

Peralta Community College District

*A Guide for Writing and
Managing Grants*

Spring 2012

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Abstract

Introduction

As state and federal funding has declined over recent years, grant funding has become increasingly more important and will contribute substantially to the operation of the colleges and district. This Guide for Writing and Managing Grants was created to familiarize faculty and staff with the fiscal and general administrative responsibilities of the grant process and to give Grant Writers and Project Directors the information needed to effectively organize and manage a grant. Faculty and staff are encouraged to apply for grants and to use this manual to help clarify the procedures so there are no unanticipated delays or problems and the grant process is successful.

Grant Process Overview

The first section of the guide, “Grant Process Overview,” gives a concise description of the process, from locating funding sources and the steps to writing the proposal narrative to developing the proposal budget and reviewing the final proposal. This can be used as a starting point to get the general idea of what it will take to write a successful grant proposal.

Grant Procedures and Responsibilities

The section on “Procedures and Responsibilities” gives more detailed and comprehensive, step-by-step directions for completing a successful grant proposal. The guide starts with considerations to make before applying for a grant and who to contact with the grant information. The guide then goes through the application process, acceptance, project management, hiring criteria, facilities, purchasing, inventory control, information technology, and audits. The document also spells out what other offices should be collaborated with to successfully complete the project

Appendices

The “Appendices” section is an important key to finding useful information quickly. There are checklists and flowcharts for the grant process, a proposal development outline, a sample list of in-kind funding, and criteria for hiring independent contractors. In addition, there is a list of District personnel knowledgeable about the grant process who would be willing to help you.

Grant Process Overview

Following is a brief overview of the grant application process. For more detailed instructions, please go to the Grant Procedures and Responsibilities section of this Guide.

1. Planning for the Grant

Before deciding to apply for a grant, conduct research and have all of the knowledge necessary to start the process, as follows:

- a. Identify a need, problem, and/or innovative curriculum idea.
- b. Gather data and conduct a needs assessment.
- c. Research the problem, including related projects at other colleges.
- d. Name potential participants and brainstorm the proposal.
- e. Find the funding sources.
- f. Contact possible collaborators and consider a consortium effort.
- g. Submit proposal for review to the Office of Educational Services.

2. Finding the Funding

Funding sources can be found at many levels - federal, state, community, foundations, and private donors, as explained below. The Office of Educational Services sends periodic notices of grant competitions for those who wish to be on the mailing list. Funding opportunities can also be found at www.peralta.edu/educationalservices.

a. Federal, State, and Community Grants

Federal grants address national priorities, policies, and needs, such as Title III, awarded by the U.S. Dept. of Education. State grants respond to state needs and issues and come from such agencies as the Department of Education. Community grants address local needs and may come from municipal agencies, civic organizations, and social service and professional organizations.

b. Private Donors and Foundations

There are three types of foundations: independent (directed by a donor or a family), company-sponsored (including businesses such as Bank of America), and operating foundations (which use their funds to provide charitable services).

3. Writing the Proposal Narrative

The proposal format will vary and should always comply with specific criteria of the grant. Following is a list of what is generally included in proposals.

Introduction

- a. College/district, credibility, and qualifications.
- b. Statement of purpose, mission, goals, and philosophy.
- c. Significant events or projects in the history of the college or district, such as major accomplishments, that may influence the grant.
- d. Prior and current activities related to the proposal topic.
- e. The college's capabilities and capacities to carry out the project.

Needs/Problem Assessment. State clearly the needs or problem that the grant proposal intends to address, and cite concrete evidence or manifestation of the problem.

Participants or Target Area. Describe in detail the participants or population intended to receive the services of the grant, including participant selection criteria.

Project Management. Include the qualifications of key personnel, along with curriculum vitae/resume. If possible, select a high-level manager as Project Administrator. Collaborating with other community colleges, school districts, or businesses strengthens the proposal.

Organizational Chart. Illustrate the placement of the project within the institution's organization to show the project's high visibility.

Goals and Objectives. State the goals and objectives of the proposal in clear, realistic terms, using specific measurements.

Methods and Activities. Describe the methods and activities as thoroughly as possible using detailed information.

Timelines. Develop both short- and long-term timelines; e.g., planning (two months), implementation (one semester), formative and summative evaluation (ongoing), institutionalization (second year), and replication at other sites (third year).

Annual Work Plan. Summarize the procedures/activities, performance outcomes and timelines required to achieve each objective of the project.

Budget and Narrative. Provide a detailed and easily interpreted estimate of the cost of the project by category and object code, including benefits for personnel, and allowable indirect cost in the budget. (see Budget Section for further details.)

Evaluation Plan. Name the person who is going to perform the evaluation and describe the measurement instruments or other evaluative procedures.

Future Funding. Indicate what steps will be taken to acquire additional funding if the project continues beyond the original funding period.

Supporting Letters. Only if requested, include letters of endorsement in the appendix from a broad range of community supporters describing their contributions or roles.

4. Developing the Proposal Budget

The following components should be included in the budget.

Indirect Costs

Indirect costs are those costs that are assumed by the institution which are not readily identifiable with a particular project or activity, but which are necessary to the general operation of the institution. There are two types of indirect cost rates: *predetermined* and *fixed with carry-forward*. The indirect cost rate used should be decided in advance by the granting agency. For most grants in which direct costs are allowed, the Peralta District uses the predetermined rate of 10 percent. Included may be costs of operating and maintaining buildings, grounds, and equipment; general and departmental salaries; accounting; personnel services, use of equipment, etc. Indirect costs may or may not be paid by the funding source. Governmental agencies

generally allow payment for indirect costs while many foundations do not. Whenever indirect costs are allowed in the budget, they should be included. The level of indirect costs that can be included in the budget may vary, however. Funding sources often allow a percentage of the total direct costs, the personnel costs, or a set amount. The application guidelines and funding source policies should indicate the amount allowed.

In-Kind Contributions

Costs and third party in-kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable, and accurate records must be maintained. This value can be counted only if the program would have had to pay for the services or equipment.

Matching Funds

Most funding sources will require some financial support to be provided by the college or other groups, from partially to fully matched. These funds could go toward personnel, equipment, supplies, communications, space and office rental, and other miscellaneous expenses such as printing or travel.

5. Checking Proposal Tips

What Reviewers Want to See

- Will the proposal fulfill the need of the foundation, agency, or corporation?
- Will it bring visibility and positive publicity for the grantor?
- Will it serve as a model for others? Is it replicable?
- Will it continue to exist after the funding has terminated?
- Do the principal investigators and participants have a good track record?
- Is the proposal unique and significant?
- Is there a high probability that the project will succeed?
- Is success measurable?

Why Reviewers Reject Proposals

- Not enough evidence of planning or investigation.
- No evidence of commitment such as letters of support.
- Didn't follow guidelines.
- Excessive or unrealistic budget.
- Too much money budgeted for administrative overhead.
- Calendar and/or schedule of events were vague or nonexistent.
- Proposal was weak and poorly written (grammar and spelling errors) and did not follow the suggested format.
- Evaluation of program outcomes was vague.
- Objectives and activities were not clear or specific or were unrealistic.
- The proposal lacked evidence of internal support or community involvement.
- The proposal failed to establish a need.
- The proposal was not cost-effective.
- The college or district has a poor track record in managing grants.

6. Review Proposal Questions

Funding Sources. If a funding source has been selected, how consistent is the applicant organization and proposed program with the interests, priorities, and legal requirements of the selected funding source?

Summary (Abstract). Has a brief, clear, concise statement of the proposed program been presented?

Introduction. Has the applicant built credibility, especially in the program area in which funds are requested?

Problem Statement or Needs Assessment. Has an important problem of workable dimensions been presented and data been given to substantiate the problem? Is there a strong need for the project? Is documentation included (data from authoritative studies, surveys, comparison of national and local problems, statements from experts)?

Program Objectives. Are there clear objectives? Are they behavioral and measurable? Do they relate to the stated problems or needs? Do they refer to the outcome of the program and not the methods by which the outcome will be reached?

Methodology. Is the methodology sufficiently detailed and justified? Is evidence given as to why the methods should bring about the desired results? Are they capable of achieving the objectives? Are timetables and the rationale for choosing a particular method included? Does the methodology reflect the state-of-the-art in the field?

Evaluation. Does the proposed evaluation plan measure accomplishment of objectives and quantity and quality of service? Is the process evaluation or monitoring procedure detailed? Are the data collection methods presented?

Facilities/Staff. Are the facilities adequate and the staff qualified to carry out the program?

Future Funding. If the program is to be continued beyond the grant period, is a plan presented for future financial support? For a non-recurring grant are other costs necessary to implement the program described?

Budget. Does the budget correlate with the proposal narrative? Is it sufficient to perform all the tasks described? Have unexplained gross figures been avoided? Is it sufficiently detailed? Are the correct object and activity codes used? Does the value or cost-benefit warrant a grant award?

