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Best Practices in Grant Management

Riverside Community College District

Grants Office

The Role of the Project Director

- Fully understand the grant and its accompanying terms and conditions
- Ensure programmatic success
 - ◆ Achievement of all goals and objectives
- Ensure compliance with the grant agreement and all applicable regulations
- Ensure that all expenditures are allowable

The Role of the Project Director

- Maintain records suitable for audits
- Submit all required programmatic and fiscal reports by specified deadlines
- Facilitate communication among all stakeholders
- Adhere to all district policies and procedures

Critical Initial Steps

- As soon as you have written notification of an award, contact your assigned Budget Analyst to have a budget set up in Galaxy
 - ◆ Riverside: Michele Arnold –x8668
Misty Cheatham – x8929
 - ◆ District: Sherrie DiSalvio – x8771
Erin Power – x8736
 - ◆ Moreno Valley: Erin Power
 - ◆ Norco: Sherrie DiSalvio

Critical Initial Steps

- Read, study and know
 - ◆ Your grant award notification (GAN)
 - ◆ Your grant narrative, objectives and timeline for completion
 - ◆ Your grant budget
 - ◆ The terms and conditions that apply to your grant

Critical Initial Steps

- Complete the Project Director Self-Evaluation to identify any areas that need to be addressed through training
- Contact the Grants Office to schedule an individual training offered to new Project Directors
- Attend workshops offered by the Grants Office

Critical Initial Steps

- Request assistance whenever it is needed
- Ensure that each individual written into the grant has a clear understanding of his/her role and responsibilities in achieving grant objectives and keeping grant-related records

Which Regulations Apply to Your Grant?

- Refer to your grant GAN for a list of all applicable regulations
- Education Department General Administrative Regulations (EDGAR) can be found at <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

Which Regulations Apply to Your Grant?

- Office of Management and Budget (OMB) Circulars
 - ◆ A-21 - Cost Principles for Educational Institutions
 - ◆ A-110 - Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education
 - ◆ A-133 - Audits of States, Local Governments and Non-Profit Organizations

Which Regulations Apply to Your Grant?

- OMB circulars can be found at http://www.whitehouse.gov/omb/circulars_default
- Manuals published by funding agencies for award management

Which Regulations Apply to Your Grant?

- Chancellor's Office Grants

- ◆ Common Metrics and Accountability Measures
Appendix A – Legal Terms and Conditions

<http://extranet.cccco.edu/Portals/1/WED/WEDDRFA/SB1070/AppendixA-RFASB1070-ArticlesI-and-II.pdf>

- ◆ Appendix D - Guidelines, Definitions and Allowable Expenditures

<http://extranet.cccco.edu/Portals/1/WED/WEDDRFA/SB1070/AppendixD-RFASB1070-GuidelinesDefinitionsAllowableExpenditures.pdf>

Which Regulations Apply to Your Grant?

- Chancellor's Office Grants

- ◆ Appendix E - Common Metrics and Accountability Measures

<http://extranet.cccco.edu/Portals/1/WED/WEDDRFA/SB1070/AppendixE-RFASB1070-CommonMetricsandAccountabilityMeasures.pdf>

Allocating Staff to a Grant

- Allocations are set up using designated budget codes
- The Intent to Hire form is used for new hires
- The Change Salary Budget Codes form is used for existing staff

Allocating Staff to a Grant

- If a faculty member is being allocated, in addition to the Change Salary Budget Code form, the T/A must also be changed
- Allocations continue indefinitely unless they are revised or terminated
- Important Note: The combined total of all commitments for an individual cannot exceed 100%

Staff Management Responsibilities

- Employees facing layoff must receive official notification required by California Educational Code
- Academic staff
 - ◆ Are entitled to a March 15th notice (California Education Code Section 44951)
 - ◆ Administrators may have retreat rights

Staff Management Responsibilities

- Classified staff
 - ◆ Are entitled to a minimum of 60 days notice (California Education Code Section 88017)
 - ◆ May have union-related bumping rights
 - ◆ May opt to voluntarily demote
 - ◆ Retain re-employment rights for 39 months
- Employee evaluations must be completed and filed by required deadlines

Program Evaluation

- Contract agreement with external evaluator
 - ◆ Carefully consider your data needs and the timing of requested evaluation information
 - ◆ Data needs should be reflected in the contract language. Specify dates on which you will need to receive information and link compensation to the receipt of that information

Program Evaluation

- Involve the evaluator in all discussions related to planning evaluation activities
- Assess the need for data collection systems early on
- Incorporate data collection into the day-to-day operations of the program
- Use evaluation data to make program improvements on an ongoing basis and write about them in reports to your funding agency

Sub-Award vs. Vendor Agreements

- Sub-award agreements
 - ◆ Authorize essential program work to be carried out by the sub-awardee
 - ◆ Project Director is responsible for ensuring work is completed and that every expenditure made by the sub-awardee is allowable
- Vendor agreements
 - ◆ Used to obtain a good or service
 - ◆ Project Director only responsible for ensuring that the good or service is provided

RCCD Contract Guidelines

- Agreements \$84,100 and under
 - ◆ Do not need to go to the Board unless the granting agency requires a signed agreement
 - ◆ Can be signed by a College President
 - ◆ If the vendor will accept a purchase order, a contract is not required; you may still want a contract to ensure certain protections

