GRANT MANAGERS BROWN BAG

IT'S NOT TOO EARLY TO BEGIN THINKING ABOUT YEAR END –
Early Warning Signs that Your Grant May Not Be Making Satisfactory Progress

OCTOBER 2026

IMPETUS FOR THIS BROWN BAG

- *Start of a New Year/End of Quarter I*
- *New State and Federal Focus on Spending*
- *Increase Effectiveness of Grant Funding*
- *Reduce Need to Carry Over Funds, Modify Budget, or Return Grant Money*



HOW IS YOUR GRANT DOING?

- Three Distinct Expense Statuses
  - Encumbered – expense initiated but not obligated
  - Obligated – vendor has committed, but has not invoiced
  - Expended – vendor is paid

End of First Quarter, have you spent or obligated 25% of your grant funds?

EARLY WARNING SIGNS – GRANT SET-UP

- Have you reviewed your Work Plan?
- Have you reviewed your Budget?
- Is everything still relevant and accurate?
- Do you need to formally modify the budget, activities, or outcomes?
  - Does the Funding Source need to be informed?

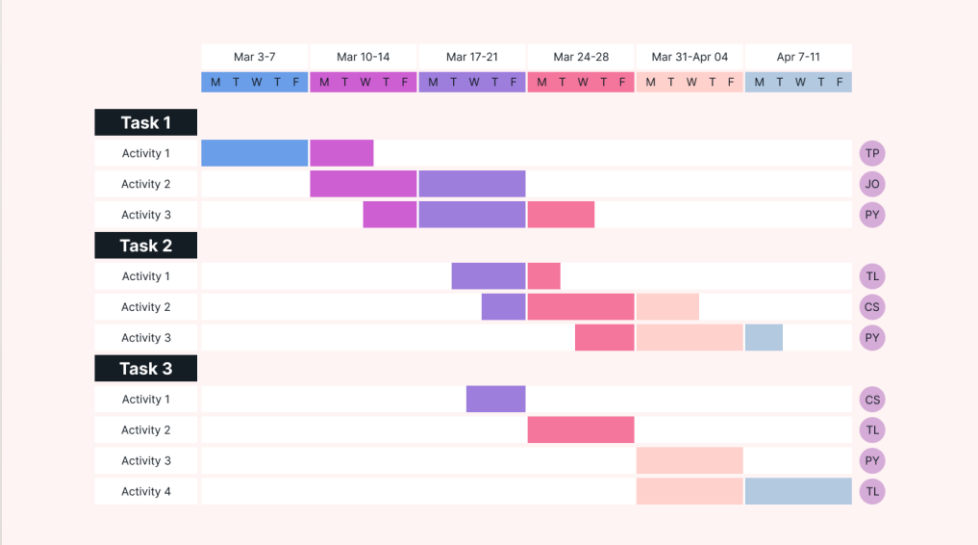
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Guiding Questions / Checklist

1)	Is the Statement of Work and Budget still relevant?	Yes ☐	No ☐
	a. Does the Funding Agency need to be informed?	Yes ☐	No ☐
2)	Are there Conditions of Award to address prior to acceptance?	Yes ☐	No ☐
	a. Date of Address/Resolution: _____		
3)	Was application reviewed and approved prior to submission?	Yes ☐	No ☐
4)	Was budget reviewed and approved prior to submission?	Yes ☐	No ☐
5)	Have there been any changes in circumstance since submission?	Yes ☐	No ☐
	a. Change in staffing	Yes ☐	No ☐
	b. Significant and unexpected change in Salary or Benefits	Yes ☐	No ☐
	c. Discontinuation of targeted program/project	Yes ☐	No ☐
	d. Change in institutional priorities	Yes ☐	No ☐
	e. Other	Yes ☐	No ☐
	i. Please describe: _____		

EARLY WARNING SIGNS – GRANT SET-UP

- If applicable, have you met with the Project Advisory Group?
- Have you set up a means to track project activities and outputs?
  - Establish Milestones
  - Set up Calendar of Activities
  - Use a project management tool