Style and Format. To what extent has the grant writer avoided the use of jargon and verbiage in the proposal? Is the proposal clear, concise, and logically presented? Is it easy to read and follow? Are graphs, charts, and lists effectively used? Is the proposal packaged in an attractive manner with a minimum of typographical mistakes? Are grammar, spelling, sentence structure, punctuation and word choice correct? Are all necessary materials included? Have the correct number of copies been submitted? Were all required original signatures obtained?

Grant Procedures and Responsibilities

Following are comprehensive, step-by-step procedures for grant application as well as responsibilities for grant administrators.

Grant Application Process

1. First Step - Contact Your Dean of Workforce Development or the Office of Educational Services (OES) at the District. Each college has a Dean of Workforce Development or similar position, and there is an Office of Educational Services at the District Office. It is imperative that contact is made with one of these resources prior to making application for a grant. This contact is necessary to learn what will be required for you to proceed. For example, some grants are of a size and nature that do not require every step in the checklists in Appendices B and C; however, others may require a good deal of collaboration even prior to making an application. Which contact to make may be determined by knowing the function of each of the resources.

- **Dean of Workforce Development (or comparable position)**

Each campus provides a contact person to serve in the role as grants liaison. The primary responsibilities of these Deans or comparable persons are to:

- a. Lead and co-lead workshops about grants opportunities and start-up strategies.
- b. Consult with departments, college governance groups, and individual faculty/staff/administrators about grants opportunities and linkages with their programs.
- c. Match college needs/priorities with emerging funding programs.
- d. Provide technical assistance in the preparation and writing of grant proposals.
- e. Help with coordinating/promoting activities between the Office of Educational Services and the colleges.
- f. Assist with grant-funded program start-ups and follow-up needs.

- **The Office of Educational Services (OES):** The OES has the goal of increasing competitive and categorical entitlement revenues and to diversify sources of income. The OES focuses on the public and private sector funding sources at the federal, state and local levels. The OES assists faculty, staff, and administrators in seeking external funding by identifying funding sources and providing support in applying for funds and in implementing the grant-funded initiatives.

2. Pre-Application Considerations: Department support and cooperation are necessary to assure grant viability. Early collaboration with members of the department and the unit supervisor are important to assure their understanding, support, and cooperation. It is also necessary to obtain administrative approval.

There are a number of considerations that should be addressed when seeking department support and administrative approval. Among the most important considerations are the following:

- a. **Relationship of the Grant to District Needs, Goals, or Interest:** Grants should reflect the stated goals of the college and District and enhance the colleges' ability to serve students and community.

- b. **Impact on Department or Unit/College:** A grant often has an impact on the unit in which it is implemented, and sometimes there is an impact on other units. It is important to notify the appropriate college and District administrator of the proposal before submitting the application. Unless careful thought is given to the obvious and subtle impacts, serious problems can emerge.
- c. **Personnel:** Will a replacement instructor or staff member be needed? If so, is a replacement available? Is the department/unit head able to obtain a suitable replacement? Is re-assigned time anticipated in the grant? How will the re-assignment impact existing courses, activities, events, etc? How will coverage for the on-going activities be handled?
- d. **Students:** Will the grant enhance educational activities? Or will it delay the opportunity for students to take courses? How will students be informed of new or delayed opportunities?
- e. **Equipment:** Will special equipment be needed? Is this equipment compatible with existing equipment? If computers are to be purchased with the grant, the appropriate District and/or college Information Technology personnel must be consulted to assure compatibility. It is often possible to get better buys when District purchases are combined, so contacting others making similar purchases can make grant money go further.
- f. **Facilities:** What facilities will be needed? Are they available? How will using the facilities for the grant impact on-going activities? Will any facilities have to be constructed or renovated? If so, it is essential to talk with campus and/or District personnel responsible for facilities to explore the viability of the additions or changes.
- g. **Budget:** Are matching funds required? How will those be obtained/documented? Can matching funds be “in-kind” or do they have to be “dollar for dollar?” Are there any costs in the grant project that are not covered by the grant? If so, how will those be met? Does the granting source provide for indirect costs? Be sure to include the maximum allowable rate in your application. It is important to include the cost of fringe benefits associated with salaries to be covered by the grant.

District salary schedules, travel cost rates, and per diem allowances must be used to calculate budget items in the application. Costs for research, marketing, library, MIS, and advertising are sometimes overlooked but should be included.

- h. **Project Management:** Who at the college will be responsible for implementing the grant? Duties generally associated with the administration of a grant are described in this Guide. Other duties may be spelled out in the grant itself. The success of the grant usually depends upon identifying a project director willing and able to carry out these duties.

3. Completing the Application. The first step in completing an application for funding is to review the funding source guidelines and application instructions. What are the eligibility requirements? What are the deadlines for application and implementation? What format for application is required? What are the budget parameters? What approval signatures are needed? Typical components of an application include the following: title page, abstract, narrative, evaluation of resources, bibliography, budget, appendices. Included in this Guide are several

materials for your use in preparing the application.

The Office of Educational Services will help you with the application if necessary. It is the responsibility of your college administration to submit the application after necessary approvals are obtained from the appropriate administrator at the college and district level. The Office of Educational Services will obtain Board approval of those applications requiring approval before acceptance. Prior to completing a grant application, the college **must** complete a Board Agenda Item with the Description of the Grant and an Intent to Apply form.

4. Deadlines. A proposal for funding must be submitted to the Office of Educational Services at least **ten days prior** to the required submission date. This time is necessary to review and communicate, obtain signatures, copy and mail/distribute. If letters of support are needed, these must be obtained well before the application deadline.

5. Grant Award or Contract Acceptance. In considering the acceptance of the grant or contract, review this checklist of questions that should be answered:

- √ a. Is the dollar amount offered sufficient to operate the program? (**Note:** Very seldom is the exact amount of money requested actually awarded, so it becomes necessary to reevaluate the amount of money offered to realistically and effectively operate the proposed project or program.)
- √ b. Are there any restrictions on the use of the funds?
- √ c. Does the funder allow Indirect/Overhead costs and if so are there any restrictions?
- √ d. Is travel allowable? (If allowed, the maximum should be requested. What are the restrictions on out-of-state and in-state travel?)
- √ e. Are food and other meeting costs allowed?
- √ f. Are consultants allowed? And if so, what limitations, if any, are stated concerning consultant compensation?
- √ g. Is prior approval required in order to make changes in the budget? Are indirect and/or overhead costs allowed? If so, make sure to include them in the budget.
- √ h. Is purchase of equipment allowed? If so, how much? Who owns the equipment upon expiration of the grant? Is special permission required before equipment is purchased?
- √ i. Are buying supplies allowable? And if so, what restrictions apply to the purchase of supplies and what procedures are required to deal with unused supplies at the closeout of the grant?
- √ j. What are the matching requirements?
- √ k. Are there any items or activities that require prior approval of the funding agency?

- √ l. Are budget transfers between line items or object codes allowed? Is prior approval required for changes in budget line items exceeding 10%?
- √ m. Is carryover allowed?
- √ n. Have you reviewed the grant implementation manual, or any circulars or other documents, which explain the use of the grant funds and restrictions that apply?

Project Management Process

One function of the Office of Educational Services is to facilitate the process of searching for, securing, and managing external funds to support the Peralta colleges' missions, goals, objectives and programs. Upon receipt of a grant, the OES will monitor the grant for compliance with the provisions of the grant or contract and any applicable district, state, or federal regulations and assist the Project Director in meeting all reporting deadlines. The Office will also assist the Project Director in maintaining contact with the funding agency.

Preliminary Implementation Procedures

	ACTIVITY	COMPLETED BY
1	Receive Contract from funding agency	District or College
2	Contract reviewed by the Offices of General Counsel via OES	Office of Educational Services, Carmen Fairley
3	Contract reviewed by Financial Services, Risk Management, and Human Resources	Associate Vice Chancellor of Finance, Sarah Schrader General Counsel, Thuy Thi Nguyen Budget Director, Susan Rinne
4	Contract Approved	Chancellor/Board of Trustees
5	Project Number obtained (Approved Contract sent to Accounting)	Office of Educational Services, Carmen Fairley & Budget Office
6	Project Information Sheet (Send to Project Director and send copy to the Business Office)	Office of Educational Services, Carmen Fairley
7	Budget set-up (Project Director prepares PROMT & Budget Journal then routes it to OES & Business Office for approval)	Project Director/Project Administrator
8	Project begins	

Contract Offer

The applicant is informed of successful funding by an award letter that provides the legal basis for the obligation of funds. In addition to the award letter, a grant agreement or contract may be included. This document will provide the amount of the award, the dates of the funding period, and in some cases, special terms, conditions, and other considerations surrounding the grant.

Project Number

Every special grant-funded project in the District is assigned a 4-digit project number. When a number has been assigned, the Project Director, Project Administrator, and Business Office will be notified.

Budget Set-Up

Using the approved budget as a guide, a budget journal is prepared and submitted for approval. Project Directors should consult with the Project Administrator and their college's business Office for the correct procedures used at each college. Budget journal entries are sent to the Office of Educational Services (OES) for review and forwarded to the Budget Director to post.

