time Personnel

The procedure for hiring part-time personnel is different from the procedure for hiring full-time personnel. If the project director identifies an individual who is qualified to fill a part-time position, he or she will need to obtain a completed application from the candidate along with all

other necessary personnel forms, and then attach them to the **HR #18 Human Resources Recommendation to Hire Form for Part-Time Hourly**. Human Resources then will conduct a background check and advise the project director that the candidate may begin work.

It is important to remember that part-time employees are limited to 29 hours per week, and that employees who work a cumulative total of 2,080 hours or more are entitled to Social Security (F.I.C.A.) and retirement contributions to the Florida Retirement System. Part-time employees are paid bi-weekly. Project directors must send one of the completed forms listed below (whichever is appropriate; see Section 3) to Human Resources according to the Payroll schedule:

- §HR-27 Human Resources Action Form for Instructional Part-Time Services;**
- §HR-28 Part-Time Hourly Report Form;**
- §DFA-36 if paid for hourly work; or**
- §HR #29 for part-time instructional assistants.**



For more information on the college's personnel-related policies, please go online to <http://valenciacc.edu/policies/> and refer to the college's *Policy Manual*, sections 6Hx28:07, 6Hx28:08, and 6Hx28:09.

Employment Contracts for Grant Periods that do not Coincide with Valencia's Fiscal Year

To provide the college with a more accurate system for documenting terms of employment in cases of individuals who are supported by grants and the grant period is different from the college's fiscal year (July 1-June 30), personnel action forms need to be submitted twice per year. The following example demonstrates the steps that should be taken for a full-time project director whose salary is paid 100% from grant funds for a new grant that runs from October 1, 2003 – September 30, 2004: the first HR-25 form would cover October 1, 2003 (or the actual hiring date, if later) – June 30, 2004 (the end of the college's fiscal year). A second HR-25 form would need to be processed in May or June 2004 to cover the period from July 1,

2004 (the beginning of the college's fiscal year) – September 30, 2004, the end of the grant period (if the grant budget allows for college-approved cost-of-living adjustments, the second HR-25 form would reflect this increase). For multi-year grants, this process would need to be repeated each grant year.

Funding Agency Approval of Key Personnel

For Federal grants, if the original grant proposal does not specifically identify all Key Personnel positions, the project director must submit to the funding agency a request for approval to fill the vacant position. A resume of the individual must be included in the request letter (see Section B, Budget and Programmatic Changes).

Personnel Changes

During the life of the grant, it may be necessary to replace grant-funded personnel or to adjust salary rates. Most funding agencies, as part of the terms of the grant, have established procedures for prior approval of personnel changes that must be followed. The Resource Development Office will assist the project director in obtaining internal and external approval for all personnel changes. All requests must be made through the Resource Development Office. Approval must be given by the appropriate college administrators and secured in advance of implementing the changes. For additional details, see page 23.

SETTING UP EVALUATION

Project director reviews proposal objectives, activities, and outcomes

Project director develops preliminary evaluation plan

Project director meets with Institutional Research

Project director meets with external evaluator (if applicable)



(C) SETTING UP THE EVALUATION PROCESS

Program evaluation is an important component of the project; not only does the evaluation determine the success of the project in meeting its objectives, but the data gathered in the evaluation process are important to others who will study the project or replicate it. In addition, results of the evaluation will be disseminated to the funding agency and to others who express interest in the project.

Most grant proposals include an evaluation plan which serves as the blueprint for the project's evaluation. This plan outlines the general methods and standards to be used to measure the success of the project. This evaluation plan should include a description of what will be evaluated, when the evaluation will take place, instruments to be used for measurement, who will perform the evaluation, and how the information gathered will be used to determine the project's success. Establishing a solid and detailed evaluation plan at the onset of the grant period reduces the likelihood of confusion in the future.

After the grant award notification is received, the project director should review the objectives, activities, and outcomes of the proposal and develop a preliminary list of baseline data and possible assessment instruments needed in order to measure different aspects of project progress and success. The Office of Institutional Research is available to provide project directors with assistance in determining existing measurement processes that could provide project-relevant baseline data and to offer guidance and review in the purchase or creation of specific assessment instruments that may be used to establish baseline information or to measure pre- and post-intervention changes.

The project director should establish a recordkeeping process that addresses, at a minimum, the establishment of electronic databases; the physical location and organization of electronic

and paper files; processes to ensure the consistency, completeness, and accuracy of electronic and paper files; and methodology to document progress, including the ongoing status of any project partnerships.

Should the project director or project administrator have any questions or require clarification regarding the objectives, activities, or any other aspect of the project design, they should contact the Resource Development Office at the beginning of the grant project.

Many projects use an external evaluator who is familiar with the field of study and the type of program to be implemented. If the grant specifies the use of an external evaluator but did not designate one by name in the grant proposal, it is important to identify the evaluator as early in the project possible. The evaluator will sign a **Consultant Services Agreement** (available electronically on the college website - a copy may be found



