

Resource Development Office Grant Development Manual



Grant Development is a Team Sport

Inputs...	Activities...	Outputs...	Outcomes...	Indicators...
Materials. Guidelines Teamwork YOU!	Study manual to understand all grants processes	A fully developed understanding of the COD grants process.	Improved Project management. Better prepared to respond to opportunities for funding with high quality proposals.	Questions asked and answered. More grants developed. Proposals Submitted. <i>Programs</i> <i>Funded!</i> \$\$\$

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COLLEGE OF DuPAGE GRANT PROCESS

Proposal Research and Planning

If you have a project idea that may require external funding to make it a reality or have become aware of a grant that you feel meets a need on behalf of the college, one of your first steps is to visit the Resource Development Office (RDO). Proposal development is both a process and set of activities that require extensive communication and interaction. The goal is to develop a proposal that will "sell" itself to the funding source and also fit the college's strategic needs. The originator of the idea must take an active role in developing the proposal – especially since this person usually will be the project director responsible for implementation, day-to-day operations and successful outcomes.

The RDO will assist by:

- Discussing and developing project ideas with you.
- Researching and disseminating information on potential funding sources.
- Obtaining the Request for Proposal (RFP) and interpreting grant guidelines.
- Writing portions of the grant and editing the narrative.
- Completing required forms.
- Securing accountant participation and soliciting inclusion of other related faculty, administrators, and staff.

The director of the proposal may be the “project director” since he/she is more likely to be the “expert” on the topic. The RDO has experience and training in grant application processes and is to be used as a source for advice and technical assistance as well as support with proposal development.

All grants are awarded to the College of DuPage or the College of DuPage Foundation and not to the “project director.” The college must comply with all fiscal, legal, and contractual requirements. Thus, it is imperative to abide by the procedures addressed in this manual.

Considerations Before Developing a Grant Proposal

External funds can enhance programs and provide resources not available in the college’s operating budget. However, it is important for you and the college to consider the costs and benefits of receiving external funds before an application is submitted. External funding requests, especially those which include matching funds (explained further in the manual), should be compatible with the college’s goals and objectives and the goals of your department or division.

Proposal Preparation and Processing

Preliminary Steps

When a faculty or staff member plans to develop a project requiring external funding, discussions regarding the project should occur with the appropriate dean or administrator and the

Resource Development Office. Delays can be prevented by contacting the RDO early for advice on sources of support, proposal and budget preparation, and internal college procedures. The appropriate dean's and vice president's endorsement is necessary to proceed to approve the use of any divisional space, funds, or release time.

There are five basic stages of the college's grant development process.

1. **Discussion of Project Idea.** With your supervisor and the RDO, please discuss the following topics.

- Fit with college priorities.
- The need for the project in relation to college needs/costs.
- General goals and specific objectives.
- Specific population to be affected.
- Potential impact on the college.
- Resources required i.e., cash, in-kind services, space, equipment, and staff.
- Expectations for continuation of project after a grant ends.

2. **Proposal Development**

Working with the RDO, a timeline and plan for proposal development including research, writing, and submission will be developed.

3. **Proposal Preparation**

The RDO and project director will begin writing the proposal and obtaining supporting data. The RDO constantly reviews the proposal to ensure compliance with RFP guidelines.

4. **Budget Preparation**

The RDO, project director, and grant accountant will construct a budget conforming to agency and college guidelines. The grant accountant will clarify any budget development questions with the funding agency.

5. **Proposal Submission**

The Resource Development Office will submit the proposal to the funding agency (along with necessary copies) and will provide copies to the proposal director, grant accountant and dean/supervisor.

Grant Development Responsibilities

The following is a list of the responsibilities of key areas/divisions/departments of the college for grant compliance with agency and college policy and procedures.

President

- Sole responsibility for approving the submission of all requests for external funds.
- Provides official signature on all application documents required by funding agencies.

- Sets funding priorities.
- Is the final authority in the approval of grant budgets.

Cabinet

- Reviews and authorizes in-kind and cash match requirements, through the grant accountant request.
- Responsible for all fiscal operations of the college.
- Authorizes new grant funded personnel at the request of Human Resources.

Resource Development Office

- Identifies and disseminates information on sources of funds.
- Reviews/recommends proposal ideas. Determines fit with college priorities.
- Coordinates proposal approvals from administrators and obtains the President's signature on all required forms.
- Assists in the development and writing of proposals.
- Forms teams to develop grant proposals.
- Reviews and edits proposal drafts.
- Includes grant accountant for budget development.
- Schedules typing of drafts and assembly of final proposal.
- Coordinates the final packaging of the grant for shipment and reviewing it for completeness.
- Maintains the official files on all pending and externally funded projects.
- Mails or submits proposal online to grantor according to RFP guidelines.
- Ensures that reports required by grantors are prepared on time.
- Obtains signatures and mails reports to grantor.
- Secures contract approval from Finance Office before securing President's signature.
- Generates announcements to President's office and Public Information.
- Forwards all press release guidelines to Public Information.
- Reviews press releases that have specific guidelines.

Finance Office/Grant Accountant

- Is responsible for monitoring all financial facets of grants and agreements, including matching funds from college and collaborators, in-kind contributions and indirect costs.
- Works with the project director and RDO to develop the budget.
- Reviews all expenditure requests for compliance and available funding.
- Prepares expenditure and financial status reports as necessary.
- Prepares requests for reimbursement.
- Maintains official internal fiscal records as required by the funding agency.
- Ensures Project Manager compliance with funding agency requirements for allowability of expenditures, financial reporting, compliance of project activities within budget.
- Reviews documentation to ensure proper accounting for grant funds and assets.
- Arranges for audits as required for grants in a timely manner.

Human Resources

- The Director of Human Resources reviews all job descriptions and salary classifications for compliance with college policy.
- Provides HR demographic data when required.

Project Director

- Discusses project intent with supervisor/dean.
- Works closely with the RDO staff to provide the subject expertise necessary to develop a quality proposal.
- Administers the project and manages the project budget with the grant accountant. The project director must initiate all expenditures of grant funds and manage the process according to current College of DuPage policies and procedures along with those of the funding agency.
- Responsible for completion of narrative sections of all reports in a timely manner and processing the reports through the RDO.
- Chief responsibility for assessing the project's impact as demonstrated by outcome measures.

