

## Grant Development Resource Guide

### Section 1 Introduction and Purpose

This resource guide has been developed to help inform faculty and staff of the procedures and processes at Durham Technical Community College (Durham Tech) for the development and submission of institutional grant proposals, and as a reference for administering grant funds.

Durham Tech shall actively seek and increase its external funding sources to support quality educational and program needs that advance the mission, goals, and strategic plan directions of the College. All departments are encouraged to participate in grant or contract proposals. The Grants Office will provide the leadership to broaden the financial base and create critical needs programs through expansion of grant funding from federal, state, and local governments, and other sources. This Grant Office will provide oversight in the administration of grant funding that may be received by the College.

This manual is produced to:

- Ensure that all faculty and staff have information about the grant development process and know where to find assistance and advice in seeking funding for their programs.
- Create a basis for reviewing and screening potential grant proposals for consistency with the college's mission, goals, and objectives.
- Establish a process for the administration and monitoring of awarded grant projects.

#### Section 1.1 Grant Proposal Development Process

When a member of the faculty or staff generates an idea that may be appropriate for a grant project, their first step is to discuss their idea with their supervisor and division dean. If the dean agrees that the project should move forward, the dean will contact the Grant office to discuss the proposal and identify a lead project developer and supporting team members who will develop and refine the idea. An initial working session will be scheduled with the full group. If a funding source has not already been identified, the Grant Coordinator will facilitate a search of potential funding sources, secure necessary information from the funder, and set the proposal preparation schedule.

As the process moves forward, the project team continues to collect information needed for the proposal and through a series of working sessions and review, a final draft is assembled. The project team checks the final document for completeness and accuracy, while **the final version of the budget is reviewed by the Division of Finance and Administrative Services**. Once these processes are complete, the final proposal and supporting documentation are submitted to the funding agency for consideration.

Upon receiving official notification that a proposal will be funded, acceptance documentation is completed by the Grant office and submitted to the funding agency. If necessary, negotiations may take place over the final amount of the award. If the college receives information that the proposal will not be funded, the lead project developer, the academic dean, and the project team are notified of the decision. Subsequent discussion then leads to a decision about the final disposition

of the proposal, with three possible outcomes: (1) the proposal is revised and resubmitted for consideration; (2) the proposal is revised and resubmitted to another funding agency; or (3) the project is abandoned and no further action is taken.

### ***Roles and Responsibilities***

All grant proposals are coordinated and submitted for approval on behalf of the college through the Grant office. The office coordinates all grant development activities so that proposals are consistent with the college's priorities and to prevent duplicate requests to funding agencies.

### ***Research and Dissemination***

The office continuously researches funding opportunities to meet Durham Tech's grant-seeking priorities and is responsible for notifying appropriate administrators and faculty of grant opportunities. They also provides information to the college community about the process of developing a winning proposal, policies and procedures related to grants, terminology, project management, and other related topics.

### ***Ensuring Project Fit with Grant Opportunity***

The office is charged with analyzing project ideas and concepts to ensure that they match requirements outlined in the agency's request for proposals (RFP) or grant guidelines.

### ***Funding Agency Liaison***

The office maintains contact with federal, state, and local sources for funding information and updates, to discuss project priorities and interests, and to interpret agency guidelines and regulations. Relationships with funding agencies are often complex and are a critical element of creating winning proposals. Many private foundations discourage proposal submission without prior consultation with a development staff member. Relationships with federal program officers (FPOs) can help to guide development of successful proposals. Discussions with these officials can help to determine the types of projects that an agency has interest in, as well as the kinds of activities that are typically discouraged.

### ***Project Development***

The office also coordinates internal meetings with faculty/staff to discuss guidelines, generate ideas, design projects, and assist in writing sections of the proposal.