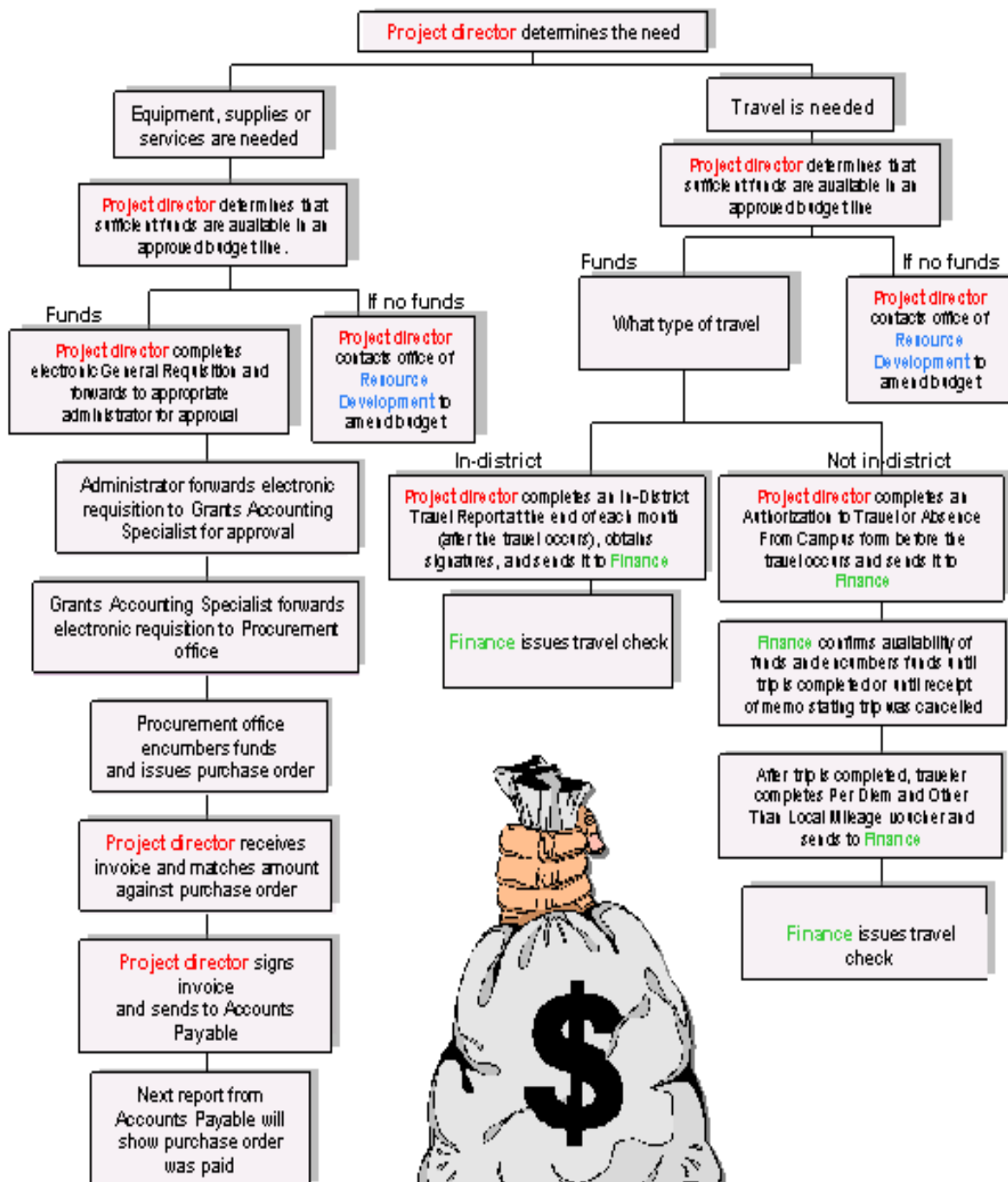
as form in Section 3) with the college in advance of performing the work. The external evaluator should receive information about the project on a regular basis and should assist in the development of the evaluation format. Any reports generated by an external evaluator should be submitted to the project director, who will then promptly submit a copy to the Resource Development Office and to the appropriate college administrator to whom he or she reports.

SECTION 2:
IMPLEMENTING
THE PROJECT

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SPENDING GRANT FUNDS (Non-Personnel)



SECTION 2: IMPLEMENTING THE PROJECT

(A) SPENDING GRANT FUNDS

One of the project director's major responsibilities is to manage the project budget within the terms of the grant. Careful and realistic construction of the budget when the proposal was developed means that adequate funds should be included to cover project costs and personnel expenses. The proposal budget serves as the project director's first spending plan.

It is the project director's responsibility to monitor and authorize all project expenditures and to make certain that all funds are expended, in accordance with the approved budget and the grant project timeline, before the grant expires. The project director will be able to run the **Expenditure Summary Report** on an as needed basis (see Section 3), which will assist in managing the project budget.



The terms of most government grants include a requirement that the college ensure that grant funds are not used to supplant (i.e., replace) funds normally available to the college for its operating expenses. For this reason, grant dollars are maintained under a separate Department Number, and all expenditures are scrutinized individually to make certain that they are part of the approved grant budget. If the grant stipulates that funds may not be used to supplant college funds, the project director must monitor all expenditures and budget revisions carefully. In these cases, Valencia's records must support the college's commitment to use grant funds to supplement, and not supplant, the college budget.

To avoid the unnecessary return of unexpended funds to the funding agency, expenditures should be reviewed on a monthly basis, with more comprehensive reviews at the midpoint and three-quarter point of the budget period. The project director should develop revised spending plans at the midpoint and three-quarter point to ensure that any necessary budget changes are

submitted on a timely basis prior to the end of the budget period (see page 23). Last minute change requests are typically not acted upon favorably by funding officials. Project directors should also use the midpoint and three-quarter point reviews to assess the ongoing status of time and effort and matching documentation (see the section on Recordkeeping). To assist the project director, the Resource Development Office may schedule periodic reviews to discuss budget plans and evaluation processes. In addition, Resource Development and the Grants Accounting Specialists are available at any time for assistance.

The initial proposal budget, along with any revised budgets developed by the project director, should incorporate plans to expend all grant funds each grant year. **Carryover of unobligated grant funds into a new grant year is not viewed favorably by funding agencies or by the college and should not be considered except in extreme circumstances.** Project directors must notify the Resource Development Office and the appropriate project administrator immediately upon determining that the project is at risk of having unobligated grant funds in any grant year.

Expenditures

Valencia Policy 6Hx28:06-06 (web accessible at <http://valenciacc.edu/policies/>) states, "**All purchases shall be made by requisition, purchase order, or petty cash procedures.**" As mentioned in the previous section of this handbook, personnel expenditures are initiated by a HR-25, HR-26, HR-27, or HR-28 form (see Section 3). Expenditures for equipment, supplies and services are initiated by an **On-Line Requisition**, and expenditures for travel are initiated from the **In-District Travel Report** (see Section 3) or the **Authorization to Travel** form (see Section 3). In addition, the terms of the grant may require additional forms.