If, upon review of the funding agreement by the appropriate college staff (project director, project administrator, business manager, and the college president), the institution decides to accept the grant, the contract, along with a signed Contract Routing form, should be forwarded to the OES.

Governing Board Approval. Before a grant is implemented, the Governing Board must accept the grant. The OES will prepare the Board item for approval, but no commitments are to be made before that approval is received. If time considerations are a factor, the Chancellor may approve the grant, pending Board ratification. Again, the OES will obtain the Chancellor's approval. It is important that the OES be informed of the status of all grant applications. **Upon receipt of a grant award or contract acceptance, the OES is to be notified immediately.**

Campus Notification. The college grant administrator will handle notifications of the new grant to the budget office, department head, department administrator, and other college and district offices impacted by the grant.

Project Director Responsibilities. The Project Director is responsible for the overall administration of the project or program, including requisitions for all purchases, hiring of all personnel related to the project, monitoring of expenditures, and filing of all required reports.

Upon receipt of the award letter, the Project Director must notify the Office of Education Services of the award and send copies of contracts and other pertinent information to the appropriate administrator, Business Office, and the district.

The Office of Educational Services will assist the Project Director in obtaining a valid project number. The Business Office on each campus and the OES Staff Services Specialist/Special Projects will assist the Project Director in setting up the initial budget in the system using the correct object and activity codes.

The Project Director is responsible for determining the allowability of expenditures in light of contractual agreements and underlying sponsor policies, and he or she must ensure that expenditures are consistent with college and Board policies. As a public agency, the director must maintain accurate records that are subject to periodic district, agency, state and federal audit. The amount and kind of expenditures must be justified and demonstrated to be effective in furthering the aims of the grant and the mission, goals, and objectives of the district as set by the Board of Trustees. Expenditures should be reviewed to ensure not only that they are legitimate and technically allowable, but that they represent a prudent and worthwhile use of public or private funds.

The Project Director must ensure that all personnel hired under the grant are properly processed through the Human Resource Office. In particular, care should be taken to be sure that a temporary employee does not exceed the number of days and hours allowable. Fringe benefits must be included for any employees working under a grant unless specifically noted otherwise at the time the proposal is written. Fringe benefits for all special projects must be calculated and included when setting up the budget. (Refer to the district's Personnel Handbook for detailed information about the hiring process.)

It is the responsibility of the Project Director to ensure that all progress and final reports are sent to the funding agency and are filed in a timely fashion. Copies of these reports must be sent to the Office of Educational Services.

Management Operation Plan. The Project Director is also responsible for budget monitoring, site visits, and progress reports. Internal, external, formative, and summative evaluation procedures should be developed. The Director must establish a file or binder documenting the grant, including the following:

- The name and number of the project.
- The period covered by the project.
- The dollar amount, including matching or in-kind, and the approved budget.
- The name of the funding agency, along with names, addresses, and phone numbers of any contact person(s).
- Internal identification (personnel assigned to the project, budget codes, etc.)
- Job descriptions of project staff.
- The funding award letter.
- The forms for maintaining a day-to-day account of expenditures and cross-referencing them to
- A calendar showing due dates of reports, staff meetings, and funding agency meetings.
- A copy of the approved proposal, along with any amendments.
- A copy of communications between the District and the funder's project monitor.
- Copies of news releases and outreach materials.

Project Management Information Sheet. Every Project Director will receive a Project Information Sheet. It is the Project Director's responsibility to ensure that it is kept up-to-date and to inform the district office of any changes. Accurate recordkeeping is important to the management of every funded project. The Staff Services Specialist in the Office of Educational Services is available to assist in interpreting the reports, submitting final reports, and clarifying other matters related to the implementation, management, accounting, and continuation or termination of the project.

On-line budget data is available through PROMT. Please check with your Business Office if you would like to request a copy of the general ledger for this project.

Many grants also require status reports on project activities, in particular whether time schedules are being met, projected work units by time periods are being accomplished, and other performance goals are being achieved. Compare the actual accomplishments to the goals established for the period. If the output of programs or projects can be readily quantified,

include such quantitative data. If the goals were not met, state the reasons why. Notify the granting agency if problems, delays, or adverse conditions will materially affect the ability to attain program objectives within established time periods. Changes in the scope or objectives of the project or program also need to be reported. If any performance review discloses the need for change in the budget, notify the granting agency. Some granting agencies allow for contract revisions and reimbursement for increased costs.

Proper project management is vitally important not only for the success of the current program or project but also for future grant funding for the college or district. The history of the District's financial strength and grant management capabilities are considered when new grants are awarded. If the college/district has a reputation of unsatisfactory grant performance, such as the material violation of terms and conditions, large cost disallowances, and/or the failure to comply in a timely manner with reporting requirements, future grant funding may well be jeopardized.

A project manager must be appointed to implement a grant. The project manager should have the time and ability to handle the following responsibilities:

- a. Conduct the project in accordance with funding source terms and conditions.
- b. Obtain approval from the funding source for any change in the approved budget or contract conditions.
- c. Notify the Office of Educational Services and the District Budget Director of any changes in the budget or contract conditions.
- d. Supervise expenditures in conformity with the approved budget.
- e. Initiate necessary documents and forms for travel, purchasing, employment, contract services, compensation, etc., in conformity with established District policies and procedures.
- f. Assure that the expenditure meets District and funding source requirements and guidelines.
- g. Complete monthly, quarterly and annual reports as stipulated by the funding source. Submit original reports to the Office of Educational Services for review. Once the reports are reviewed, the Vice Chancellors of Educational Services will seek approval of the Vice Chancellor of Finance & Administration, sign and return the reports to the project manager. Reports are to be submitted to the Office of Educational Services two weeks prior to the deadline date. Questions about financial reporting will be directed to the Office of Educational Services or the Office of Business Services at the District.
- h. Provide care and maintenance of property procured with project funds in accordance with funding source guidelines and District policies and procedures.
- i. Contact the Office of Educational Services regarding possible patents or copyrights resulting from the project.
- j. Review financial reports provided by the grant's Project Director and monitor the project expenditures to assure that they are within guidelines and timelines (avoid the loss of grant funding due to failure to meet deadlines). Questions regarding the posting of expense transfers should be referred to the District's Budget Director. Questions regarding the posting of budget transfers should be referred to the District's Budget Manager.
- k. Respond in a timely manner to financial compliance issues raised by the Office of Finance & Administration and commence remedial actions immediately.
- l. Document activities, milestones, accomplishments, and progress of the project, maintain a relationship with the funding source and recognize the donor appropriately.
- m. Ensure that no conflicts of interest are involved with the grant, including sub-

contracting, and that the district's policies and applicable laws pertaining to conflict of interest are followed.

Budget Accounts. The letter of award and/or contract is to be forwarded to the Office of Educational Services. That Office will obtain Board approval, which is required for all grants funds/contracts. Spending may not begin until the official beginning of the term of the grant. A separate project is established for each grant. The budget, as described in the final award or contract, does not always create a perfect fit. In this case, the project manager will need to provide more information to the District Budget Office so that a budget can be established within the District's accounting system. The project manager should submit a spreadsheet that includes the distribution of funds for each District accounting string to the Budget Office. Once this spreadsheet is received, the District Budget Office staff will know how to set up the budget and distribute the budget amounts based on the District's system but within the scope of that which was approved by the funder.

After project numbers are assigned, access will be given to the project manager to use when processing expenditures. Budget status information may be viewed online via PROMT.

All District guidelines for budget management and expenditure processing are applicable to grants. For assistance, contact the appropriate District or college budget administrator's office. Expenditures relating to a grant/contract are coded to facilitate accounting in accordance with the Governmental Accounting Standards Board. The District office accounting staff determines the accounting distribution after review of the grant award/contract documents. There are four numbers for a grant:

- a. **Project Number:** Each grant is given a project number that is determined by its granting source and whether it is a fiscal-year-only grant or a carryover grant. This numbering system allows District staff to monitor the grant and to access information in similar grants and contracts.
- b. **Project Administrator and Cost Center:** These numbers determine the responsible administrator and location of the grant and allow that individual access to the accounts and to a combined monthly organizational financial statement.
- c. **Object Number:** The District has a uniform account structure, which is within the State required account code structure for the categorization of revenue and expenditures, assets, and liabilities. The same object numbers are used for ALL sources of funds and across all disciplines of the District.

The appropriate object number used for an expense should correspond to the approved budget of the granting agency. The object number determines what type of expenditure is being made (i.e. teaching salary, student assistant salary, supplies, repairs). The object number is the only element of the accounting distribution, which changes depending upon the reason for expenditure.

Budget Management. The District's procedure for purchasing services or equipment and the processing of outstanding bills are no different for grants than it is for other allowable expenditures. The main difference is that grant funding is usually more restrictive and only those expenditures identified in the grant document are allowable expenditures. Another restriction is that grant funds may not be expended prior to the start of the grant award period. All

expenditures for the grant must be expended within the grant period. Grant funds that are not expended within the grant period often must be returned to the funding agency. Restricted grant funds cannot be carried over to subsequent grant periods unless an extension is approved by the funding agency.