Information to Consider Before Application

In order to facilitate proposal development and to ensure that all grant proposals serve identified college needs and goals it is important to consider/prepare the following:

- A brief project description.
- The total estimated dollar costs.
- The amount of matching or in-kind funds required.
- A statement of the institutional goals and objectives to be met by the proposed project.
- Needed facilities or space requirements.
- If new personnel are needed.
- If faculty release time is needed.
- The anticipated number of students to be served.
- Approval by appropriate administrators.

Proposal Development

The proposal is the most important document in the grant process. The proposal is the institution's offer of contract to perform certain services for which the grantor agency will provide funds. The proposal serves as a lasting impression of the college to the funder. The proposal must:

- State clearly what the college proposes to do.
- Show how the project will advance the grantor's own purposes.
- Demonstrate convincingly the project's response to an identified problem or unmet need.
- Convince the grantor that the college and its personnel are capable of carrying out the project successfully.

It is vital for all parties involved in proposal development to study the program guidelines carefully to ensure that the proposal addresses the priorities of the grantor. Acceptance of the proposal by the grantor commits the college to fulfilling the stated objectives and requires the college to provide the necessary personnel, space, equipment, and supplies for the program. It is essential that all college departments involved in the grant project understand what is required and are willing to participate.

Guidelines/Request for Proposals

Many corporate and private foundations and all government funding sources will provide, on request, guidelines (also known as Requests for Proposal or an RFP) that have detailed requirements regarding proposal submission. It is critical that these guidelines **are followed exactly**. The Resource Development Office will assist you in obtaining and interpreting these guidelines and will ensure that the proposal fully addresses the requirements of the RFP prior to submittal.

Contents of the Proposal

A proposal often contains the following components.

1. **Abstract/Summary:** Clearly and concisely summarizes the request.
2. **Introduction:** Briefly describes the college's location and qualifications and provides an overview of the needs of grantee.
3. **Problem Statement or Needs Assessment:** Documents the needs to be met or problems to be addressed by the proposed funding.
4. **Objectives:** Establishes the benefits of the funding in measurable terms.
5. **Budget:** Explains the costs associated with project implementation and separates costs to be provided by the funding source and applicant.
6. **Evaluation:** Presents a plan for determining the degree to which objectives are met and methods are followed.
7. **Future or Other Necessary Funding:** Describes a plan for project continuation beyond the grant period.

Budget Preparation

- **The Finance Office is responsible for all budget development** including allowability of expenditures and matching project activities to compliance regulations.

The budget is an estimate of what project implementation/management costs will be. Proposed budget amounts should be as specific as possible. The quality of thought given to budget preparation will produce a better program and increase the chances of obtaining the grant. **All grant budgets are prepared by the grant accountant and project team.**

Matching Funds

The Finance Office is responsible for all financial facets including matching funds.

Matching funds (cost sharing) may be required by the granting agency to aid in offsetting the cost to the grantor. An institution may be asked to contribute cash, services, or facilities to match a percentage of the grant. When matching funds (including in-kind services) are required, the grant accountant secures the appropriate Cabinet Officer authorization before the proposal is developed. In-kind services must be carefully documented if used as a college contribution for matching purposes.

Indirect Costs

The Finance Office is responsible for all financial facets including indirect costs. Indirect costs are an opportunity to compensate the institution for the cost of housing the project. Indirect costs include, but are not limited to the following.

- Costs for upkeep of the building
- Maintenance staff
- Heat and electricity services

Letters of Support

If appropriate, letters of support from local community organizations and government agencies should be considered for inclusion in the proposal as evidence of the need for the project. All supporting documents should be solicited as soon as the project is initially approved for proposal development. Letters of support and letters of commitment must never be *cookie-cutter*. Each should be individualized and must clearly state exactly what type and to what level of support/commitment each partner agrees.

Submittal of Grants

The RDO coordinates the final processing of all grants and will copy, bind, and mail the appropriate number of copies to the funding agency. The RDO will submit all online applications. All mailed grant applications will be shipped through a carrier that supplies tracking services. All receipts will be part of the master file maintained in the RDO.

The RDO will also ship the required number of copies, when necessary, to the State Clearinghouse or Single Point of Contact as required in the guidelines. One copy of the proposal will be kept in the RDO files. One copy of the full proposal will be provided to the director(s) or respective department head(s) and additional copies will be responsibility of that department. One final copy will be sent to the grant accountant.

Award Notification

Federal and state agencies usually send a letter to the college President, the project director or the RDO, stating that a project has been funded. This letter normally includes the amount of the award, award period, funding agency's grant number, terms and conditions specific to the grant, reporting requirements, names of grants or program officer, and other pertinent fiscal information.

On receipt of the notification of a grant award, the *original award letter* must be delivered to the RDO promptly. The RDO is responsible for distribution of the award notice to the appropriate offices (i.e. President, office of the appropriate dean, project director, Business Office etc.). In addition, the following will occur.

- Award letter received in RDO copied to all appropriate stakeholders.
- From the information provided, the accountant will issue account number and set up the accounts in the ledger.
- RDO forwards the contract to Finance for approval prior to securing President's signature.
- RDO forwards any press release requirements to Public Information.
- A grant announcement is sent to the President, is included in the Green Sheet and prepared for news releases.

Budget Negotiations

Often, the first indication that a proposal is likely to be funded is a call concerning the negotiation of the budget. The individual receiving this call should immediately notify the Grant Accountant. The project director should not accept the grant nor revise the budget by her/himself. If significant budgetary or programmatic revisions must be made, the grant accountant and project director will request appropriate authorization. The grant accountant will be responsible for all budget negotiations with the funding agency. When possible, the project director will participate in the negotiations.

Authorization and Use of Grant Funds

Payments from federally funded programs must conform to college policy, grantor program guidelines, and the grants administration manual as specified in the Education Department General Administrative Regulations (EDGAR). All questions should be directed to the Grant Accountant.

In the case of private or foundation grants, expenditure of funds must be consistent with guidelines as set forth by the particular organization and in accordance with existing college policy.

Funding Denial

Upon notification of grant denial, the following will occur.

- The writing team will be notified.
- The RDO will request readers' comments from the funding agency when applicable (government agencies are required by the Freedom of Information Act to provide this information).
- The RDO may schedule a meeting with the writing team to re-evaluate the proposal and to design a future strategy for the project concept. Future strategies may include seeking another funding source, dropping or resubmitting the project for the next funding cycle.

Unsuccessful proposals have been revised on the basis of the readers' comments and successfully funded in subsequent years.