Requisitions are completed and processed electronically via the college's Oracle system. When spending grant funds, approvers must "Approve and Forward" the electronic requisition to the appropriate Grants Accounting Specialist for approval before the requisition is submitted to the Procurement Office. Detailed instructions regarding this process may be found in Section 3.

The budget is administered through the college's Oracle system. Oracle training should be arranged as soon as possible for new project directors who are not familiar with the software. Many requisitions will be submitted electronically. However, examples of the use of a paper requisition include, but are not limited to, the following: (1) when a vendor does not accept purchase orders; (2) when ordering subscriptions, memberships, magazines, conferences, consulting services, hotel accommodations, employee reimbursements, cash advances, SPD funds; (3) when the supplier requires a check with the purchase. If you are not sure which form of requisition to use (paper or electronic), please contact the Procurement Office.



Project directors and staff should never instruct a supplier to deliver goods or begin any services until an authorized Purchase Order is issued by the Procurement Office. Any such instructions to a supplier may become the personal financial liability of the requesting individual. Departments are welcome to acquire quotes and suggest suppliers; however the final decision will be made by the Procurement Office based on the overall requirements, regulations, and mandates of the college. Project directors who have questions regarding the allowability of purchases based on specific grant requirements should contact the Resource Development Office or the assigned Grants Accounting Specialist.

Travel-related forms are available electronically on the college's website. First, the completed form is sent to the employee's supervisor for signature and then to the Finance Office. The assigned Grants Accounting Specialist will determine whether funds are available in the appropriate general ledger code to cover the expenditure. Next, the approved form will be forwarded to the Accounts Payable Office for payment. There, a check is issued for in-district

travel. In instances when an **Authorization to Travel** (see Section 3) has been generated, the funds will remain encumbered until the trip is completed or cancelled. To receive payment for an out-of-district or out-of-state trip, the payee must complete a **Per Diem form** (see Section 3). After this form has been completed and signed by the employee's supervisor and the appropriate administrator, a check will be issued to reimburse these expenses. A **Per Diem form** must be submitted even if there is no money due to the employee. Processing travel paperwork usually takes from four to seven business days, so the project director must make sure that the appropriate forms are completed well ahead of time.

International travel typically requires a minimum of six weeks to process because such travel requires prior approval by the District Board of Trustees. The Board does not meet every month, therefore project directors should work with their supervisors and administrators to ensure that a request for such travel is placed on the Board agenda as far in advance of the trip as possible. Funds supporting international travel will not be allocated until Board approval is received.

When developing spending plans, the project director should keep in mind that current Valencia procedures require that all travel-related expenses for a specific classification of traveler be drawn from a single GL code (e.g., bus rental, tickets, lodging, and meals for students going on a field trip should be allocated to a single GL code: 605060; the same expenses for chaperones on that same field trip should be allocated to a different single GL code: 605070)

Also, Valencia Policy 6Hx28:07-25 (web accessible at <http://valenciacc.edu/policies/>) states that no meals may be reimbursed for travel that does not involve an overnight stay; this applies to both in-district and out-of-district travel.

Competitive Bid Requirements

Valencia Policy 6Hx28:06-12 (web accessible at <http://valenciacc.edu/policies/>) states, "Colleges shall request bids from at least three (3) sources, or solicit a request for proposals... when purchasing services or commodities exceeding the amount as specified in Section 287.017,

Florida Statutes, for Category Two.” Currently, this policy applies to purchases exceeding \$3,499.99. The project director should consult the Procurement Office for specific information regarding this requirement. When accepting bids, Valencia shall accept the lowest or best bid or proposal. After the bids are received and tabulated, the Procurement Office sends them to the requesting department for review. Then the requesting department notifies the Procurement Office, in writing, of the awarded bidder. Procurement then sends out two letters: one to the winner, and the other to the ones who were not selected. Quotes must be submitted with the requisition for proper back-up.

When the purchase of an item (or group of items) exceeds \$25,000, the Procurement Office must obtain formal bids before requesting approval for the purchase from the District Board of Trustees. This process will take approximately 60 days. Bid



specifications must be developed, bids must be advertised and formally opened on a specified date, and the proposed purchase must become part of the agenda for the District Board of Trustees' monthly meeting if the cost exceeds Category Five of the Florida Statutes 287.017 (\$250,000). Purchases under \$250,000 are awarded by the Procurement Office. After the Board has approved the bid, the Procurement Office will generate the purchase order with the appropriate charge account number and forward it to the awarded bidder. The purchase order is also a part of the bid documentation.

In an effort to conduct business with local companies and minority/women owned companies, it is requested that at least one of the three vendor quotes be from a local developing business or minority/women owned business enterprise. The Procurement Office can assist the project director with identifying such suppliers. When purchasing intangible services (e.g., electrical, mechanical, structural, painting, etc.) which require the vendor to visit the college to

inspect or review a potential job, comparative price quotations must be obtained only when the cost of such services exceeds \$3,500.

Grant funds may not be used to pay for services provided by any vendor who is on the Federal Excluded Parties List System (<http://www.epls.gov>).

Equipment Purchases

Valencia follows state guidelines regarding the classification of equipment purchases under numerous GL codes. Many funding agencies also impose specific rules regarding defining, purchasing, and disposing of equipment: for example, many funding agencies define equipment as an item with a minimum \$5,000 unit cost. **Because the college must comply with funding agency, state, and college regulations and policies, when there are differences, the most restrictive definitions and procedures will prevail.**

For example, if a grant budget includes the purchase of an equipment item that costs \$1,500, it is very likely that the item will be classified under the “Materials and Supplies” budget category in the funding agency’s version of the grant budget because it does not meet the federal threshold of \$5,000. However, for college purposes, the item must be tagged and inventoried as an equipment item because it costs over \$1,000.