Budget Review

Project Directors are responsible for regularly reviewing their budget using the PROMT system.

Matching or In-kind Expenditures: Some grants require matching or in-kind expenditures. The project manager and budget administrator must maintain records of matching and in-kind expenditures. Specific information on these expenditures is required. (See Appendix D: Sample Matching or In-kind Tracking spreadsheet.)

Electronic Reports: Some grant sources of funding have implemented electronic submissions of quarterly reports (such as Career and Technical Education/Perkins and Economic Development). The electronic reports should continue to be submitted through the usual route including the college budget technicians, your dean, and ultimately via the Vice Chancellor for Educational Services. Copies of the electronic reports should also be submitted to those persons.

Grant Restrictions: Budget transfers and changes are sometimes restricted by the granting agency. When this is the case, approval for a budget change must be obtained from the granting agency. Requests for such changes are to be made through the OES.

Grant Payments: Agency payment of the grant funds will be processed and monitored by the Office of Finance and Administration. **Such payments are to be immediately forwarded in a sealed envelope to the District Finance Office or college cashier's office.** Draw-downs on State or Federal Contracts will also be done by the District Budget Office. Project managers should be in regular contact with the Budget Officer in order to draw down funds on a regular basis or as allowed by the funder.

Expenditures: All grant expenditures must be charged directly to the grant accounts. The appropriate grant project account number should be used at the time of transaction for all expenditures including Central Duplicating, transportation, media, petty cash, or PAs.

Closing the Fiscal Year: As the end of the fiscal year approaches, project managers should be closely monitoring the financial status of their grants to insure that all grant funds are expended prior to the close of the grant year (the grant year may differ from the District fiscal year). Grant funds that are expended after the close of the grant year are not allowable expenditures. Unspent grant funds usually must be returned to the funding agency. The District strongly encourages project managers to submit orders for equipment and contracted services by the dates outlined in the "Year End Closing Procedure" memo. This memo is distributed by the Vice Chancellor of Finance and Administration in January of each year. The memo identifies due dates for the submission of purchase orders, mileage reimbursements, District check requests, notices of employment, outstanding invoices, payroll timesheets, etc. Project managers who have questions or concerns about deadline dates should contact District Business Services directly.

The District's Purchasing Department will monitor the status of outstanding orders not received by the close of the fiscal year. Any outstanding order not received within 60 days of the order date will be cancelled and reversed as an allowable expenditure for the grant period. If the annual report has already been submitted to the funding agency, the project manager will submit a

revised annual report and return unexpended funds if necessary.

Project managers should notify the District's Accounts Payable Department prior to the close of the grant year if there are outstanding invoices for the grant that will not be processed and paid by the close of the grant year.

Project managers should also notify the District's Payroll Department prior to the close of the grant year if there are unpaid wages attributable to the grant.

At the end of the grant year, the Associate Vice Chancellor for Finance will reconcile the quarterly reports for each grant to the annual report prepared. The Associate Vice Chancellor for Finance will note differences between the two sources and compare the two sources to the general ledger for the grant year. Discrepancies will be reviewed with the project manager.

Adjustments will be resolved and reconciled with the project manager before the annual report is signed and submitted to the funding agency. By the end of this process, grant expenditures and revenues should be equal.

If it is discovered that the project manager has over-expended the grant, he/she will be responsible for securing funding for the disallowed expenditures.

Upon completion of the grant or funding period, the Project Director or manager is responsible for the following:

- a. preparation of a closeout or final report.
- b. institutionalization of projects as appropriate.
- c. continuation of the grant.
- d. presentation of the project or program to the Board of Trustees

The Project Director is also responsible for any necessary budget transfers to close out the budget. The Project Director must liquidate all obligations incurred under the award no later than 90 days after the end of the funding period (or as specified in a program regulation). If the deadline cannot be met, the Project Director must request written approval to extend the deadline.

Acquisition of Staff: Any request for personnel to be hired under the grant must follow established hiring procedures and be submitted to the Human Resources Office. (See below for details on Human Resources Management.)

Granting Agency Contact: All communications with the granting agency are to be reported to the OES. Any agreements or approvals with the granting agency must be filed with OES.

Periodic Reports: Any required monthly, quarterly, and/or final reports must be filed timely. Assistance by the Office of Educational Services with the reports is available provided sufficient lead-time is given. All narrative reports, programmatic and fiscal, are the responsibility of the project manager. All fiscal reports need to be reviewed by the OES and then the Office of Finance and Administration prior to submission to the granting agency. Copies of narrative reports are to be sent to the OES for the District's files.

Progress Meetings: General meetings of all personnel associated with the project (vice

president, project manager, staff from all affected departments) should be held periodically. At these meetings, the Project Director and/Staff Services Specialist/Grants Special Projects will explain what action is necessary in order to adhere to the guidelines of the funding agency.

The Project Director arranges the public relations for the grant through the District's Office of Public Information, Communications, and Media. Local newspapers, campus news publications, and presentations to groups of faculty and administrators are excellent publicity sources. Note that many funding agencies have guidelines governing any publicity or advertisement of the grant.

Collaboration with College and District Offices and Personnel:

- a. **Grant Writer:** In writing and submitting a grant, the grant writer and Project Director should confer with the OES regarding appropriate funding sources and make recommendations on the viability of the proposals.
- b. **President.** All grant proposals and contracts must have the signed approval of the College President.
- c. **Vice President.** The appropriate vice president should be advised of any specially funded project or program in his/her area. In particular, permission to employ regular contract employees under grants must be arranged in advance to ensure that all regular college functions are covered.
- d. **College Business Officer:** The Project Director must work closely with the college Business Officer in devising an appropriate budget for the proposal, in setting up the budget with the proper budget codes and activities upon receipt of an award, and in encumbering requisitions and carrying funds over, if allowed by the granting agency.

In addition, the Project Director must work closely with the following District offices:

- e. **Office of Educational Services (OES).** The Office of Educational Services will act as the contact for the sponsor for all budgetary or contractual matters for formal grants/contracts. All contacts with the funding agency must be made through or with the prior knowledge or assistance of this office. The OES also monitors all expenditures, and reviews grant progress and final reports. All budget transfers, carryovers and new budget set-ups must be sent to this office for final review. Budget and Finance will post after review.
- f. **Financial Services Office.** The Office of Finance and Administration handles all accounting, payroll, payment of bills, purchasing, billings to the funding agency, and budgets. This office is the final approving authority for expenditures. The approval of expenditures for supplies and normal payroll expenditures depends on both the fund source and whether it is consistent with college/district procedures and policies.

Many renewal proposals require the inclusion of information on expenditures up to the time of the preparation of the renewal, together with estimates of expenditures for the remainder of the program year. The OES Staff Services Specialist and Budget Director will provide interim information regarding cumulative expenditures. Certification of expenditure accuracy will also be provided, if required.

- g. **Purchasing.** The Purchasing Department organizes and administers all phases of procurement, including leasing, for all departments in the district. This operation includes all externally sponsored activities. It should be noted that only the Purchasing Department has been delegated the authority to obtain supplies, equipment and services which are to be used in the normal operations of the college. No other department or person is authorized to make purchases or leases for the college. Purchases made by any individual not assigned or approved by this office are considered unauthorized and the individual entering into such an agreement may incur a personal obligation to the vendor. Please refer to the District Purchasing Procedures Manual available from the college Business Office.

College departments receiving contracts or grants are urged to contact the Purchasing Office to discuss supply, equipment, and service needs. A basic understanding of purchasing policies and procedures will simplify and expedite the handling of the grant's requirements. Requisitions for supplies and equipment purchases should be submitted in advance of the required date so that bids, if necessary, can be solicited. All purchases over \$15,000 shall be submitted to the Board of Trustees for approval.

The selection of the materials needed under the terms of the agreement of the grant contract is a prerogative of the Project Director; however, the Purchasing Office has the authority to question the quality and kind of material requested, to make recommendations relative to safety, health, and economy, and to substitute materials.

- i. **Payroll.** The Payroll Department must process the payroll system in order to comply with applicable withholding and social security laws.
- k. **Human Resources (HR).** The hiring of all personnel authorized by the grant should be coordinated as soon as possible with the Human Resources Office. District policies must be followed in all hiring. Employment of faculty and administrative personnel should be coordinated with the appropriate vice president, dean and the Human Resources Office. The Human Resources Office provides complete supportive services in the areas of hiring procedures, personnel benefits, termination procedures, etc. This office can also assist in the recruitment, interviewing, and screening of applicants and other personnel-related activities.