Other/Non-competitive/Allocation Proposal Process

There are no different processes for “non-competitive/allocation” funding. This type of funding has diminished significantly over the last five years. This is a list of FY06 non-competitive funding to date. While there is a budgeted allocation, funding is dependent upon past performance reports and/or submitted proposals. As with all grant funding, the Finance Office is responsible for financial oversight, expenditures, funder/audit regulations.

Funder	Proposal	Proposal Required	Report required
ICCB	Perkins Postsecondary	Yes, extensive	Yes, extensive
ICCB	P-16	No	Yes, extensive
ICCB	QIP & PEG	No	Yes
ICCB	Business & Industry	No	Yes, extensive
ICCB	(Program Improvement Grant) PIG	No	Yes
ICCB	Tech Prep Support (As of FY07, funding will become competitive)	Yes	Yes
DHS	DCFS/Parent Training	Yes, extensive	Yes, extensive

College of DuPage Foundation Proposals

Some proposals may be submitted through the College of DuPage Foundation, a separate 501 c 3 entity. In this case, while some stakeholders may be different, the grant development process is the same.

Project Management

The project director is responsible for managing the funded project. With approval from the funding agency comes new responsibilities. By accepting the grant, you have agreed to perform the tasks and strive to achieve the outcomes for an agreed-upon sum as stated in the agreement with the funding source. It is crucial that you manage the project effectively. Your success affects the college's chances of receiving future grants from that source and of raising additional project funds from other agencies. The Resource Development Office can assist you in the crucial start-up period. Listed below are a few key guidelines to get you off to a good start.

Start-up Meeting

Once a new grant is awarded, the Resource Development Office will schedule a Post-Award Meeting (PAM). The meeting will include the project director, project personnel, administrative supervisor, Director of Grants, accountant and appropriate staff, and the appropriate dean (when necessary).

The purpose of the PAM is to review the funding agency's reporting needs and the college's established procedures in relation to the grant. It is important for each person to understand internal and external policies and the specific grant management responsibilities required by the grantor. A PAM may be modified or waived at the discretion of the Director of Grants depending on the individualized assessment of the project and project director needs.

Grant Management Responsibilities

The college assumes responsibilities for a funded grant by entering into an agreement with the grantor. The following parties will assume the funding agency's required responsibilities.

Project Director

- The day-to-day implementation, management and assessment of the defined project.
- Maintain time sheets for all administrators, faculty or operational personnel that are listed as in-kind services.
- Maintain detailed files of project activities.
- Keep his/her immediate supervisor apprised of project status.
- Work with the public relations department for development of newsworthy stories involving the project.
- Work with Resource Development to ensure timely preparation and submission of all required reports.
- **Report any contact with the funding agency to Resource Development.**

Resource Development Office

The Resource Development Office remains the official contact/liaison with the funding source. The Resource Development Office is available to facilitate support for grant activity, but the primary responsibilities of the office are to assist faculty and staff in finding source identification and proposal preparation, and to act as the institutional contact with external funding agencies. The Resource Development Office is not responsible for day-to-day management of grant accounts.

Finance Office

- Maintains official internal fiscal records as required by funding agency.
- Ensures that all federal, state, and college financial requirements are followed in the expenditure and accounting procedures for external funds received.
- Reviews grant expenditure requests for compliance and available funding.

- Reviews budget and expenditures to assure accurate accounting.
- Prepares requests for reimbursement.
- Arranges for audits as required for grants in a timely manner.
- Offer guidance and instruction to the project director.

Grant Personnel Issues

Personnel must be employed in accordance with college policies (see attached appendix). Grant employees shall not be considered permanent employees. They will have no implied or guaranteed employment beyond the official grant-funding period.

The Human Resources Office will:

- Advertise and post all grant-funded positions as defined in the grant guidelines proposal.
- Maintain the hiring records of all grant personnel.
- Offer guidance and instruction to the project director.

Record Keeping

The Finance Office keeps the official grant file containing a copy of the proposal, the original-signature copies of official documents, budget and program amendments. The RDO keeps a file containing the RFP, proposal, correspondence, contracts, reports, budget or program amendments, news releases, and any other appropriate information. These files are kept for three, five, or seven years, as required by the grantor.

Programmatic Revisions

Your project was funded based on the activity plan submitted with the proposal. It is expected that the project will be implemented as planned. Program changes resulting in a modification of the scope or objectives of the approved project require prior approval of the Finance Office, appropriate vice president (as needed) and the grantor. Project revisions should be directed through the appropriate campus department/division and forwarded to the RDO. The RDO will coordinate the request for program change with all internal and external departments/agencies as appropriate.

Requests for a project revision should not occur except in extraordinary circumstances and should follow the grantor's requirements. The requests should explain the desired revision, why the revision is necessary, what will happen if the revision does not occur, how the revision will affect the project, and when the revision will be completed. The RDO will mail or submit the request to the grantor. The original of the grantor's approval will be retained in the official project file in the Finance Office. A copy of the approval will be sent to the project director. If approval comes directly to the project director, it should be sent to the RDO with a copy retained by the project director.

Requests for Budget Changes

Project directors may expend grant funds only in the amounts listed in the final proposal negotiated with the agency. Federal guidelines are flexible enough to allow minor line item changes within the total award without prior approval from the agency. If a change is anticipated, the project director and grant accountant should determine what is allowable.

Requests for Extensions and Carryover of Funds

It is sometimes possible to request an extension on a grant and to carryover unexpended funds into the following year in order to complete unfinished program objectives. However, a project should not be conducted on the assumption that an extension will be approved by the funding agency. In order to request a project extension, adequate notice must be given to the grantor at least *90 days before* the expiration of the grant. It is advisable for the project director to review the program guidelines to determine if an extension of funds is possible. The RDO will coordinate the request for an extension or carryover with the agency.