The college requires that all equipment items with a purchase price of \$1,000+ be tagged by the college Property Management Office for recordkeeping and inventory tracking. Although project directors should monitor the use levels, maintenance, and location of grant-funded equipment items as part of their regular grants management responsibilities, the equipment inventory maintained by the Property Management Office is the official college record. Project directors should obtain copies of inventory records annually from the Property Management Office to ensure that those records are consistent, complete, and accurate. Grant-funded equipment will be tagged with a label bearing the letter “G” to designate it as grant property.

Project directors are responsible for ensuring that equipment items purchased with grant funds remain in their originally-identified location. If equipment relocation becomes necessary,

before any equipment is moved, the project director must receive written approval by submitting a Property Control Form (PCF) request to the Property Management Office. The Property Management Office will contact the Grants Accounting Office to ensure that the move takes place in accordance with funding agency guidelines. In addition, disposition of this equipment at the end of the grant period must be in accordance with funding agency and college guidelines; this disposition process is included as part of the college's grant closeout process.

The project director should consult with the grant writer or the grants accounting specialist assigned to his/her project if there are any questions regarding equipment.

Subrecipients, Contracts, and Consultant Services

Some grant budgets have funds allocated for the purchase of subrecipient services, contracted services, and/or consultants. The most typical situation where subrecipient services are needed is when grant funds need to be shared with other organizations operating as project partners. Contracts may be needed to purchase services or products from a vendor. Consultants may be needed to serve as evaluators or speakers, or to provide expertise in a particular area.



After the project director's initial meeting with the Finance and Resource Development offices, the Resource Development Office will draft subrecipient agreements as needed. These drafts will include specific requirements regarding budget, deliverables, reporting, and recordkeeping. These drafts will be sent to the project director, the Finance Office, and the College General Counsel's Office for review and approval. Once approved, the Resource Development Office will submit the agreements to the appropriate parties for signature by an authorized individual. Should negotiation of the agreement be necessary, the Resource Development Office will handle this process, consulting with the College General Counsel's

Office, Finance Office, and project director as needed. Upon receipt of the signed agreement, the Resource Development Office will obtain signature and acceptance of the President or the Vice President for Administrative Services then distribute copies to all relevant parties. An example of a subrecipient agreement may be found in Section 3. Once the agreement has been signed by all parties, an on-line requisition must be completed. The project director will participate as needed in subrecipient monitoring activities coordinated by the Resource Development and Finance offices.

College policy requires that only the President or his designee is authorized to sign, on behalf of the District Board of Trustees, all agreements, contracts, grants and other documents. College employees (such as project directors) must be specifically authorized by the President, in writing, to obligate the college to any contractual or financial agreement. Such delegation of authority shall be in writing and filed with the Vice President for Administrative Services/Chief Financial Officer.

The project director should consult Procurement Office staff regarding the securing of vendor services via contract (see page 21).

Once a consultant has been identified, the project director should complete the **Consultant Services Agreement** form (available electronically on the college website - a copy may be found in Section 3). The project director, supervisor, and Provost/Vice President approve the hiring of consultants in advance of receiving the services on a case by case basis, taking into consideration the market rates for similar services and the salary rates of any similarly qualified college personnel. The rate paid to each consultant should be consistent with the rate currently paid by the college to consultants with similar qualifications.

Printing, Design, and Video Production Services

The production of all Valencia publications is coordinated through Christian Campagnuolo, the Assistant Vice President of Marketing and Media Relations. Project directors who plan to expend grant funds for designing and printing new publications (e.g.,

brochures, *not* basic copying and duplication) must consult and work with the Valencia Creative Design Studios department. **All video production must be coordinated through Valencia's Television and Video Production department.** Project directors should contact these departments as early as possible in the grant period; the departments usually cannot accommodate last minute requests. For grants that end on June 30 of a given year, April 15 is the deadline for contacting these departments to initiate the planning process.

Promotional Items, Marketing, and Supplies

For Federal grants, promotional items are also referred to as memorabilia, which are considered advertising and public relations costs, and thus are unallowable. Marketing of products and services of Valencia are also unallowable. However, costs incurred for materials supplies are allowable as long as they are necessary to carry out the grant project.



The Invoice

Upon receipt of an invoice from the Accounts Payable Department, the project director should match the amount of the invoice to the purchase order issued, indicate which line items to pay, sign the invoice approving it for payment, and send it to Accounts Payable. Each month, the project director should run an encumbrance detail report from Oracle and follow up on any outstanding purchase orders. If items are received and the purchase order is complete, the project director should submit a list of purchase orders to Procurement to be closed. Remember, a purchase order cannot be closed if there are outstanding invoices against it.

90 Days before the Close of the Grant Year

It is important to remember that all outstanding purchase orders must clear the Finance Office before the grant year closes. In order to ensure that this is done, the project director

should begin to implement a plan for the closing of the grant year at least 90 days before the official ending date. For assistance in planning the closing of the grant year budget, please call the assigned Grants Accounting Specialist. Additional details regarding final reports may be found on page 37, and the general closeout process is described in Section 2H.

BUDGET AND PROGRAMMATIC CHANGES



(B) BUDGET AND PROGRAMMATIC CHANGES

Even though the project budget was carefully constructed when the proposal was developed, the budget may need to be revised to meet changing needs or circumstances. Examples of changing budget needs include: (1) excess funds may be available if project personnel do not work the full duration of the budget year or if projected salary increases were higher than actual salaries, or if the employee enrolls in the College's Flexible Spending Plan; (2) there may be excess funds in the equipment category because the bids were lower than expected; or (3) a shortfall in an account has resulted from costs being higher than anticipated.