### ***Proposal Assistance and Facilitation***

It is the role of the office to facilitate the grant process from conception to final submission. This service is most often used on government grants, particularly large federal proposals, and involves the work of a grant team comprised of college faculty, staff, and administrators. The office also: Provides information on proposal writing and Request for Proposal/Solicitation of Grant Availability (RFP) guidelines

- Develop an annual plan and schedule of grant submissions that supports institutional goals, priorities, and activities
- Compile and maintain a list of identified institutional program needs to coordinate with available funding sources

- Encourage and assist college faculty and staff in developing creative ideas into viable fundable projects that are properly managed
- Provides general descriptive information for inclusion in proposals
- Facilitates development of the project proposal and coordinates grant team meetings and efforts
- Coordinate all grant proposals with the college as the applicant, fiscal agent, or participant prior to development and submission
- Prepares budgets in conjunction with the Business Office
- Edits proposals
- Completes required funding agency forms and certifications
- Manages internal signature process
- Submits proposals on behalf of the college
- Maintains permanent copies of responses to solicitations of grant availability
- Maintain copies of all submitted proposals for external funding and subsequent notification of application results

#### ***Budget Assistance***

The office will assist with preparation of budgets and budget justification/narrative/explanations of contract and grant proposals, and to obtain necessary budget approvals as may be required. The office also provides additional assistance after the grant award is made by facilitating any budget modifications or adjustments that may be deemed necessary before the grant performance period ends.

#### ***Fiscal Liaison***

The office coordinates project management and monitoring activities with the Division of Finance and Administrative Services.

#### ***Accountability and Reports***

The office provides advice and assistance to faculty and staff to ensure that funds awarded are being spent in accordance with the guidelines provided by the funding source and that regular progress of funded project activities is reported regularly. In addition, it collects internal reports on funded projects to ensure that appropriate documentation is being kept that will assist in compiling reports that may be required from time to time or as requested by sources of funding.

#### ***Records***

The office maintains copies of all proposals submitted by the faculty and staff of Durham Tech, as well as examples of successful grant proposals.

#### ***Business Office***

The Business Office will assist in the preparation of budgets, approve the final budget request, and facilitates any budget modifications or adjustments that may be deemed necessary before the grant performance period ends. They are also responsible for monitoring expenditures and ensuring that

grant expenditures are allowable expenditures as required by the funding agency. They are responsible for ensuring that all budget and expenditures reports are completed correctly and are submitted timely.

### **Section 1.2 Grant Evaluation Process**

In most grants, it is imperative that the grant applicant communicate his/her plans to measure success and failures of the grant project. The evaluation section of a grant outlines how progress towards the project's goals will be measured (metrics).

The Grant Development Coordinator will provide information and will assist in the development of evaluation plans to be included in the grant proposal. The Grant Development Coordinator in conjunction with the Principal Investigator (PI) will work together to ensure that the grant objectives are met in accordance with the grant agreement.

### **Section 1.3 Principal Investigator (PI) or Project Director**

While the Grant Development Coordinator is responsible for knowing the mechanics of how to apply for a grant, the Principal Investigator (PI) has equal responsibilities.

The PI is usually the originator of the project idea and the individual who will know the resources that will be needed to complete the project's goals and objectives. The PI is responsible for providing current, accurate data about the problem to be addressed, details on how the project will be operated and managed, and the results to be achieved. During the stage of proposal development, the PI's responsibilities may include:

- (1) Identifies the larger purpose of the proposal and what need or problem it focuses on, its measurable objectives, the timetable for activities and achievement of the objectives.
- (2) Provides a written statement of the problem or need and supporting documentation about the project's goals, objectives, implementation strategies, and expected outcomes.
- (3) Work the Grant Development Coordinator and staff members from the Business Office to prepare the project budget in accordance with the grant application guidelines as well as the college and the State's fiscal policies.