The HR features with which the Project Director should become familiar are as follows:

- a. **District Policy:** All faculty, administrative and professional, and student assistants will be recruited, hired, trained, and promoted in accordance with the district policy.
- b. **Advertisement of Positions:** All new and/or vacant positions must be advertised in accordance with established personnel and college/district standards to ensure that all College community members and the general public are made aware of such openings.
- c. **Compensation:** Compensation for positions established under contracts and grants shall be in accordance with the established uniform pay plans. Human Resources will assist by interpreting and furnishing guidelines for the administration of the various pay plans.
- d. **Consultants:** Consultants can be hired only to perform a service that cannot be performed

by current district employees. Consultants must work as an independent contract. An hourly instructor teaching the maximum hours allowable **cannot** be paid as a consultant in addition to his/her current load.

- e. Fringe Benefits: Fringe benefits must be included for all personnel. Updated Fringe rate may be obtained from the college Business Office or Office of Educational Services.
- f. Travel: If any personnel are planning long distance travel, the funding source must be clearly identified in the original proposal. District travel guidelines must be followed.
- g. Start date for new hires: No staff may begin to work on a project before the Board of Trustees has given approval. Once Board Approval has been obtained, the Project Director will generate a PA, get appropriate signatures, and forward it to HR.
- h. Status of temporary hires: Temporary classified employees hired with project funds are limited to temporary status (184 working days and holidays first year and 60 days seasonal after.
- i. Laws: All applicable federal and state laws must be followed.

Human Resources Management

Many grant projects require the hiring and compensation of personnel to accomplish the project. It is important to contact the Director of Human Resources prior to hiring a person to obtain advice on how to proceed in accordance with District personnel policies and procedures.

Board approval is required for the following personnel transactions:

On-going:

Establishing new positions and/or job descriptions

Appointments to positions

Changes to positions

Resignations

Retirements Leaves (except Banked or Earned Leave)

Temporary: Establishing new temporary positions

Appointments to regular positions on a temporary agreement

Changes to positions

Hiring of Associate Faculty, Hourly Classified, Volunteers, Work Study Students, and

Stipend Employment

Note: The calendar for Board consideration of personnel transactions is produced by the Chancellor's Office and the Human Resource Executive Assistant setting forth the timelines for Board items and for Chancellor ratification.

New Position or Change to a Position. A Personnel Action (PA) form must be initiated by the appropriate college or District Administrative Services administrator to request actions on changes to a personnel position or to create a new position.

A PA must be initiated for any of the following changes in a position: unit classification range, department location, FTE (workload), number of months, work schedule, job title, assigned time, budget assignments, transfers, out-of-class assignments.

Initiating a Personnel Action request (PA): To request a new position or to change a position, the PA is sent to the appropriate College or District Administrator for approval who then forwards the document to Human Resources. After the PA is processed by Human Resources and Budget Offices, a Position ID number will be assigned and, with Director of Human Resource approval, will be submitted for Board approval. A copy of approved PAs will be returned to the originator.

Hiring Procedures for Full-time Classified and Academic Personnel: All hiring must follow District procedures. To initiate the hiring process a Personnel Requisition Form must be completed and returned to the Human Resources Department. A recruitment/screening packet will be sent to the position requestor after the Human Resource Specialist has verified a budget number for the position.

The recruitment package must be completed and returned to Human Resources. When the packet is received, a job announcement is sent to the hiring Project Director for review. After that review, the Human Resources Department submits the job announcement to the Printing Department. Human Resources will also advertise the position as specified in the recruitment package.

Applications are received by the Human Resources Department and are screened for minimum qualifications and completeness of applications. A recruitment period may be extended if the pool is not representative or too small. The Human Resources Department explains interview and rating procedures. The administrator for the hiring department interviews the top three candidates, checks their references, and notifies the Human Resources Department of the selection. The Human Resources Department places the hiring item on the Board agenda.

Hiring Procedures for Adjunct Faculty: following the same steps employed in the recruitment and selection of full-time faculty develops a pool of Adjunct Faculty for each academic subject. The only difference is that there is no “second level” interview by an administrator. The recruitment committee makes selection after interviewing the paper-screened candidates.

Independent Contractor: To employ an independent contractor, the administrator or budget administrator must complete an Agreement with an Independent Contractor/Contract (ICC) form which is obtained from the Office of Educational Services. Board approval is needed if the ICC expense exceeds \$25,000.

Internal Revenue Service regulations, Education Code Statutes and State Teachers Retirement System provisions determine the use of an independent contractor. In general, an independent contractor operates independently and does not evaluate, hire, fire or supervise District personnel.

An approved ICC is submitted to Accounts Payable to assign a Purchase Order Number. Payment to the independent contractor is made upon receipt of an invoice by Accounts Payable.

District employees **cannot** be hired as independent contractors. Anyone teaching under a grant

or performing other duties such as curriculum development normally performed by other college personnel must be hired as district employees.

Consultant/Independent Contractors shall not be performing any work until contract is signed.

Personnel policies and procedures are revised and updated periodically. Project Directors should refer to the Peralta Personnel Manual and the latest PFT and 1021 contracts. It is available through the internet at www.peralta.cc.ca.us

Please note that no one should be hired until the funds for the project have been committed by the contracting agency. No payroll payments can be made until there is written confirmation that funds are available.

Employee Stipends: The stipend is a method of payment used to pay:

1. Current District employees providing services to the District in addition to their regular assignment
2. Persons providing services to the District who:
 - a. do not meet the IRS tests for independent contractors.
 - b. cannot be employed under Notice of Employment. The stipend cannot be used for any academic services that generate faculty load.

A stipend is initiated by an *Authorization/Agreement* completed by the administrator/department and forwarded to Human Resources. If the person to be employed has not worked for the District previously, a TB test, I-9, W-4, Oath, Affidavit of Designation of Beneficiary, and Payroll Distribution forms must be submitted.

No work is to be commenced by the person to receive the stipend until approval from Human Resources is obtained.

After the stipend is approved and after completion of part or all of the services, request for payment is made by sending the Employee Stipend Invoice and a copy of the Employee Stipend Form to Payroll.

The following guidelines govern the authorization of employee stipends:

- a. Associate faculty may only be employed if it is verified by the Human Resources Department that the services will not result in overtime or greater than 67% District faculty load.
- b. Short-term classified employees may only be employed if it is verified that all combined services provided to the District will not cause the employee to exceed the 184-day short-term limitation within the first year.
- c. No employee may work more than 40 hours per week without overtime compensation except for management personnel.
- d. The rate of payment may not exceed an individual's regular overtime/overload hourly rate, unless approved by the College President or Chancellor/Designee.
- e. Work initiated through an employee stipend will be evaluated on an on-going basis, as well as prior to final payment.

Compensation. All employees providing service under a grant will be compensated according to a District approved salary schedule. To determine appropriate levels of release time for faculty members and associated hourly rates, the college's grant administrator should be contacted.

Other Grant Implementation Issues

Facilities

It is important that approval for use of facilities is granted prior to assuming that the facilities will be used. Approval is obtained by contacting the Business Services Department at the college where the facility is located.

Purchasing

The District's Office of Finance and Administration oversees purchasing and contracting arrangements.

Transactions: District Policy and the Education Code require that every transaction between a buyer and seller involving the transfer of property shall be by a Purchase Order signed by an authorized employee. A purchase order is required before merchandise is ordered or received by the District. In an emergency situation, a purchase order will be processed immediately.

Authorization Limits: Contracts for services that exceed \$25,000 it requires Board of Trustee approval.

Purchase Requisition Form: The Purchase Requisition form for services, equipment, supplies and payments is a computer-generated form found on the PROMT system. Requisitions can be processed only when approved by the budget administrator and properly account coded. Check with your college Business Services Office to determine how many copies of the requisition form are needed and the process for signing those forms before completing, duplicating and sending them forward for processing.

The following information is required in order to initiate an order:

Name of the department/person placing the request Date on which the request is written, and date the item(s) is needed Delivery point Room number Quantity and packaging of the item Estimated cost Suggested vendor Description of the item(s) in detail with catalog numbers Account key and object codes consistent with the type of goods or services purchased.

Requisitions received by Purchasing will be processed within five working days if signatures and account numbers are accurate. If merchandise is not received within four weeks, Purchasing may be notified and the vendor will be contacted.

Open Purchases: Open purchases facilitate faster buying when merchandise is purchased from a vendor on a regular basis. The open purchase order is established by following the same procedures for processing a purchase requisition. The following conditions apply:

- The maximum dollar limit for an open purchase order is \$20,000.
- The expiration date is May 31 of the current fiscal year, or until the dollar amount has been expended.
- An authorized signature authority is required on the purchase order. Increases or decreases may be obtained by e-mailing the Director of Purchasing with the purchase order number and the change.
- Every open purchase order must include the statement that the order is for supplies not to exceed \$500 per item; invoices that exceed this limit will not be processed.
- A signed receipt of merchandise is to be forwarded to Accounts Payable when received.

Inventory Control

Equipment exceeding a value of \$500 is to be added to the Master Inventory Records. All requisitions for equipment purchases required the building name, department, and room number. Once the merchandise is received, the warehouse staff tags the equipment and scans the asset into the computer records.