All proposed changes must be routed in advance of implementing the change through the Resource Development and Finance offices for internal review and approval by the appropriate administrators. After the project director completes the **Budget/Programmatic Change form** (see Section 3) and drafts the applicable correspondence (see examples in Section 3), this paperwork is sent to the Resource Development and Finance offices. A representative from the staff will provide guidance in developing the final version of the correspondence as well as in obtaining both internal approval and approval from the funding source. Some funding agencies require additional paperwork as well. All change requests should be requested in advance and they cannot conflict with the terms of the grant. **Since some awards come with restrictions that will not permit the movement from one spending category to another, to limit the percentage of the budget that can be transferred, project directors should always check the special conditions and/or restrictions attached to their award notice before completing any internal budget transfers from one GL code to another.**

Prior to requesting budgetary or programmatic changes, the changes may need to be discussed with the appropriate funding agency representative(s), and then followed up with a letter. This contact with the funding agency is usually done by a representative from the Resource Development Office. **Changes are not officially approved until a written response from funding agency is received.**

If it is determined during the preliminary review process that the program guidelines do not require prior approval for a change, a notification letter (see Section 3) should be processed internally through the Resource Development Office will mail to funding agency representatives for recordkeeping purposes. In all cases, files maintained by the project director and the Resource Development Office should contain a complete trail of all written and verbal contact with the funding agency.

After the revised budget has been approved in writing, a **Budget Amendment Request** form along with a copy of the funding agency's approval (see Section 3) must be submitted to the Finance Office to officially change the project budget. The Grants Accounting Specialist can provide assistance in completing this form.



(C) RECORDKEEPING

Any activities undertaken during the project and all expenditures of project funds are part of the records, or documentation, for this project. In evaluating the project, the funding source will want to know exactly what was done, when and how it was done, and how much money it cost. Accurate and complete records are a must; these records will support the college during a monitoring visit from funding agency representatives, in the evaluation of the project, during the college's regular annual financial audit, or in the event of a funding agency audit. The following are some of the records that must be maintained as part of the project:

Payroll Records

Time and effort records must be maintained so that salary charges to an award can be adequately supported in accordance with funding agency regulations. Payroll records that must be maintained include forms documenting who worked on the project, how much time each person spent on the project, how much they were paid, and what activities they performed. In addition to the college's regular payroll records, time and effort for grant-related full-time and part-time administrative, professional, and career staff must be documented on the **Time and Effort Documentation Form** (see Section 3). This form includes the following information: (1) the name and signature of the employee; (2) the hours an employee worked during a given pay period; (3) the activities performed by the employee during the period; and (4) the name and signature of the employee's supervisor. An employee whose time is devoted to more than one grant must complete multiple Time and Effort Documentation Forms and maintain records that support the amount of time charged to each grant for which he or she worked.



Matching

The project director must maintain records documenting the amount of matching in the approved budget for the project, either in-kind or cash. In-kind match represents the value of non-cash contributions in services or property to the project. The **Time and Effort Documentation Form** and a supporting **Time Card** may be used to document in-kind services of project personnel. Keep copies for the project files and send the original **Time and Effort Documentation Forms** and a copy of the **Time Cards** to the assigned Grant Accounting Specialist. The Resource Development Office recommends that personnel paid by grants or contributing in-kind matching services to grants maintain a record of their daily activities using a format such as the log sheet included in Section 3, and then consolidate this information by transferring it to the **Time and Effort Documentation Form** or the **Time Card**.

The terms of the grant will stipulate the length of time for which grant records must be maintained. According to Federal regulations, records for Federal grants must be retained until three years after the due date for the annual financial report for each year of the grant (e.g., if Year 1 of a three-year grant ends on June 30, 2003, and the annual financial report for that year is due on September 30, 2003, then Year 1 program and financial records must be retained until September 30, 2006). Valencia maintains all financial records for at least three years in accordance with state requirements. However, the grant award and terms and conditions may stipulate a longer retention period, and, if so, it must be followed. For consistency, Valencia retains single and multi-year grant records for five years after the due date of the final financial report (e.g., if Year 3 of a three-year grant ends on June 30, 2003, and the final financial report for the entire grant period is due on September 30, 2003, then program and financial records for Years 1-3 must be retained until September 30, 2008).

Audits

Each year, Valencia's records are audited by the State of Florida. Also, Valencia's internal auditor, who reports to the District Board of Trustees, may elect to audit the project. Finally, certain funding agencies maintain the right to audit the grant records. All financial records must

be maintained in order to facilitate any audit(s) that may include a review of the project. In the event of a funding agency audit, the Resource Development Office will lead efforts to prepare for and respond to audit inquiries. The project director must contact the Resource Development Office immediately after receiving any verbal or written communication from the funding agency regarding a site visit, program review, or audit.

Audit findings can result in cost disallowances and require organizations to make repayments to the funding agency. The most common audit findings include: (1) lack of time records to support salary costs charged to awards; (2) lack of consulting agreements and invoices to support that services were related to the award, and that the charges were reasonable; (3) amounts expended in unapproved or other cost categories without required written approval from the funding agency; (4) adequate supporting documentation was not provided for cost sharing/match claimed.



(D) COMMUNICATING WITH THE FUNDING AGENCY

General

Formal communication with the funding agency will typically consist of interim and final project reports. It is a good idea, however, to maintain open lines of communication with the program officer and the grant officer.

The funding agency establishes dates for when all programmatic and fiscal reports are due, and the agency is entitled to change its reporting expectations and/or process at any time during the grant period. Often, notifications of such changes are sent directly to the project director; the project director should immediately forward any information from the funding agency to the Resource Development office.

The program officer, the representative of the funding agency who oversees the project, will be interested in progress toward meeting the goals and objectives of the project. Any change in project scope, key personnel, or budget must be approved by the grants officer, in consultation with the program officer. The terms of the grant will provide specific information about the roles played by these two funding agency contacts.

Correspondence requesting changes in the project's objectives, scope, personnel, budget, or time period must be approved internally in advance, including approval by the Resource Development Office and senior level administrators, before they can be submitted to the funding agency. Should a project amendment be necessary, please refer to Section B, Budget and Programmatic Changes.

The Resource Development Office is primarily responsible for contacts with the funding agency. A representative must review all correspondence before it is sent to the funding agency and maintain records of all verbal and written communication in the office files.

