

SOLICITATION AND ADMINISTRATION OF FUNDS FROM EXTERNAL AGENCIES

Policies and Procedures: D-XV

Proposal Development

This policy applies to all departments and divisions of McLennan Community College (MCC) with the exception of the MCC Foundation.

When a member of the MCC staff decides to pursue college approval to solicit funds from an external agency, the first step is to present the idea and a copy of the funding agency's Request for Proposal (RFP) and/or other grant or contract announcement/specifications document(s) to his/her immediate supervisor in a timely manner. For most externally funded projects, particularly those from the U.S. Department of Education, a minimum of six weeks is usually necessary between the time approval to pursue the funds is secured and the proposal submission deadline. It is recommended that staff members interested in pursuing external funding begin discussing the project with their supervisor at least two months before the submission deadline, if at all possible.

If the supervisor decides that a grant or contract should be pursued, approval to proceed should be solicited from the appropriate Vice President or Dean, and then, from the Director, Resource Development. These decisions to proceed will be based upon an assessment of:

- * the congruity of the proposed project with the college's annual and/or long-range goals;
- * the amount of time available for the faculty/staff member and/or to prepare the proposal and work with the project (if applicable); and
- * the availability of office space and other requisite institutional resources.

Once approval from the above administrators has been secured and each has signed the **Externally Funded Project Transmittal Form** under **Approval to Proceed**, a complete draft of the proposal should be prepared at least two weeks before the proposal submission deadline. The Director, Resource Development will provide technical assistance during draft development and will have final programmatic editorial approval authority before the proposal is submitted to the President. The extent of assistance provided by the Director, Resource Development will be determined by the type of expertise needed, the length of notice provided by the grant/contract developer and the amount of time available for special projects in the Office of Resource Development.

During draft development, the grant/contract developer should consult the Office of Human Resources and the Executive Vice President about appropriate salaries for grant and contract personnel, determination of allowable indirect costs, and other applicable financial considerations. Regular faculty summer salaries paid from contract and grant funds are based upon the college's policy entitled: "Compensation to Regular Faculty for Overload Assignment."

The **Externally Funded Project Transmittal Form** must be signed by the grant/contract developer's Vice President or Dean and Executive Vice President (or designee) under **Approval of Proposal, Revision, or Report** before it is submitted with the final draft of the proposal to the Director, Resource Development, who will inform the grant/contract developer of the date the final draft must be ready for the President's signature and will submit the proposal to the President for his signature. The office that will provide the required number of copies of the proposal for the funding agency and mail or deliver the proposal to the funding agency by the submission deadline will be decided based upon the availability of budget and time. In most cases, however, the Office of Resource Development will provide these services.

Implementation

The President will normally receive notification of award funding from external agencies. The notice will be transmitted from the President's office to the Director, Resource Development. Subsequently, the following procedures and policies must be adhered to:

- * The Director, Resource Development will distribute copies of the award to the grant/contract administrator, the grant/contract accountant, the grant/contract administrator's Vice President or Dean, and the Executive Vice President.
- * It is the responsibility of the grant/contract administrator to arrange a meeting with the grant/contract accountant in the Business Office to set up a college budget for the award. The grant/contract administrator must prepare a budget based on the negotiated grant or contract budget. The grant/contract accountant will review the budget against the contract to verify that the budget meets the requirements of the grant or contract and the grant or contract financial reporting requirements.

- * For grants or contracts that involve more than one department, the Director of Resource Development will call a meeting to review responsibilities and timelines for those involved.
- * Only after the final budget has been approved within the college will the grant/contract administrator be authorized to expend grant or contract funds. In all cases, established college procedures will be followed for expenditure of funds.

Administration

It will be the responsibility of the grant/contract administrator to ensure that grant or contract funds are expended in accordance with grant or contract allowability guidelines and within the parameters of the final approved grant or contract budget. In the event a proposed expenditure is questionable, the Director, Resource Development will clarify the issue. The Education Division General Administrative Regulations (EDGAR) will be followed in the case of U.S. Department of Education federal programs. EDGAR is a publication which outlines general rules on grant or contract application submission, award, conditions, and administration and compliance procedures for operating projects that have been funded by the U.S. Department of Education. Time and effort verification forms for grant or contract personnel are available from the Director, Resource Development and should be completed on a monthly basis unless such documentation clearly is not required by the funding agency.