External Reporting Requirements

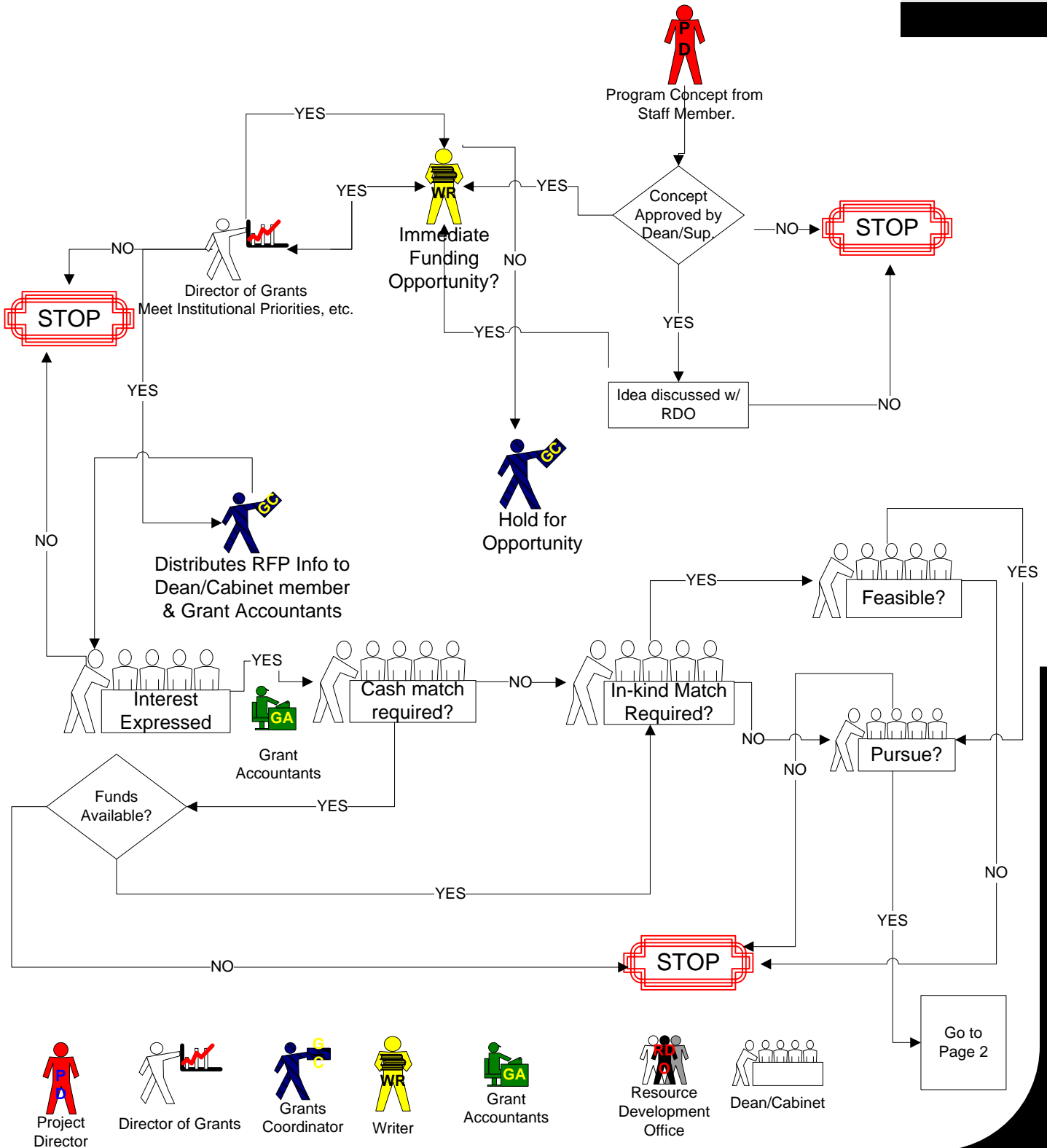
Agency reporting requirements are usually specified in the award notice or the contract. Reports normally include narrative progress reports and financial status reports. Annual reports are usually required by the grantor agency. In addition, quarterly or monthly reports may be required by some grants. Final reports are usually due within 90 days of the project end date. The project director must work with the grant accountant and RDO in developing reports which comply with all grant requirements.

The process for developing project reports is as follows.

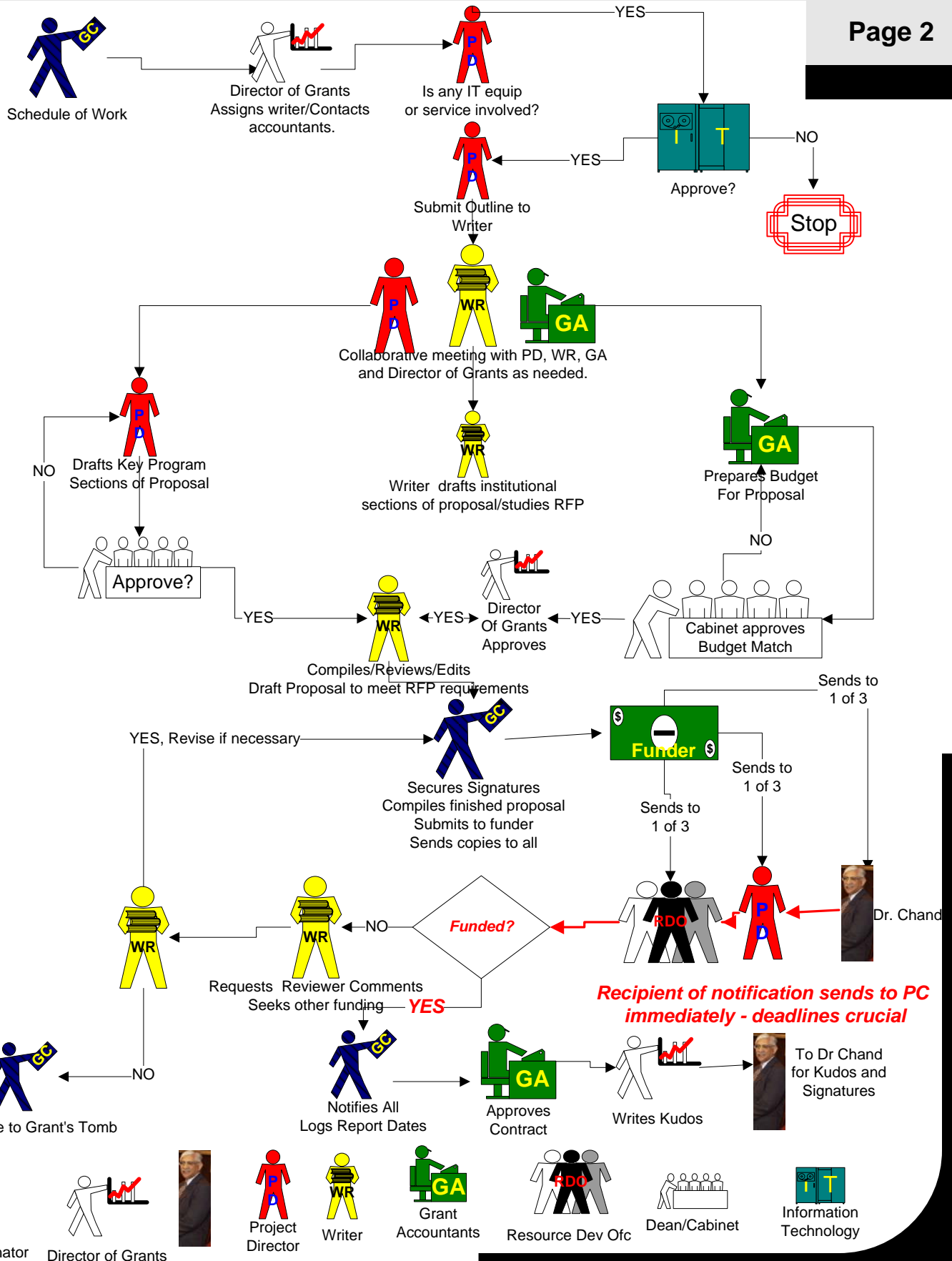
1. Responsibility for preparing performance reports lies with the project director in coordination with RDO and the grant accountant.
2. The number of reports to be submitted to the agency, as well as the number of copies of those reports, is determined by the terms and conditions of each grant.
3. Reports are to be submitted to the RDO and to the appropriate dean and vice president (if necessary) for comment and approval prior to submission. The RDO will edit narrative reports and, when needed, will assist in the preparation.
4. The signature of the President, if needed, is to be obtained by the RDO.
5. Each project report will be mailed or submitted online by the RDO. Copies of reports and letters of transmittal are retained in the official project files in the RDO. Copies will be sent to the project director, grant accountant and appropriate supervisor/dean.