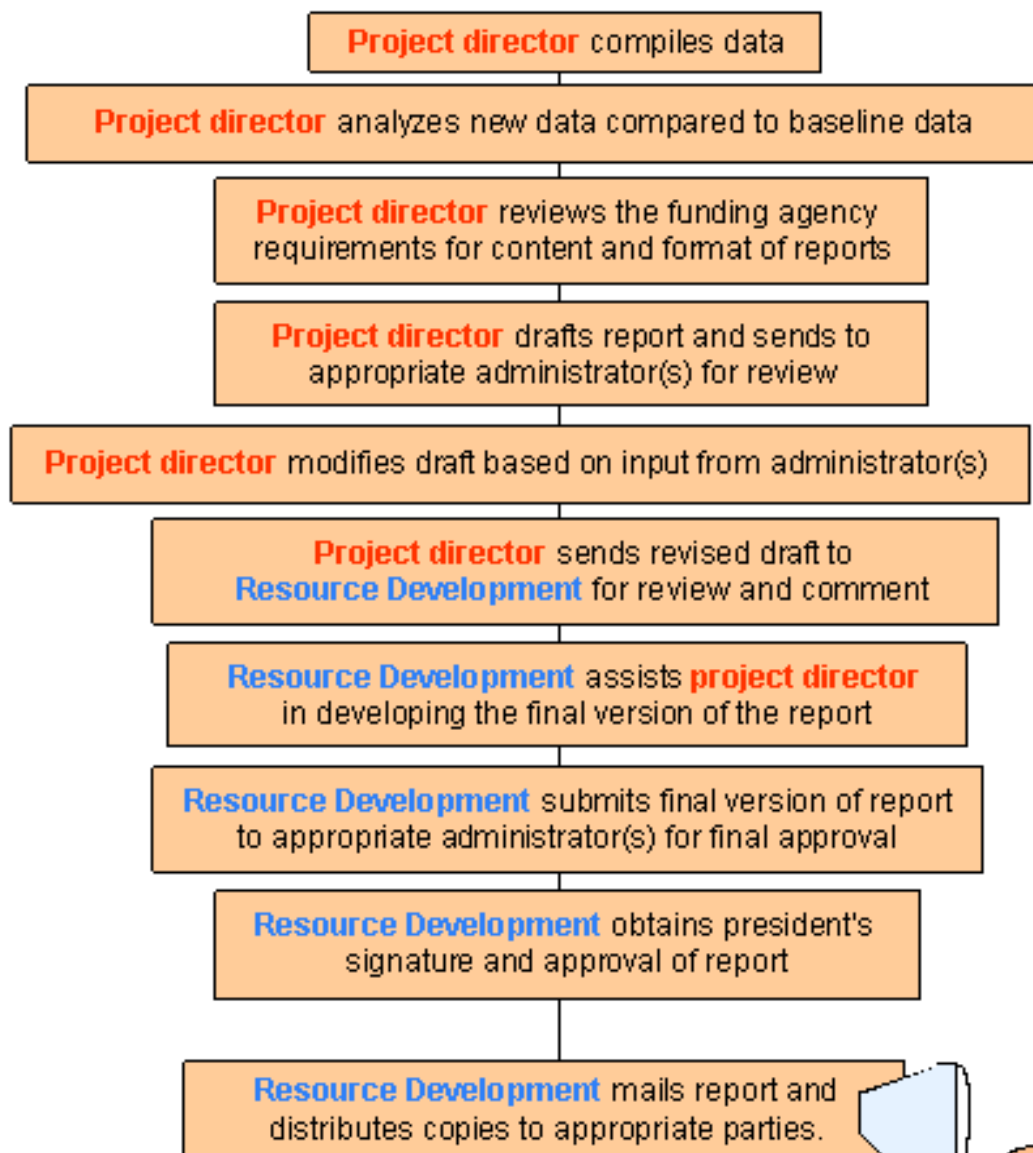
Site Visits

Occasionally, funding agencies will request a site visit. This visit is coordinated by the Resource Development Office. Working with the project director and the funding agency representative, the Resource Development Office drafts an agenda, identifying the appropriate individuals and locales to be included in the site visit. This agenda is submitted to the President for approval (see example in Section 3).

The site visit gives the college an opportunity to share with the funding agency the project's progress and continued potential. Project directors must be prepared to address and present documentation regarding the attainment of project objectives and recordkeeping, and the Finance Office must be prepared to present financial documentation. Occasionally a successful funding agency visit is a requirement for continued funding in a multi-year project.



PROJECT EVALUATION AND REPORTS



(E) PROJECT EVALUATION AND REPORTS

As stated earlier in this handbook, evaluation is an important component of the project for the purposes of measuring successful accomplishment of project objectives, replication by others, and information dissemination.

Having established accurate baseline data and comprehensive assessment instruments at the beginning of the grant period makes life easier for the project director who must draft formative and summative evaluations during the life of the grant. Formative evaluations are conducted at specified points during the grant period; the results of these evaluations are used to assess progress and identify potential or actual problem areas, facilitating project modifications as needed and are often used by the funding agency to determine if funding will continue. Summative evaluations are completed at the conclusion of the entire grant period. Depending on the funding agency, formative evaluations may be required monthly, quarterly, annually, or not at all; summative evaluations are required of all grants. For some multi-year government grants, a formative evaluation is submitted annually in the form of a “progress report” or “competing continuation application” as a requirement for continued funding in the subsequent year.



Project directors must remember that evaluation is an ongoing process and should be addressed continuously during the life of the grant.

The formal award notification includes a schedule for any reports that must be submitted and the dates these reports will be due. Grant programs require interim progress and financial reports either quarterly, semiannually, annually, or upon request from the funding agency. Project directors must be aware of the format and content requirements of reports and their due dates before the project begins so that information needed for the reports may be collected

throughout the duration of the project. The funding agency establishes dates for when all programmatic and fiscal reports are due, and the agency is entitled to change its reporting expectations and/or process at any time during the grant period. Often, notifications of such changes are sent directly to the project director; the project director should immediately forward such information to the Resource Development office.