Donated equipment becomes part of the District's liability when it is on District premises. Purchasing is to be contacted anytime that donated equipment is received to determine whether it is to be added to the Master Inventory.

Any equipment that is transferred must be reported on a Transfer of Equipment Form by the department and forwarded to Purchasing to update the Master Inventory.

Information Technology

Grant writers should consider the technology acquisition and support issues related to their grant request. These include cost of equipment and software, compatibility of these with existing systems, availability of support for new systems, requirements for special programming or implementation assistance. Grant writers should review their proposals well in advance of submission.

IT staff will provide cost and workload estimates to help assure that the technology aspects of the project are feasible and can be supported by IS. In the case of grants that require implementation assistance from IT it is important that work be scheduled well in advance of the required install date.

IT operates a centralized call center for work requests and support for all IT functions including: network, telephone, printing, computer software and hardware, and administrative information systems.

Work Request: Work requests may be submitted via:

- a. The web VPN
- b. E-mail. Send an e-mail message to "Helpdesk" which includes the following information: college, department, room number, phone extension, equipment model, and brief description of the problem or request.

Audits

Federal and state regulations require the maintenance and availability of project records for **five** (5) years, commencing on the date of the submission of the final or annual expenditure report or close of the fiscal year covered by the plan, the period during which the college is eligible for an audit. Records under audit involving unresolved audit findings or under appeal or litigation must be held until the matter is resolved. It is *essential* that your files contain the following documents:

1. Complete project binder - proposal, award letters, signed contract, etc.
2. Funding agency literature and correspondence.

3. Compliance reports.
4. Complete financial records.
5. Documentation for all expenditures (requisitions, travel, payments etc.).
6. Documentation signed Time Effort or Timesheets (signed and certified by the Director of the Project).
7. Documentation for all in-kind matches (positions, amounts, grant responsibilities).

Property records must be maintained that include a description of the property (equipment); a serial number or other identification number; the location, use, and condition of the property; and any ultimate disposition data. If there is a residual inventory of unused supplies and/or equipment exceeding \$5,000 in total aggregate fair market value upon termination or completion of the award, the Project Director should check with the awarding agency regarding title and final disposition.

Project Directors should ensure that expenditures for the program or project are within the scope of and further the objectives of the program or project as submitted in the original proposal or any subsequent revisions as agreed to by the granting agency. Many grants specifically enumerate items that are unallowable. State grants, for example, do not allow reimbursement for food or beverage costs for meetings. Certain federal grants such as a development grant under Title III (Strengthening Institutions Program) do not allow reimbursement for activities relating to the development or improvement of non-degree or noncredit courses other than basic skills, community-based or community service programs. Exceptions must be made if the program provides academic-related experiences or academic credit toward a degree; replacement or upgrading of standard office equipment; service to high school students; activities or services that relate to sectarian instruction or religious worship; student activities such as entertainment, cultural or social enrichment, publications or social clubs or associations; and activities which are operational in nature rather than developmental.

Appendices

Appendix A

Proposal Development Outline

This form should be completed and submitted to the Office of Educational Services whenever assistance is needed in the preparation/submission of proposals, or in the identification of prospective donors.

PROPOSAL WRITER: _____ DATE: _____

1. PROPOSAL SUBMISSION DEADLINE:
2. BRIEF DESCRIPTION OF NEEDS:
3. SUMMARY OF BOARD AGENDA ITEM WITH INTENT TO APPLY (attach copies of full documents):
4. PROJECT OBJECTIVES:
5. PROPOSED IMPLEMENTATION PLAN/SCHEDULE:
6. TARGET AUDIENCE/PARTICIPANTS:
7. BUDGET MATCH REQUIREMENTS, INCLUDING IN-KIND CONTRIBUTIONS AND ASSIGNED TIME (Provide specific information):
8. CURRICULUM IMPLICATIONS:
9. OTHER RESOURCES (i.e., rooms, equipment, etc.):
10. COMPLIANCE WITH PROGRAM REVIEW, ASTER PLAN AND OTHER PLANNING DOCUMENTS:
11. OTHER INFORMATION:

DEPARTMENT CHAIR

DATE

DIVISION DEAN

DATE

PRESIDENT

DATE

Appendix B

Checklist for Grants Application Process

This checklist is designed to assist you in successfully preparing/submitted a proposal for external funding. The most important aspects of this process are collaboration with components of the college and District which will be impacted by your proposed project, and meeting the requirements/guidelines of the source of funding. At the end of this checklist are listed the names and telephone numbers of people who can provide additional information and assistance with your efforts. Peralta Community College District very much encourages its employees to seek additional resources. Completing this checklist will help you maximize the chances of obtaining funding and minimize misunderstandings or conflicts.

Please submit a copy of this checklist when your application is ready for approval signatures at least one week prior to the application deadline. For items that are not applicable, please indicate "N/A."

Collaboration Items:

- Discussed and obtained approval from your department/unit supervisor.
- Discussed and obtained approval from your dean/administrator.
- Proposed project is responsive/complementary to college/District goals.
- Proposal has been shared with the District Grants Office for review.
- Facilities, Information Technology, or other impacts discussed with those affected.

Application Contents

- All required items/sections required by the funding source are included.
- Contents have been proof-read and edited.
- Required number of copies have been made for submission.
- All contents completed/ready to submit prior to submission deadline date.

Budget/Finance Items

- Budget request is in conformance with parameters of funding source.
- Salary items in budget request include appropriate fringe benefit costs.
- Approved indirect rate is included in the budget request.
- Matching funding sources included are documented and verified.

Human Resources Items

- Project Director and Responsible Administrator are clearly identified.
- Assigned time and new duties from project have been cleared with department/unit.
- Human Resources Department consulted if new positions are being requested.

If you need more information or help contact the Dean or the Office of Educational Services. Thank you for your efforts!!

Appendix C

Checklist for Grants Management Process

This checklist is designed to help project directors and budget administrators who are in the process of accepting a grant award from an external funding source in setting up accounts, procuring personnel, equipment, and other items, arranging assigned time or stipends, and in meeting the requirements of the grant. Completing this checklist will help in expediting implementation of your project, maximize outcomes, and lessen the risks of conflicts, audit exceptions, or other complications. There are many people on both campuses and the District offices who can assist you with your needs.

Intent to Apply for a Grant

- An Intent to Apply Form completed
- Board Agenda Item completed: New proposals require approval by the Trustees/Governing Board.

Acceptance of New Grants

- New grants require acceptance by the Trustees/Governing Board.
- Contracts or Agreements must be signed by the Chancellor or Vice Chancellor Copies of Contracts/Agreements given to Grants Advancement Offices.
- Copies of Budget and Proposal shared with appropriate college officials.

Budget/Finance Issues

- Accounts are established through District finance or college administrative deans.
- All grant accounts are maintained in separate restricted fund account keys.
- Budgets/expenditures must be in accordance with funding source rules.
- Funds must be used within the scope of funding time parameters.

Human Resources Issues

- Consult with human resources staff about hiring, stipends, or assigned time.
- Be sure to complete all required paperwork in timely manner.
- Document hours worked, assignments, and accomplishments for project.

Facilities/Purchasing/Information Systems Issues

- Consult college/District facilities representatives for office needs/changes.
- Follow purchasing procedures for acquisitions in a timely manner.
- Consult information systems/technology staff for computers/technology purchases.

Meeting Funding Source Requirements/Documentation/Accountability

- Carefully review the guidelines/requirements of the funding source.
- Complete periodic expenditure/progress reports two weeks prior to deadline.
- Document activities, milestones, accomplishments, and progress of project.
- Obtain approval of the funding sources for major budget/program changes.

If you have questions about these issues please contact your respective College Grants Dean or the Office of Educational Services.

Appendix D

Matching or In-kind Fund Tracking

In-Kind Match						
		July	August	Sept	1st Qtr.	
	Salary					Total Match
	Salary/mo	% of Sal	% of Sal	% of Sal	Total	
President	\$15,000	5%	5%	5%	15%	\$2,250
VC President	\$14,000	30%	35%	33%	98%	\$13,720
Dean	\$10,000	1%	3%	4%	8%	\$800
Clerical Assistant	\$5,000	10%	10%	10%	30%	\$1,500
Total Match for the Quarter						\$18,270
Rental		2,000	2,000	2,000		\$6,000
Office		500	500	500		\$1,500
Facilities		2,500	2,500	2,500		7,500
Lighting/Heating		200	200	200		600
Total Match						\$15,600

Appendix E

Independent Contractor Criteria Based on IRS Ruling 87-41

The following are criteria that apply to independent contractors. The twenty criteria govern the employer-consultant relationship.