Resource Development Proposal Process

Chart A. Who Does What?



Resource Development Proposal Process

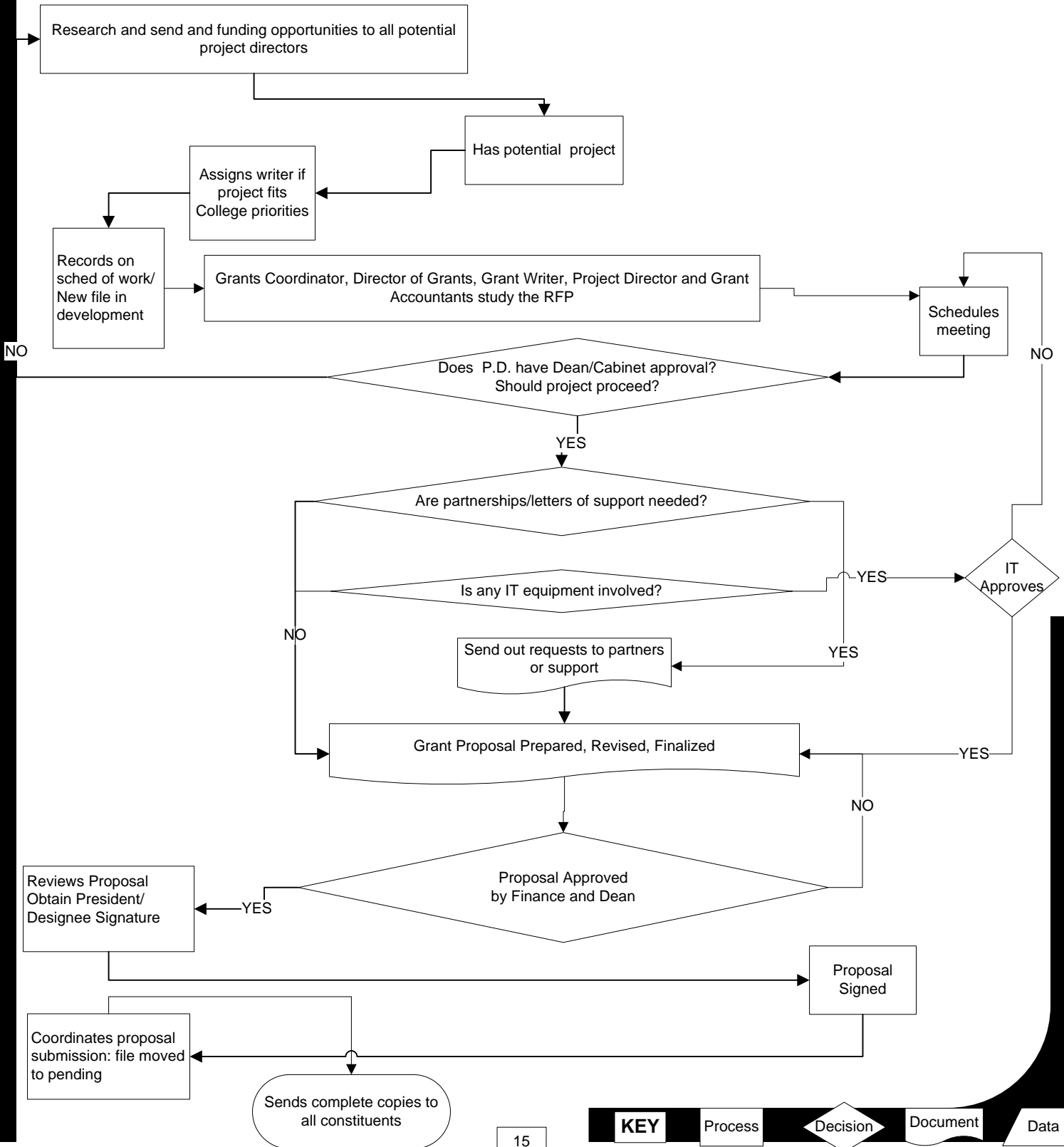


Resource Development Grant Proposal Flowchart

Chart B. Proposal Development Flow of Work

Grants Coordinator	Director of Grants	Grant Writer	Project Director	Grant Accountants	President & Administrators	Admin V	IT
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KEY Process Decision Document Data