Performance or programmatic reports are the responsibility of the project director and should reflect the progress made in accomplishing the project objectives. The report should identify the project's strengths in addition to strategies which will correct any weaknesses in the program. The Office of Resource Development is available to interpret funding agency requirements and to draft portions or all of reports as assistance may be needed.

Depending on the funding agency's requirements, reports may be submitted electronically. In all cases, programmatic reports must be processed through the Resource Development Office and approved and submitted under the President's signature. If the funding agency does not provide a specific reporting format, at a minimum the programmatic reports should address the project's progress in meeting the measurable objectives as shown in the original grant proposal. An example of a simple performance report may be found in Section 3.

Progress should be reported based on outcomes, not process. Process simply describes the activities that have taken place; outcomes focus on the measurable results of those activities. Project directors should be prepared to address the connection between grant expenditures and specific objectives/outcomes if requested by the funding agency.

Financial reports for the project will be completed by the Grants Accounting Specialists. They must have complete records of project expenditures and documentation of matching or cost-share for the project in order to complete the reports. Project directors must allow sufficient time between the submission of this information and the due date for the report for the purpose of obtaining internal approval prior to submission to the funding agency.

(F) PROJECT PUBLICITY AND PROMOTION

The awarding of a grant is newsworthy. The local, business, and educational communities should be notified of the grant award which established the project and of the project's activities once implementation has begun. **All publicity for Valencia programs and the dissemination of project results are coordinated through Christian Campagnuolo, Assistant Vice President of Marketing and Media Relations.**

If the project director is contacted directly by the media, he or she should contact the Marketing and Media Relations Office prior to the sharing of information about the project. If the project director receives a request for a copy of the grant proposal or other grant-related documents, the request should be referred to the Resource Development Office.



for a

Information about the project activities may be promoted internally via the weekly collegewide distribution of *The Bulletin*. Submissions (see examples in Section 3) should be directed to Mary Jane Jones in the Marketing and Media Relations Office.

(G) DISSEMINATING PROJECT RESULTS

One of the tasks involved with project management is the dissemination of the results and products of the project. Evaluation results, the project's model, handbooks, manuals, and instruments developed over the course of the project may all be disseminated.

Many grant proposals include a dissemination plan which will outline what, when, how, and to whom this information should be disseminated. This plan can be used to ensure that the required information has been sent to the appropriate professional organizations and publications, and to schedule presentations to disseminate project results at national, regional, and local meetings and conferences.

Some projects include a plan for the design and implementation of a grant-supported conference or workshop to disseminate information. In many instances, this activity is conducted in coordination with the Conference Management area within the College and Community Relations department.

Conference Management is a self-supporting entity within the college that was established in response to a demand to provide Valencia and other area community, educational, and government organizations with planning and coordination services for meetings, conferences, and workshops. Management functions include registration, hotel and meeting site negotiations and arrangements, cash flow management, audio-visual equipment needs, printing, promotional mailings, and other related services. Project directors who plan to sponsor grant-supported conferences or workshops should contact Fiona Baxter, Assistant Vice President of College and Community Relations, as early as possible, preferably six to 12 months in advance of the desired conference dates; the Conference Management Office usually cannot accommodate last minute requests.

In addition, internal dissemination of best practices may be achieved through Leadership Valencia, the college's professional development program. Additional information about Leadership Valencia may be obtained by calling Fiona Baxter in the College and Community Relations Office.

If the proposal does not include a dissemination plan, results of the project may be disseminated to appropriate professional organizations and publications, statewide and regional conferences, and through electronic means. At a minimum, all project materials and results should be submitted to the funding agency, to

institutional personnel who have been involved with the project, and, if applicable, to the news media through Christian Campagnuolo Assistant Vice President of Marketing and Media Relations.

(H) CLOSEOUT

Most funding agencies have required processes associated with closing out grant projects. Many closeout tasks have been addressed in detail in other areas of this handbook. The project director will need to complete all closeout activities prior to his/her last day paid from the grant. Any questions regarding this issue should be directed to the Office of Resource Development.

To ensure that these processes are followed, in the last three to six months of the entire grant project period, the project director must work with the Resource Development and Finance offices to finalize: (1) secure record retention of electronic and paper files; (2) reporting final outcomes in a final programmatic report to be submitted to the funding agency; (3) final expenditures; (4) equipment and supply disposition (including the establishment of current values of existing equipment and unused supplies); (5) time and effort documentation; and (6) any matching documentation.

The project director must ensure that all records retained as part of the closeout process be appropriately organized and labeled prior to storage in order that they be readily available in the event of an audit. Project directors should use the following checklist as an aid to ensure that all steps associated with the closeout process are completed.

CLOSEOUT CHECKLIST
02/22/05 Version

This checklist is designed to serve as a general guide to project directors of grants to assist them in completing the closeout process at the end of a grant. Individual grants may have requirements that extend beyond or differ from this checklist. If there are any questions regarding closeout requirements for a specific grant, project directors and their supervisors/administrators should consult with the Resource Development office and/or the Grants Accounting department. In addition, project directors should check to determine if grant staff will be taking accrued leave prior to the grant closing date, staff cannot be paid for accrued leave after the grant has ended.

The Grants Accounting department is responsible for meeting the financial closeout requirements of all grants and will contact project directors, their supervisors/administrators, and the Resource Development office as needed.

The project director should complete this document during the last three to six months of the entire grant project period.

Step	Task	Consult with (as appropriate)	Recommended Completion Date	Actual Completion Date
1	Final Programmatic Report (usually due up to 3 months after the grant ends)			
	A Review program guidelines to determine final reporting requirements	Resource Development office		
	B Review any previously-submitted programmatic reports	Supervisor		
	C Compile final project data/results/ progress	Supervisor, Project staff, External Evaluator ²		
	D Draft final programmatic report (summative)	Supervisor, Resource Development office		
2	Final Expenditures (to ensure that all grant funds are spent prior to the last day of the grant)			
	A Review current budget and develop final spending plan to ensure that all remaining grant funds will be expended completely and appropriately	Grants Accounting department		
	B Expend all remaining grant funds	Supervisor		

² An External Evaluator only needs to be consulted if an external evaluation has been conducted as part of approved project activities.