Financial accountability is the responsibility of the grant/contract administrator and the grant/contract accountant. The grant/contract administrator must be very knowledgeable of the various requirements of the grantor contract--and, again, he/she must be able to stay within the budget limitations.

The grant/contract accountant is responsible for:

- * setting up and maintaining all grant and contract files and making them available to the auditors and other authorized users;
- * completing and filing financial reports in a timely manner;
- * reviewing requisitions and payroll expenditures for funds availability, appropriateness of budget number to which an expenditure is being charged, and property and completeness of expenditure documentation; and
- * coordinating with accounts payable and purchasing in clearing outstanding purchase orders prior to the closing of the grant or contract.

It is very important that grant/contract administrators plan properly to expend grant or contract funds appropriately and to avoid last-minute rushes. The grant/contract administrator is encouraged to submit all requests for goods and services early in the life of the grant or contract so proper processing can occur, and delivery of goods and services can be assured. It is recommended that equipment be requested at least five months before the expiration date of the grant or contract to allow for advertising, bidding, board approval, and processing of requisitions in a timely manner; supplies should be ordered at least three months prior to the termination of the grant or contract. This should also allow for returns, rejections, and replacements.

Frequent meetings between the grant/contract accountant and the grant/contract administrator should be held to monitor the budget, request budget adjustments, and discuss other topics of interest. The grant/contract administrator should monitor his/her budget by reviewing the expenditure reports provided from the accounting system. The Director, Resource Development conducts a Grants/Contracts Roundtable several times each year. All grant and contract administrators are strongly encouraged to attend these sessions.

Communicating with and Reporting to the Funding Agency

All budget and program revisions, continuation applications, and progress reports must be approved through the same cycle (with the exception of securing approval to proceed) as the original funding application or proposal if they require the President's signature. The **Externally Funded Project Transmittal Form** should be used and the **Approval of Proposal, Revision or Report** section should be completed and signed by the appropriate officials. In some special cases, the grant/contract administrator's supervisor may allow an exception to this rule, but the Executive Vice President (or designee) must approve all communications that involve budget and the Director, Resource Development must approve all communications that require the President's signature.

The Director, Resource Development will provide advice to the grant/contract administrator about interaction with the funding agency and should be contacted if there are any uncertainties about potential communication with the funding agency.

The Executive Vice President will approve all budget revisions that do not require the President's signature or official reporting to the funding agency. The grant/contract accountant will forward a copy of approved budget revisions to the Director, Resource Development for the grant or contract file.

McLennan Community College
EXTERNALLY FUNDED PROJECT TRANSMITTAL FORM

Name of Project: _____

Anticipated Amount of Grant or Contract Request: _____

Funding Period: _____

Funding Agency: _____

MCC Grant/Contract Proposer/Administrator: _____

Proposal or Revision or Report (circle one) Due Date: _____

Reason for Revision or Report (if applicable): _____

APPROVAL TO PROCEED (Original proposals only)
Please briefly explain this project's congruence with MCC's Long-Range and/or Annual Goals: _____ _____ _____
Signatures:
Immediate Supervisor: _____ Date: _____
Vice President or Dean: _____ Date: _____
Director, Resource Development: _____ Date: _____

APPROVAL OF PROPOSAL, REVISION, OR REPORT

Signatures:

Vice President or Dean: _____ Date: _____

Executive Vice President _____ Date: _____

Sr. Accountant, Grants/General Ledgers _____ Date: _____

Director, Resource Development: _____ Date: _____

McLennan Community College
Time and Effort Report for Professional Personnel
(Due the 5th of each succeeding month)
(To be kept on file in the Grant/Contract Administrator's Office)

Employee Name _____ Month of _____

Position _____ Department _____

Activities for State/Federally Sponsored Projects:

<u>Project Name:</u>	<u>Activities:</u>	<u>% of Total Effort:</u>
----------------------	--------------------	---------------------------

Institutional Activities:

% of Total Effort:

I confirm that the above distribution of activity represents a reasonable estimate of all work performed by me during this period.

I confirm that I have first-hand knowledge of all work performed by this employee and that the distribution of activity represents a reasonable estimate of work

Employee's Signature

Supervisor's Signature

Date _____

Date _____