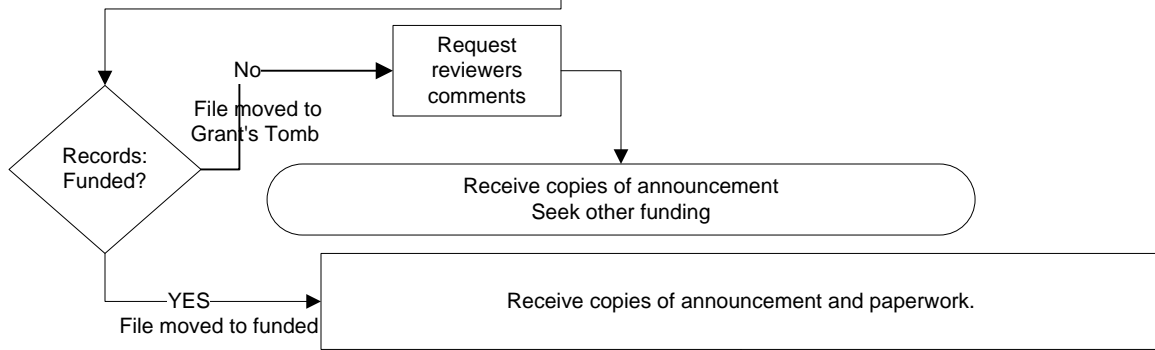
Resource Development Grant Flowchart

After Notification From Funder

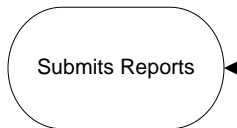
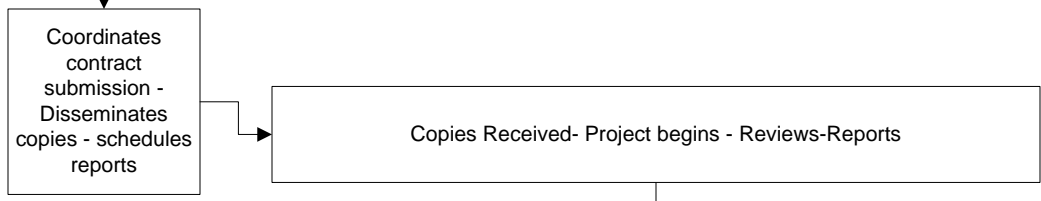
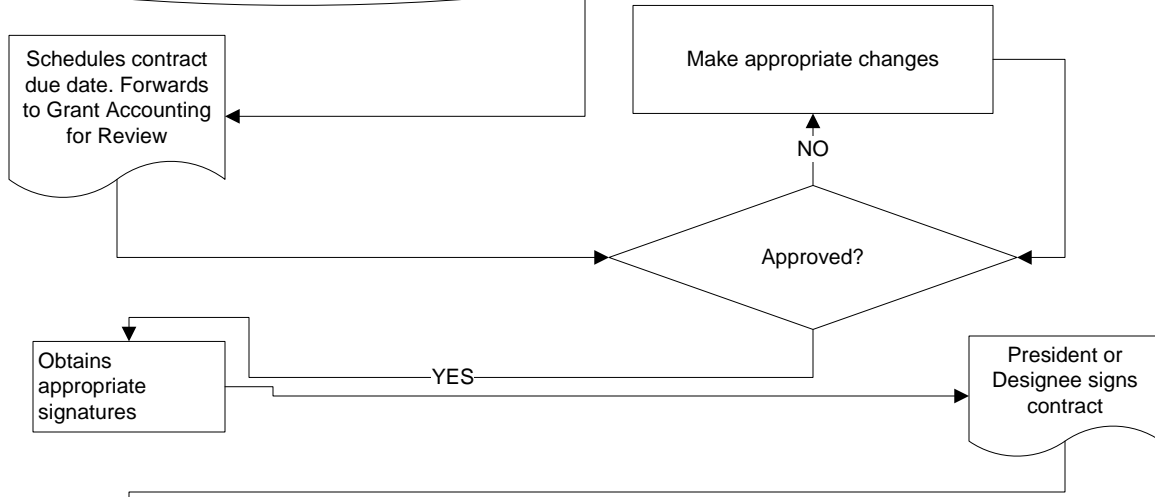
Grants Coordinator	Director of Grants	Grant Writer	Project Director	Grant Accountants	President & Administrators	Funding Source
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Notification Sent

Notification is received by one or more of the above constituents. Information must be forwarded to RDO the same day if at all possible.