Step	Task	Consult with (as appropriate)	Recommended Completion Date	Actual Completion Date
3	Equipment and Supply Disposition (in preparation for what happens after the grant ends)			
A	Inventory all remaining project equipment, supplies, and materials	Project staff, Supervisor, Grants Accounting department, Property Management department		
B	Determine current value of individual equipment (tagged) items	Property Management department		
C	Determine current value of individual unopened/unused supplies and materials	Project staff, Supervisor		
D	Report current values of equipment, supplies, and materials to Resource Development office to determine if communication is required with the funding agency regarding disposition	Supervisor, Resource Development office		
E	Follow disposition instructions provided by the Resource Development office	Supervisor, Resource Development office, Grants Accounting department		
4	Time and Effort Documentation			
A	Review originally-approved proposal budget to identify all staffing commitments (grant and match)	Grants Accounting department		
B	Determine time and effort documentation already documented in Grants Accounting files	Grants Accounting department		
C	Determine time and effort documentation still remaining to be documented and documentation format	Grants Accounting department		
D	Obtain remaining time and effort documentation	Project staff, Sources of time and effort match		
E	Submit time and effort documentation to Grants Accounting department	Grants Accounting department		
F	Confirm satisfaction of time and effort documentation	Grants Accounting department		
5	Non-Personnel Matching Documentation (if applicable)			

Step	Task	Consult with (as appropriate)	Recommended Completion Date	Actual Completion Date
	A	Review originally-approved proposal budget to determine source and value of match (annual and cumulative)	Grants Accounting department	
	B	Review program guidelines to determine amount of required match	Resource Development office	
	C	Determine source and value of match documentation already documented in Grants Accounting files	Grants Accounting department	
	D	Determine match still remaining to be documented and documentation format	Grants Accounting department	
	E	Obtain remaining match documentation	Sources of match	
	F	Submit original match documentation to Grants Accounting department (keep copies in program operation files)	Grants Accounting department	
	G	Confirm satisfaction of match	Grants Accounting department	
6	Record Retention (in preparation for extended record storage after the grant ends)			
	A	Determine required retention period for program records	Resource Development office	
	B	Determine secure location for storage of program records (electronic and paper)	Supervisor	
	C	Review program records to dispose of duplicate documents	Supervisor	
	D	Organize and label boxes to store program records	Supervisor	
(1)	Documents of similar purpose and content should be placed together, preferably in the same box			
(2)	The outside of each box must be clearly labeled to indicate: (a) Box number (e.g., 1 of 20, 2 of 20); (b) Funding agency and program (e.g., U.S. Department of Education, Title III); (c) Grant year and budget period of documents contained in the box (e.g., Year 1, 10/01/00-09/30/02); (d) Destroy date ³			

³ Destroy dates vary depending upon federal, state, and program regulations applicable to each grant. It is critical that the Project director label each box correctly based on a retention period confirmed by the Resource Development office.

Step	Task		Consult with (as appropriate)	Recommended Completion Date	Actual Completion Date
E	Submit an inventory list of boxes and their contents, plus the exact physical location of the boxes, to the Resource Development office and the Grants Accounting department		Resource Development office, Grants Accounting department		

Upon completion, the project director and supervisor should sign and date then distribute this checklist as follows:

- Original to Grant Writer for filing in grant notebook
- Copies to Project Administrator, Grants Account Manager, Internal Auditor, and Project Director.

Project Director

Supervisor

Date

Date

SECTION 3:

FORMS AND SAMPLES

<u>Handbook Section</u>	<u>Form/Sample</u>	<u>Page</u>
1A - Setting Up the Grant Budget	None	
1B - Hiring Project Personnel	Activity Checklist for Chair of Selection Committee	A
	Personnel Recruitment Request Form (HR #10)	C
	Recruitment Options	D
	Recommendation to Hire Form for Faculty Positions (HR-20)	E
	Recommendation to Hire Form for Non-Faculty Positions (HR #20A)	G
	Personnel Action Form for Full-Time Employees (HR-25)	I
	Recommendation to Hire Form for All Part-Time Positions (HR #18)	J
	HR Action Form for Instructional Part-Time Personnel (HR-27)	K
	Part-Time Hourly Report Form (HR #28)	L
	Hourly Payroll Report Form (DFA-36)	M
	Personnel Action Form for Part-Time Instructional Assistant Personnel (P-29)	N
	Examples of Hiring-Related Correspondence:	
	Interview confirmation	O
	Applicants who declined interview	P
	Applicants interviewed, but not a finalist	Q
	Applicants interviewed, but not offered position	R
1C - Setting Up the Evaluation	See Consultant Services Agreement (FA-60) in Section 2A	
2A - Spending Grant Funds	Expenditure Summary Report	S
	Printout of On-Line Requisition	U
	Oracle Departmental Approver Instructions	V
	In-District Travel Report (DFA-1)	BB
	Authorization for Travel or Absence from Campus (FA-33)	CC
	Per Diem and Other Than Local Mileage Voucher (FA-7)	DD
	Purchase Order	EE
	Subrecipient Agreement	FF
	Consultant Services Agreement (FA-60)	SS
2B - Budget and Program Changes	Budget Amendment Request	TT
	Budget/Programmatic Change Form	UU
	Examples of Change Correspondence:	
	Budget Change Request	VV
	Programmatic Change Request	WW
Budget and Programmatic Change Request	XX	
Notification Only	YY	
2C - Recordkeeping	Time and Effort Documentation Form	ZZ
	Time Card	AAA
	Daily Log Sheet	BBB
2D - Communicating with the Funding Agency	Sample Site Visit Agenda	CCC
2E - Project Evaluation & Reports	Uniform Progress Report for Grants	FFF
	Financial Status Report	III
2F - Project Publicity & Promotion	Sample memo to college marketing office	KKK
	Sample submission to <i>The Bulletin</i>	LLL