EARLY WARNING SIGNS – GRANT SET-UP

- Have you set up a means to track spending?
- Galaxy is not an effective means of managing your budget
  - Two Strategies
    - As outlined in Grant Agreement/Application
    - As uploaded into Galaxy

Implementation (NOTE: Project Director should have back-up documentation for all expenses charged to the budget)	Proposed In Grant Application	Requisition Amount	Date Requested	Amount Invoiced	Date Invoice Approved	Amount Charged to Galaxy	Date Charged to Galaxy	Total
Senior Personnel								
1000 Insructional Salaries								
	-	-		-		-		
	-	-		-		-		
Total Instructional Salaries	-	-		-		-		-
2000 Non-Instructional Salaries								
	-	-		-		-		
	-	-		-		-		
Totaal Non-Instructional Salaries	-	-		-		-		-
3000 Employee Benefits								
	-	-		-		-		
	-	-		-		-		
Fringe Benefits Total	-	-		-		-		-
4000 Supplies and Materials								
	-	-		-		-		
	-	-		-		-		
Supplies and Materials Total	-	-		-		-		-
5000- Other Operation Expenses and Services								
	-	-		-		-		
	-	-		-		-		
Other Operation Expenses and Services Total	-	-		-		-		-
6000- Capital Outlay								
	-	-		-		-		
	-	-		-		-		
Capital Outlay Total	-	-		-		-		-
Total Direct Costs	-	-		-		-		-

Expense Tracking.xlsx

EARLY WARNING SIGNS – BUDGET SET UP

- Have you worked with Grants to complete the New Grant Set-Up form?
- Has your budget gone to Board?
- Do you know your SPP?

You can't spend money if the money isn't available to spend.

New Grant Award Acceptance Form (UPDATED 3.14.25).pdf

EARLY WARNING SIGNS – BUDGET SET-UP

- Do you have access to Galaxy?
- Do you know how to find your Budget in Galaxy?
  - All grants are identifiable by their SPP
- Does the Budget in Galaxy align with your Grant Award?
- Have you reconciled first quarter of spending yet?

Beginning First Week of November, Monthly Drop-In Workshops focused on Budget Reconciliation

Invitations will be sent to all Grant Managers.

EARLY WARNING SIGNS – STAFFING

- If you need to hire staff, have you posted the positions?
  - Primary reason for grant carry-over – inability to hire staff in a timely manner
    - New Staff Hiring Process requires up to 12 months
  - Identify short-term solutions if hiring isn't possible
    - Adjunct Faculty
    - Hourly Employees



EARLY WARNING SIGNS – STAFFING

- If you are unable to spend the money on staffing, you will need to redirect those funds.
  - Prior Approval Required
    - Equipment
    - Changes in the Scope of Work
    - Subrecipient Agreements/Contracts
  - Initiate changes as soon as possible; keep program officer informed through performance reporting



EARLY WARNING SIGNS – MAJOR PURCHASES

- Have you submitted requisitions for major purchases?
  - Equipment
  - Supplies
- Have you sought approval for any proposed travel?
  - Chancellor/Board Approval

Depending on work plan and timeline, the Goal is to purchase supplies, equipment, and services at the beginning of the year, so that they can benefit the project from the start

EARLY WARNING SIGNS – MAJOR PURCHASES

- Does your project include construction, renovation, and/or technology improvements?
  - If so, have you contacted Facilities and/or Information Services?
  - Timeline included in Grant Application is almost never accurate
  - Projects usually take longer than anticipated



EARLY WARNING SIGNS – SUBRECIPIENT AGREEMENTS

- If applicable, have you moved forward with the development, review, and approval of subrecipient agreements with your partners?
  - Subrecipient Agreements based on Subrecipient Risk Assessment conducted by Grants
- Have you met with your partners at least once this fiscal year already?
  - At a minimum, quarterly invoicing and reporting