1. **No Instructions:** The worker will not be required to follow explicit instructions to accomplish the job. The employer may provide job specifications, however.
2. **No Training:** The worker will not receive training provided by the employer. The worker will use independent methods to accomplish the work.
3. **Work Not Essential to the Employer:** The employer's success or continuation does not depend on the services of the worker.
4. **Right to Hire Others:** The worker is being hired to provide a result, and will have the right to hire others for actual work.
5. **Control of Assistants:** Assistants hired at worker's discretion; worker responsible for hiring, supervising, paying of assistants.
6. **Not a Continuing Relationship:** If frequent, will be at irregular intervals, on call, or whenever work is available.
7. **Own Work Hours:** Worker will establish work hours for the job. 8.
8. **Time to Pursue Other Work:** Since specific hours are not required, worker may work for other employers simultaneously.
9. **Job Location:** Worker controls job location. No direction or supervision, whether on employer's site or not.
10. **Order of Work:** Worker, rather than employer, determines order or sequence of steps in performance of work.
11. **No Interim Reports:** Only specific pre-determined reports defined in the contract document.
12. **Basis of Payment:** Worker paid by the job, rather than time expended. Total compensation set in advance of starting the job.
13. **Business Expenses:** Worker is responsible for incidental or special business expenses.
14. **Tools and Equipment:** Worker furnishes the tools and equipment needed for the job.
15. **Significant Investment:** Worker can perform services without using the employer's facilities. Worker's investment in own trade is real, essential, and adequate.
16. **Possible Profit or Loss:** Worker: a) hires, directs, pays assistants; b) has equipment, facilities; c)

has continuing and recurring liabilities; d) performs specific jobs for prices agreed upon in advance; e) worker's services affect own business reputation.

17. **Work for Multiple Employers:** Worker may perform services for more than one employer simultaneously.
18. **Services Available to the General Public:** Worker: a) maintains an office; b) has a business license; c) has business signs; d) advertises services; e) lists services in a business directory.
19. **Limited Right to Discharge:** Worker not subject to termination as long as contract specifications are met.
20. **No Compensation for Non-Completion:** Responsible for satisfactory completion of job; no compensation for non-completion.
21. **Cannot order PCCD business cards.**

Appendix F

Resource Personnel Directory

College Business Managers

College of Alameda, Mary Beth Benvenuti, 510.748.2211, mbvenuti@peralta.edu

Laney College: George Kositza, 510.436.3232, gkozitza@peralta.edu

Merritt College: Connie Willis, 510.434.3891, cwillis@peralta.edu

Berkely City College: Shirley Slaughter, 510.981.2840, sslaughter@peralta.edu

District Office

Office of Educational Services

Vice Chancellor: Dr. Debbie Budd, 510.466.7355, dbudd@peralta.edu

Coordinator/Grants and Special Projects: Carmen N. Fairley, 510.466.7307, cfairley@peralta.edu

Executive Assistant: Laura Leon-Maurice, 510.466-7329, lmaurice@peralta.edu

Office of Finance and Administration

Vice Chancellor for Budget & Finance: Ron Gerhard, 510.466.7275, rgerhard@peralta.edu

Associate Vice Chancellor for Finance: Sarah Schrader, 510.466.5363, sschrader@peralta.edu

Budget Manager: Susan Rinne, 510.466.7220, srinne@peralta.edu

Accounting Technician: Ofelia Mendoza, 510.466.7250, omendoza@peralta.edu

Purchasing

Director of Purchasing: David Imada, 510.466.7255, dimada@peralta.edu

Buyer: David Bui, 510.466.7255, dbui@peralta.edu

Assist. Buyer: Marie Hampton, 510-466-7256, mhampton@peralta.edu

Risk Management

Manager: Greg Valentine, 410.466.7247, gvalentine@peralta.edu

Staff Services Specialist: Jennifer Seibert, 510.466.7838, jseibert@peralta.edu

Payroll

Michelle Lenh, 510.466.7352, mlenh@peralta.edu

Human Resources

Vice Chancellor for Human Resources: Trudy Largent, 510.466.7252, tlargent@peralta.edu

Director: David Betts, 510.466.7257, dbetts@peralta.edu

Classified Information: Natasha Spivey, 510.466.7291, nspivey@peralta.edu

Certificated Information (*COA & Merritt*): Julie Huang, 510.466.7354, jhuang@peralta.edu

Certificated Information (*Laney & BCC*): Denise Fontenot, dfontenot@peralta.edu

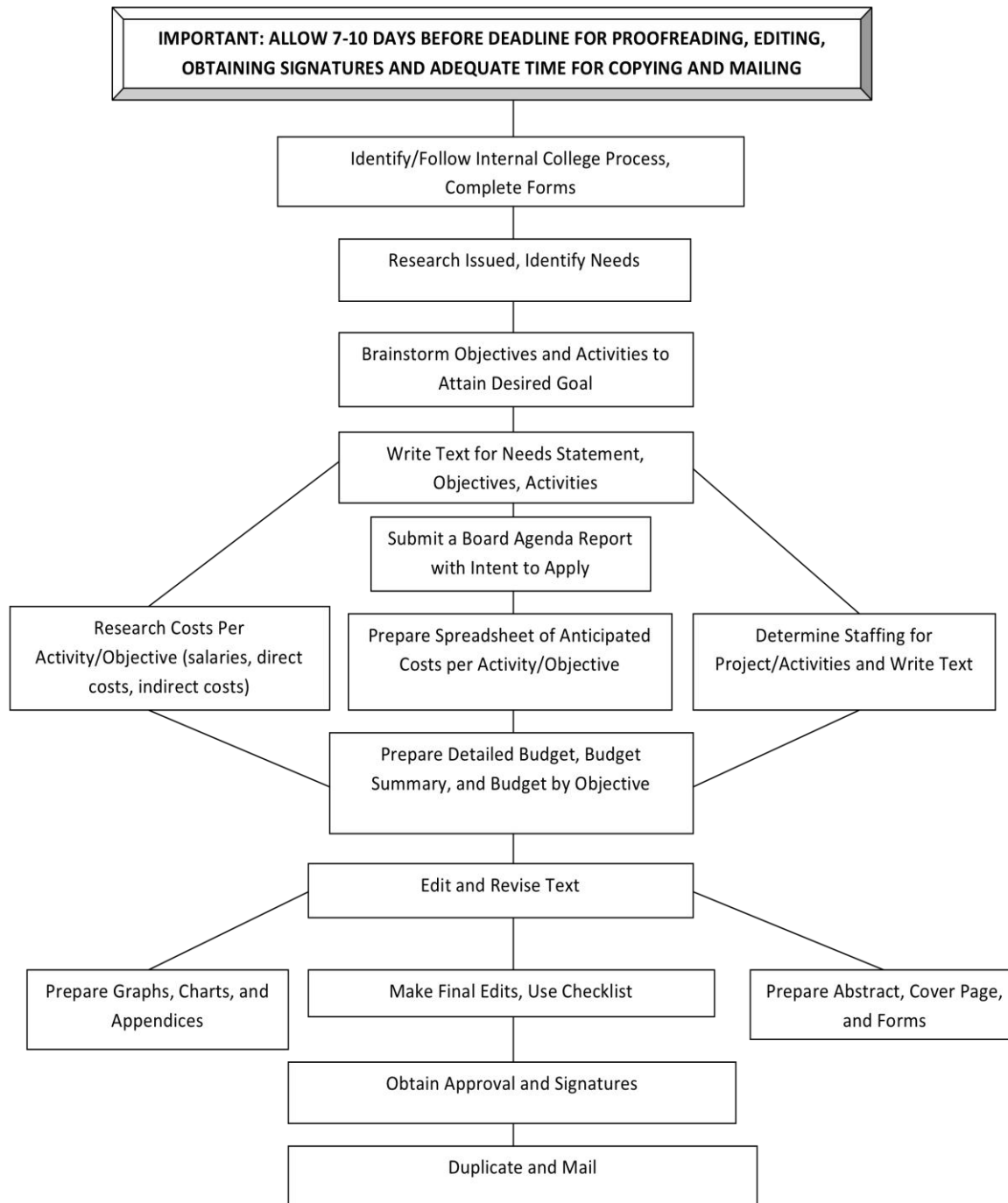
Executive Assistant: Robert Frost, 510.466.7327, bfrost@peralta.edu

General Counsel

General Counsel: Thuy Thi Nguyen, 510.466.7218, tnnguyen@peralta.edu

Executive Assistant: Lisa Harris, 510-464-3214, lharris@peralta.edu

Appendix G - Grant Process Flow Chart



Appendix H

PERALTA COMMUNITY COLLEGE DISTRICT PERSONNEL ACTION REQUEST

Classified
 Academic
 Management
 Other

Personal Information	Name (L/F/MI):	Doe, Jane	Date of Form:	March 19, 2012
	Address:	111 89 Ave Street, Apt. # 4	College/Site:	District
	Employee ID (if applicable)	1000999	Department:	Educational Services
	Day Phone:		Position Control Number:	
	Evening Phone:		EFFECTIVE DATE:	7-1-2011
			ENDING DATE (if known):	6-30-2012

I Action Requested	a. <input type="checkbox"/> Initial Employment	g. <input type="checkbox"/> Termination	i. <input type="checkbox"/> Request To Advertise
	b. <input checked="" type="checkbox"/> Employment w/prior Peralta service	h. <input type="checkbox"/> Resignation	m. <input type="checkbox"/> Fee Based/Contract Education
	c. <input type="checkbox"/> Reclassification	i. <input type="checkbox"/> Retirement	n. <input type="checkbox"/> Extend Management Contract
	d. <input type="checkbox"/> Work Out of Classification	j. <input type="checkbox"/> Death	o. <input type="checkbox"/> Increase in Contract
	e. <input type="checkbox"/> Additional Assignment	k. <input type="checkbox"/> Load Exception	p. <input type="checkbox"/> Other (Specify in Comments)
	f. <input type="checkbox"/> Change in Status, Dates, Pay Rate, Time Base, Fund Source, etc.		