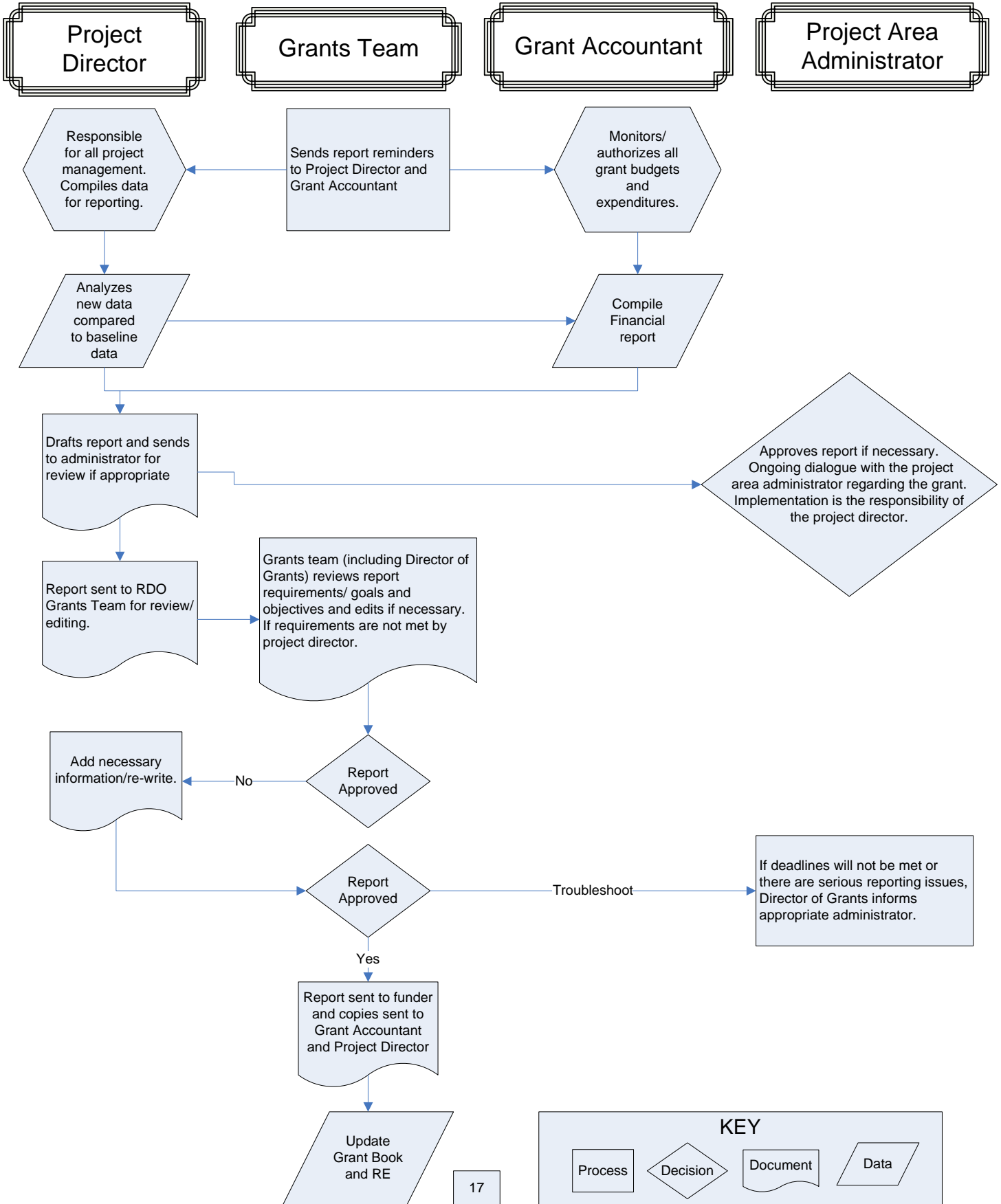


Contract Received. Please forward to RDO same day if possible. Many contracts have short deadlines.

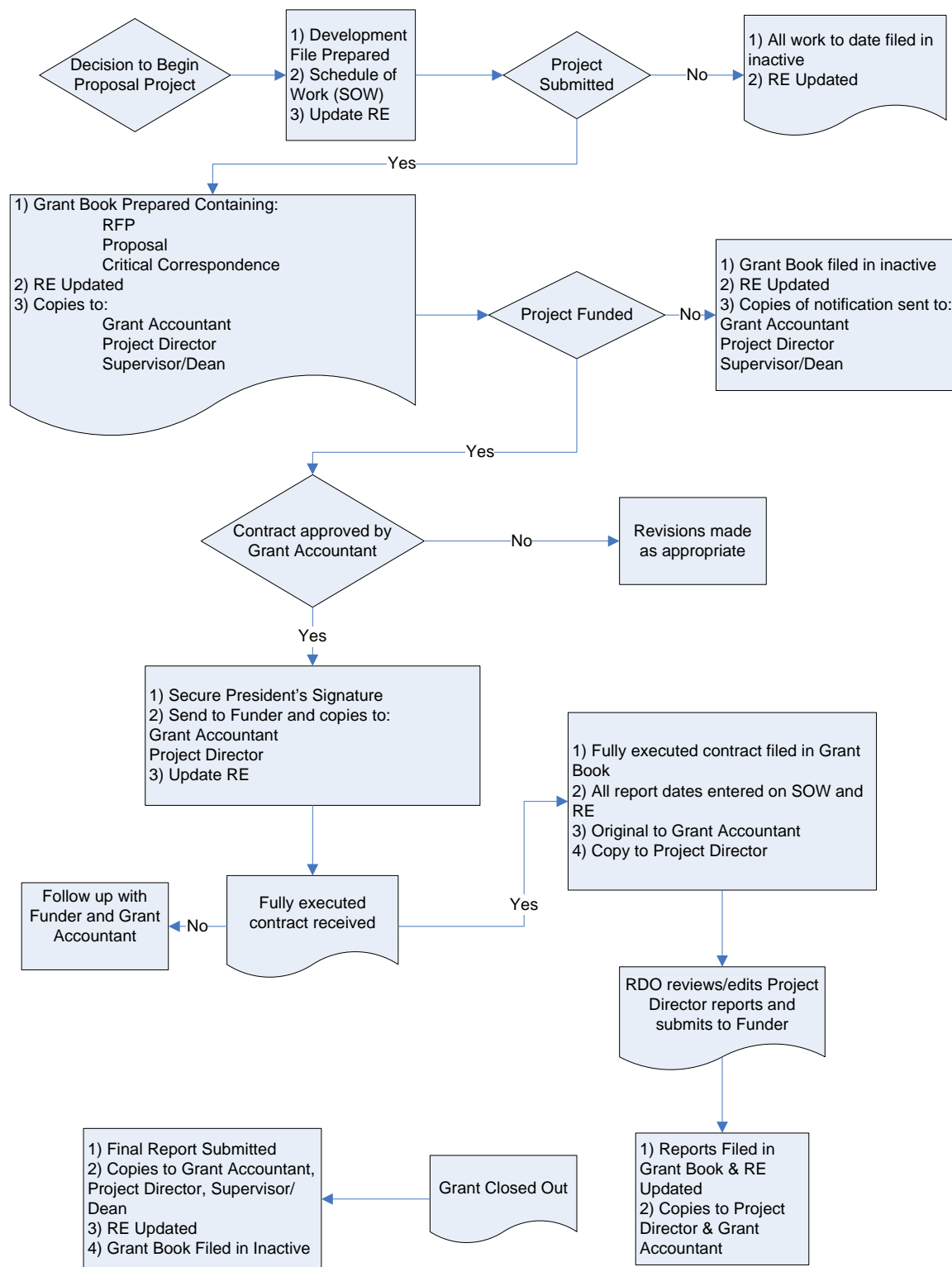


KEY Process Decision Document Data

Process for Reporting to Funders



Grants Record Keeping Process



Monthly grant office activity reports are submitted to and reviewed by the Director of Grants. Reports include: Grants submitted, grants awarded, reports submitted, contracts submitted, other projects completed as well as comparison to previous years. Quarterly reports are compiled by the Grants Coordinator and Director of Grants and sent to the Chief Development Officer. Mid-Year and Annual Reports are compiled by the Grants Coordinator and Director of Grants for submission to the Chief Development Officer, the President and the Board of Trustees.