RCCD Contract Guidelines

- Agreements over \$84,100
 - ◆ Must go to the Board
 - ◆ Must be signed by the Vice Chancellor of Business and Financial Services
- All Agreements
 - ◆ Must be reviewed by General Counsel

Program Monitoring: Planning for Success

- Achievement of the objectives
 - ◆ Develop a detailed work plan based on the objectives and stated timelines for completion
 - ◆ Work backwards, noting when specific tasks, which are related to the larger objectives, must be completed
 - ◆ Take note of internal district deadlines
(e.g. curriculum committee, board meeting deadlines)

Program Monitoring: Planning for Success

- Achievement of the objectives
 - ◆ Share detailed work plan with program staff
(and partners and consultants as is appropriate)
 - ◆ Measure program progress against the plan

Program Monitoring: Planning for Success

- Track dates reports, re-applications, and invoices (if required) are due
 - ◆ Lead time is absolutely necessary to obtain, and compile information from staff and outside partners, and allow time for the internal college review process
 - ◆ All fiscal reports must be approved by the assigned Budget Analyst before being submitted

Fiscal Management: Funding Agency Considerations

- Are all expenditures allowable, allocable and reasonable?
- Have all required approvals been obtained?
- Are remaining funds adequate to complete all work?
- Have you remained within the specified transfer privilege limit?

Fiscal Management: Funding Agency Considerations

- Is the match contribution commitment being met?
 - ◆ Recommendation: Require partners to report at intervals that support accountability. An effective practice is to link the receipt of match reports to the payment of invoices.

Fiscal Management: College/District Considerations

- Do all expenditures in Galaxy belong to the program?
- Do all expenditures directly support the program?
- Are records being kept suitable for an audit?
- Is there a need for a budget transfer?

Fiscal Management: Considerations Related to Staff Costs

- Salaries of permanent staff are encumbered in Galaxy through the end of the college fiscal year
- Costs for special projects or hourly staff are not encumbered
- The grant year may extend beyond the college fiscal year

Fiscal Management: Projecting Staff Costs

- To obtain salary information, contact the payroll department:

Cindy Hein	AA-CO	x8666
Nikki Cook	CP-HN	x8925
Sendy Powell	HO-MN	x8923
Tamar Ortiz	MO-SA	x8921
Sue Pagano	SB-Z	x8667

Fiscal Management: Projecting Staff Costs

- Statutory Benefits

- ◆ What are they and how are they incurred?
- ◆ Rates change from year to year
- ◆ The rates for 2013-14 are:
 - 12.04% for certificated staff
 - 21.432% for classified staff
 - 9.99% for classified overtime
 - 3.79% for hourly staff
- ◆ Exceptions related to PERS/STRS membership

Fiscal Management: Projecting Staff Costs

- Health and welfare benefits
 - ◆ What are they and how are they incurred?
 - ◆ Call Pauline Castro at x3873 for costs
 - ◆ Health and life insurance are paid in ten payments, October through June with two payments in June
 - ◆ Dental insurance is paid monthly throughout the fiscal year
 - ◆ Rates usually increase by 5-20% each fiscal year

Fiscal Management

- Purchase orders are encumbered. If a vendor to whom you have authorized funds invoices for a lesser amount, you need to request that the remaining funds be disencumbered

Fiscal Management

- Check with your Vice President of Business Services regarding when budget transfers are required as this differs by college
- In general, you should strive to maintain a neutral or positive balance in each object code line item
- In any case, it is a year-end closing requirement that you do so

Fiscal Management

- A Budget Transfer form is used to transfer funds between object codes
- Moving funds between object codes within a major budget category does not require Board approval
- Moving funds between major object code categories requires Board approval
- Funds must be available in an object code before they are obligated

No Cost Extensions

- Expanded authorities provision
- No additional funds granted
- Justification is to achieve outstanding objectives
- All objectives must be completed within the extension period
- No change in scope

Time and Effort Statements Must...

- Be completed monthly by each permanent staff member funded by or matched to the grant
- Be completed after-the-fact
- Report actual time worked
- Have an original signature in blue ink
- Be maintained with other program records
- Account for 100% of the employee's time

Time and Effort Statement for Sponsored Agreements

RIVERSIDE COMMUNITY COLLEGE DISTRICT - NAME OF COLLEGE

Name of Grant Program

Name of Employee

Time Period:

I, employee name, verify that I dedicated the following percentages of my time to the programs listed below for the time period specified above:

Program #1	X%
Program #2	X%
Total - all programs	100%

Employee Signature

Title

Date

Audit-Readiness

- Stay audit-ready! Note the relationship of the expenditure to achievement of objectives on every requisition
- All required approvals should be in writing, from the program officer, and maintained with official grant records
- All grant records should be retained for a minimum of five years from the date the final report is submitted

District Support and Recordkeeping

- The Grants Office needs electronic copies of your grant application and award notices

Closeout Considerations

- Plan in advance to fulfill all objectives
- Plan in advance to appropriately expend grant funds
- Contact Human Resources three months prior to the end of the grant so that grant staff can be given layoff notification required by education code
- Plan for the disposition of equipment and supplies

Questions?