Below is a list of questions that both the Grant Coordinator and the Principal Investigator (PI) should ask before writing a grant proposal:

- Who will write the proposal?
- Who will administer the program?
- What funding sources are available for support of the project?
- Is the proposal consistent with the interests of the funding agency?
- Are the project objectives clear and measurable for the funding agency?
- Does the proposal present any special liability or insurance considerations to the Durham Tech?
- Will the project commit Durham Tech to continue the proposed activity beyond the end of sponsored funding? If so, have funds been secured for that purpose?
- Will the project directly or indirectly support growth in FTE?
- Is the project consistent with Durham Tech's mission, vision and goals?
- Is there sufficient time and support to write and develop a well written grant proposal?

A second set of question that the Grant Coordinator and the PI should consider is will the idea be appealing to funders?

Below is a list of project types that funders typically like to fund:

- Innovative projects that create lots of visibility
- Student scholarships
- Staff and faculty development
- Projects that reach out to underserved populations
- Pilot projects that could be replicated elsewhere
- Projects that have a likelihood of becoming self-sustaining (self-support).

#### **Section 1.4 Budget and Budget Preparation for the Project**

The most important element in any project is the budget. The budget outlines where the PI's plan to use resources and for what propose.

Budgets may vary due to these factors: (1) the requirement of the funding agency; (2) the number of years the projects is to be funded; and (3) the complexity of the proposal.

In developing the project budget, work with the Business Office to make sure that all budget line items (such as in-kind contribution and indirect cost rate) are accounted for within the budget document.

Most grant application packets will include a form that the funding agency will require the PI to use to document the project budget request. Follow the funding agency's instruction (direction) when completing this form.

The budget form will require the following expense line items for completion:

1. Personnel: Salaries and Fringe Benefits – grant budgets must include the same fringe benefit rates that apply to all other employees. Benefits for full-time positions include Social Security (FICA), retirement, and medical insurance. For part-time position, the only benefit to be calculated is Social Security.
2. Supplies and Materials: - supplies are expendable items that are non-durable in nature (i.e. pens, folders, paper, printer cartridges, etc.)
3. Travel: - the purpose of any travel included in the PI budget should related to the project goals and objectives. The actual cost of hotel accommodations, meals, and local transportation should be specified in the budget document. The college travel reimbursement rates and local travel rates for using a private vehicle should be used when calculating the grants travel budget.
4. Equipment: - the North Carolina Community College System defines "equipment" as any tangible item of a durable nature and substantial cost that may reasonably be expected to have a useful exceeding one (1) year that is used for administrative or instructional purposes. The federal threshold for equipment is \$5,000 per item. Therefore, proposals who funding is federal

dollars should account for all durable items as equipment if over \$5,000.00 and all other items as supplies if under \$5,000.00.

5. Contracted Services: - contracted services are payments made to persons or companies not employed by Durham Tech for their services. The estimated contracted services cost should be included in the PI budget form. Durham Tech will need an official agreement with the consultant in order to make payment to that vendor. The PI should contact the Business Office Purchasing Area to ensure that the Service Contract is set up correctly.
6. Indirect costs: - these costs can include general and administration, accounting, library, purchasing, physical plant, and utilities. The indirect cost rate is usually set by the funding agency. Some funding agency may not allow indirect costs at all, others, like the federal governmental agency may allowed a flat indirect cost rate of 10 percent. The PI should review the grant application packet to see if the indirect cost rate is allowed. The recovery of indirect costs is very beneficial to Durham Tech, especially with projects that have complex reporting requirements.

### **Section 1.5 Budget Justification and Budget Narrative**

In most cases, grant writers are asked to include a separate document that provides written justification for each of the budget line items within the proposal.

This document provides detail on the purposes for each proposed expenditure and an explanation of how the PI arrived at the various figures with the budget form within the proposal.

When developing the budget justification document, work with the Business Office to ensure that phrasing and cost amounts are correct.

### **Section 2.0 Funding Agencies and Funders**

Durham Tech currently has private, local, state, and federal funding agency for various grants with the college.

Each funding agency requires some type of reporting on its grant.