II Assignment Status	a. <input checked="" type="checkbox"/> Regular	f. <input type="checkbox"/> Retiree	j. <input type="checkbox"/> Increase in Contract
	b. <input type="checkbox"/> Extra Service	g. <input type="checkbox"/> Categorical- / Grant-Funded	k. <input type="checkbox"/> ZZOIS (Specify in Comments)
	c. <input type="checkbox"/> Temporary as Needed (<i>Attach Form for SEIU positions</i>)		l. <input type="checkbox"/> Other (Specify in Comments)
	d. <input type="checkbox"/> Substitute as Needed	h. <input type="checkbox"/> Head Coach	
	e. <input type="checkbox"/> LTS (Long-Term Substitute)	i. <input type="checkbox"/> Asst. Coach	

	CURRENT STATUS	NEW STATUS
a. JOB CODE	808	
b. TITLE	Staff Assistant	
c. TIME BASE *		
* Time Base: for Classified & Managers (hrs & days/week, months/year) – for Faculty (FTE and months/year)		
d. TEMPORARY FACULTY: Equated Load		
e. ACADEMIC DISCIPLINE/TEACHING AREA:		
Meets MQs by (Please check one) <input type="checkbox"/> Masters, <input type="checkbox"/> Non-Masters & Experience, <input type="checkbox"/> Equivalency, <input type="checkbox"/> Credential.		

	CURRENT STATUS	NEW STATUS
a. SCHEDULE (PFT, 60%, 75%, Local 39, etc)		
b. RANGE/STEP		
c. SALARY (Hourly rate for temporary personnel)	\$	
d. BENEFITS PROGRAM		
e. STIPEND AMOUNT: (Describe)		
f. SHIFT DIFFERENTIAL: (Swing/Graveyard)		
g. BUDGET CODE(S) /%	1) 1-11-121-2102-1-601600-1057-00 75% (\$30,642) 2) 1-11-121-2012-1-601600-0906-00 5% (\$2,042) 3) 1-11-121-2012-1-601600-1096-00 20% (\$8,171) Total \$40,855	
h. Pay Rate x Time Base + Fringe Cost = Est Cost	\$22,426	

V **COMMENTS** (If faculty hire, must list degree(s) for eligibility)

Ms. Doe will be hired as the Staff Assistant for the Office of Educational Services to assist with the curriculum data record, maintenance/reporting, website, and development, grants and special project assistance (tech prep transition, SB70 and others).

Approvals & Budget Verifications

Area Manager Date	Area Manager/Date	College Business Officer/Date
College President/Area Vice Chancellor	HR Generalist/Date	Special Projects/Date
Vice Chancellor, Educational Services/Date	HR Director/Date	District Budget Director/Date

Prepared by: (Print Name) _____

Appendix I - Time and Effort Forms

The purpose of “Time and Effort Forms for Multi-funded Personnel” is to comply with OMB Circular A-21.

OMB Circular A-21 “Cost Principles for Educational Institutions” requires determination or certification of costs applicable to research and development, training and other sponsored work performed by educational institutions under grants, contracts and other agreements with the Federal Government.

We are required to provide documentation that confirms the costs distributed represent actual costs. A responsible person with suitable means of verification that work was performed should make confirmation. Confirmation by the employee is not required if other responsible persons make appropriate confirmations.

It is suggested that you track hours and activities at the end of each week, which allows for a more accurate record. We anticipate that you know the type of activities committed to and the number of hours spent on those activities per week.

Time and Effort Reporting—*Office of Management and Budget (OMB) Circular A-8*

Employees that are paid with federal funds must keep records of their time to ensure that a district does not use federal funds to compensate an employee for time spent on any other program. All individuals being paid with federal funds must document their time and effort, no matter what the percentage of time.

Daily Log – Individuals who work less than 100% for a particular federal program whose schedule changes from day to day have the option of logging their time spent in the federal program each day. For instance, a principal who is paid 75% from the district for principal duties and 25% from Title III to coordinate the title III coordinator duties. An individual in this situation does not hold fixed schedule as principal duties are irregular and cannot be scheduled. Daily logs must be signed by the employee and their supervisor.

Monthly Certification – Individuals who are funded from multiple funding sources can document their time and effort through monthly documentation. For this method, an assurance including time documentation would be submitted monthly. This sample assurance could state, “For the month of January 2012, Jane Doe spent 50% of her time on NSF Part A instructional activities and 50% on general instructional activities as evidenced by the enclosed schedule.” – Signed by employee and supervisor.

Type of documentation pertains to my position

If the individual is on a fixed schedule (consistent duties every day and all year long) they will

need to maintain a periodic certificate in addition to a permanent schedule. If the individual has a variable schedule (duties change from day to day and/or during the year) they must maintain a daily log along with monthly certification.

Who is responsible?

The district hiring manager is ultimately responsible for ensuring that staff maintains their time and effort documentation; however, documentation records should be signed by the employee and supervisor evidencing first-hand knowledge of the worked performed under the federal program.

This requirement pertains to all federal programs

Daily Log Instructions

Federal rules require employees paid from a combination of funds. The federal program fund must maintain time and effort distribution records in accordance with OMB Circular A-87.

Instructions: Complete the following form to show how much time you spent each day on activities related to each program or funding source through which you're paid. At the end of the month, total number of hours for each program and calculate the percentage of time you have spent on each one. Then sign at the bottom of the sheet to certify that the total time is accurate. Finally, forward the time sheet to your supervisor for certification and processing along with backup documentation (i.e. copy of pages from daily planner).

Step #1: Beginning with the second column, list one funding source or grant program to which your salary is charged during the time period covered by the form. Enter a separate funding source in each column (i.e. NSF, general fund). If you do not know the funding sources from which you are paid contact your supervisor.

Step #2: For each day of the month listed in the "Day" column, enter the number of hours worked to each of the programs you listed in Step #1.

Step #3: For each day of the month listed in the "Day" enter the combined number of hours you worked on all the programs in the last column "Totals".

Step #4: At the end of the month, add the number in each column and enter the total on the line shows "Totals." When added together, the total number of hours worked on all of the programs must equal the number at the bottom of the "Totals" column.

Step #5: Divide the number on the total line in each column by the number on the total line of the last column, and then multiply by 100. This gives the percentage of time worked on each program. Enter the percentage on the bottom line of the form.

Step #6: Add together the percentages you calculated for each program in Step #5 to make sure they equal 100%. If they do not, review Step #2 through Step #5 to check for mathematical errors.

Step #7: Sign the completed form.

Step #8: Submit the original from along with any backup documentation the district requires to the supervisor and keep a copy for your own records.

Monthly/Semester Certification

First Name:

Last Name:

Job Title:

Employee ID #:

Work Location:

Reporting for the month/semester:

Federally Funded (Summary of Activities) (e.g.) Title III, NSF, VTEA, TRIO, CTE Transition, AANAPISI	% of time and effort

I certify that the information provides above is correct.

Employee Signature

Date

Manager/Supervisor's Signature

Date

Appendix J

EVALUATION FORM

OBJECTIVES AND RATIONALE OF PROGRAM

How are stated objectives being met?

What is the focus?

What local, regional or national needs are being met?

PROCEDURES

Is a clear and detailed description of the process to meet objectives--courses, practicum, and selection of trainees--presented?

Is there evidence of effective communications with administration, faculty, students, parents, and community?

PERSONNEL AND FACILITIES

Are classrooms, labs, etc. satisfactory?

Do the personnel possess the qualifications and necessary expertise for planning and implementing a successful program?

INSTITUTIONAL COMMITMENT

Is there evidence of real commitment of staff, administration, faculty, students, and cooperating institutions in serving the needs?

If not, are steps being taken to gain commitment and cooperation?

INNOVATIVE FEATURES

Does the program offer high promise for improvement over past practices?

BUDGET

Are all funds allocated being used to successfully implement the program?

Are there any carry-over funds? Only if the project is on-going if not only encumbered funds (excluding salary).

Are salary requests for special resource persons excessive?

Does the budget provide for sufficient supplies, materials, and equipment to allow for effective operation of the project or program?

FUTURE DIRECTIONS

Are plans discussed for continuation of the program with the possibility of program expansion and the development of other programs that will be generated through this one?