Subaward Development and Execution Summary Steps.pdf

Subrecipient Agreement Development and Execution
Summary of Steps

Step/Action to be Taken	Person Responsible	Tools Available to Assist
1) Determine if Subaward is the Appropriate Mechanism for Transaction	Grant Manager Grants Office	Subrecipient vs. Vendor worksheet
2) Confirm Approval from Funding Agency	Grant Manager	Terms and Conditions of Award; Approved Budget
3) Reach out to Grants Office to initiate development of Subrecipient Agreement	Grant Manager Grants Office	Follow Local Process
4) Assess Subrecipient's Ability to Comply with Award Requirements	Grants & Sponsored Programs	Subrecipient Profile Questionnaire
5) Determine the frequency and scope for monitoring subrecipient based on Subrecipient Risk Assessment	Grants Manager Grants & Sponsored Programs	Subrecipient Risk Assessment Matrix
6) Develop Subrecipient Statement of Work and Budget	Grant Manager Subrecipient Representative	Submitted Application; Approved Budget; Statement of Work Template; Budget Template
7) Develop Subaward Agreement	Grants & Sponsored Programs	General Counsel Approved Subaward Template(s) (federal and non-federal)
8) Obtain Signature of Subrecipient	Grants Office	Subaward Agreement Vendor Forms (if new vendor)
9) Submit Consent Agenda Item for Board Review/Approval	Grants & Sponsored Programs	Consent Agenda Template
10) Enter contract in On Base, include UEI if available	Grant Manager	On Base Training Tools
11) Submit a Type A Requisition in Galaxy, which allows for contracts to be carried over from year to year	Grant Manager	Galaxy Training Tools Attachments: Board Approval Vendor Forms Subaward Agreement
12) Establish the Subrecipient in Galaxy/Purchasing System (if necessary)	Purchasing Office	Galaxy Training Tools
13) Obtain Signature of grant's Authorized Organizational Representative	Grants Office	Subaward Agreement Local Process
14) Send Fully Executed Subaward Agreement to Grant Manager and Subrecipient Representative	Grants & Sponsored Programs Grants Office	Subaward Agreement
15) Submit Subrecipient Information to FSRS	Grants & Sponsored Programs	FFATA guidelines/ instructions

EARLY WARNING SIGNS – SERVICES

- If applicable, have you identified who will provide key grant services?
  - Project Evaluator
  - Workshop Facilitators
- Will you need to conduct a competitive bid process?

As a reminder:

1) Micro-Purchase
   a. Less than $10,000
   b. One quote required
2) Small Purchase
   a. More than $10,000 but less than the Simplified Acquisition Threshold
   b. 3 quotes required
3) Simplified Acquisition Purchase
   a. More than $119,000
   b. Competitive Bid required (unless an exemption applies)
4) Non-Competitive Purchase:
   a. Services available from only one source, such as a project partner

EARLY WARNING SIGNS – EVALUATION

- Do you know how you will evaluate the impact and effectiveness of your project?
- Have you developed tracking mechanisms for collecting essential data?
- Have you identified your evaluator?



EARLY WARNING SIGNS - EXPENDITURES

- Are you spending enough?
- If not, why?
  - Does the Grant Application have major expenditures that would increase expected first quarter spending?
- With your team, have you asked and answered key questions?
- Have you shared with your Program Officer?

Area	Narrative Description & Action Plan
Challenges Encountered	Describe any unexpected delays, resource constraints, or barriers faced during this reporting period. [Type response here]
Course Corrections	What specific operational adjustments did your team implement to minimize the impact of these challenges? [Type response here]
Key Objectives for Next Period	Outline the primary milestones and activities your team will prioritize during the next reporting interval. [Type response here]

EARLY WARNING SIGNS - EXPENDITURES

Do you know where to go for help?

- Project Supervisor
- College Grants Team
  - Karina Gigliotti, Norco College
  - Alice Musumba, Moreno Valley College
  - Rachel Weiss/Piper Watkins, Riverside City College
- Grants & Sponsored Projects
  - Grants@rccd.edu

QUESTIONS???