APPENDIX

I. List of Relevant College of DuPage Board Policies

The complete text of College of DuPage Board of Trustees policies can be found in the *College of DuPage Policy Manual* or on the *College of DuPage Web Site*. The following College of DuPage policies are relevant to the development of grant proposals and management of funded projects:

- 1011 Position Description
- 4015 Medical Examinations for Employees and Prospective Employees
- 4031 Professional Consulting
- 4061 Assignment of Staff
- 4065 Drug-Free College
- 4069 Ethics
- 4070 Intellectual Property Rights
- 4072 Equal Opportunity and Affirmative Action
- 4076 Marketing of Instructional Materials
- 4080 Financial Disclosure to Avoid Conflict of Interest in Federally Funded Programs
- 4223 Travel
- 4230 Independent Contractors
- 4350 Employee Termination/Clearance
- 4380 Externally Funded Employees
- 4413 Travel Expenses for Prospective Candidates
- 4418 Salary Placement of Faculty
- 4451 Substitute Assignments, Full-Time and Part-Time Faculty
- 4456 Part-Time Assignments
- 4521 Remuneration for Part-Time Teaching Assignments
- 4541 Remuneration for Seminar Directors and Consultants
- 4602 Faculty Exchange
- 4610 Alternative Assignment - Administrative
- 6315 Reimbursable Expenses for Non-Employees
- 6420 Sale or Disposal of College Property
- 7850 Resource Development Solicitation and Acceptance of Contributions (Gifts) and Exchange Transactions

II. Grant Terminology

ABSTRACT - A brief overview of a project; usually one page or less immediately following the face page or cover sheet.

ADMINISTRATIVE COSTS – The Administrative component of a grant or contract as direct cost (see *Indirect Costs*).

AMENDED PROPOSAL – A proposal modified after it has been submitted but prior to the time the award is made; may be initiated by either the submitting organization or the funding source.

APPLICATION – A request for funds; may imply the use of a special form supplied by the funding source (see *Proposal*).

APPROPRIATION – A federal, state or local legislative enactment which allows governmental agencies to incur obligations to spend or lend money during specific time periods, usually a fiscal year. Congress may appropriate funds only on the basis of an existing authorization.

ASSURANCES – A statement concerning the institution's or organization's compliance with Civil Rights, Title IX, Section 504 guidelines, lobbying, etc. Assurances are required with many proposal applications.

AUTHORIZATION – Basic substantive legislation that sets up a program or agency. Such legislation sometimes sets limits on the amount that can subsequently be appropriated but does not actually provide money or guarantee that monies will be appropriated in any given fiscal year.

AUTHORIZED SIGNATURE – Signature of person legally responsible for making agreements on behalf of an organization; must appear on an application before it can be considered an official request; implies that if an award is accepted, the responsibility for its administration is assured.

AWARD - The document, which may be a letter, a special form or contract, prescribing the amount of funds and restrictions imposed; an agreement between two parties. The federal government uses three basic types of award instruments (see *Contract, Cooperative Agreements, and Grant*).

BLOCK GRANT (BLOC GRANT) – Usually awarded to state or local governments for broad purposes and in large amounts.

BUDGET – Financial plan for conducting a project; should include whole dollar amounts only. It is the estimated cost of performance of the project as set forth in a proposal or in the notification of grant award or contract.

BUDGET DETAIL – A specific itemized list of expenditures and income that accompanies a narrative proposal.

BUDGET DEVIATION – Departure from approved budget expenditures; usually requires prior approval by grantee and/or grantor.

BUDGET JUSTIFICATION (BUDGET EXPLANATION) – A detailed clarification of the budget; explains how dollar amounts were determined; not a rationale for the amounts requested.

BUDGET NEGOTIATION – A discussion between submitting organization and funding source prior to the time an award is made which often results in a budget reduction.

BUDGET PERIODS – Intervals of time (usually 12 months) into which a project is divided for budgetary and reporting purposes.

CONSORTIUM GRANT – An award made to one grantee in support of a project being conducted in conjunction with one or more other formally participating organizations.

CONSULTANT – A person contributing to a project during one or more brief periods of time; not on project payroll.

CONTRACT – A legal document specifying work, scope, budget and time of performance; usually results in a tangible product.

COOPERATIVE AGREEMENT – An award instrument that is used when it is anticipated that the proposed project may require substantial involvement of the federal agency in controlling the activities of the project; or in executing the project. It is considered to be an "assistance relationship," and therefore more similar to a grant than to a contract.

COVER LETTER (TRANSMITTAL LETTER) – A letter of transmittal accompanying a proposal submission.

COVER SHEET – See *Face Page*.

COST SHARING – Financial contribution by the grantee; typically less than one third of the total cost; more common to research grants; a form of matching. (See Matching Contributions and related Maintenance of Effort.)

DEADLINE OR DUE DATE – *Non-negotiable* date after which a proposal will not be accepted for review; often stated a receipt date or a post mark date (see *Post Mark Date*).

DEMONSTRATION GRANT – An award which allows a grantee to create a working model; usually meant to be reproduced by others.

DIRECT COSTS – Expenses which can be itemized and for which vouchers or payroll records can be presented for payment. They include salaries and wages, fringe benefits, supplies, travel, communication, equipment, computers, rentals, printing, duplication and so forth.

DISCRETIONARY GRANT – An award made in accordance with legislation allowing the funding source to exercise reasonable freedom in selecting the project, the grantee, and determining the amount of the award.

DOCUMENTATION – The "paper trail" that any project generates in keeping track of its staff, clients, services, and budget. Documentation is the raw material used to evaluate the success of a project.

EFFECTIVE DATE – Date award is made; allowable project costs may not be charged to the project until this date.

EMPLOYEE BENEFITS (FRINGE BENEFITS) – Direct expenditures by an organization on behalf of its employees for such items as workmen's compensation, disability insurance, unemployment compensation, Social Security, life and health insurance, and retirement. Usually fringe benefits are calculated as a percentage of salaries.

EQUIPMENT – Capital equipment is defined as a non-expendable item or group of items making up one unit with a life of more than one year and unit acquisition cost of \$300 or more.

EVALUATION – A quantitative assessment of what was, or was not, accomplished by a project; a comparison of project objectives and actual project outcomes; an increasingly important part of proposal writing and project management.

EXPIRATION DATE (TERMINATION DATE) – The last date of a project; no charges may be made to a project after this date (see *Grant Period*).

FACE PAGE (COVER SHEET) – First page of a proposal; identifies project title, sponsor to whom proposal is submitted, project director's name, title, address, project duration, total dollar request, submitting organization's name and address and the name, title, and signature of person authorized to sign for title organization.

FEDERAL REGISTER – Daily publication of the U.S. Government that reports the rules and regulations governing various programs. Often, program guidelines and application dates for RFPs are included in the *Register*.

FEE – Compensation paid to consultant for services rendered; not to be confused with Honorarium.

FELLOWSHIP – An award made directly to an individual in support of specific educational pursuits; recipients may be subject to service and/or payback requirements after the fellowship terminates.

FINAL REPORT – May be programmatic, technical, financial or any combination thereof; a summary of project implementation including an evaluation of the degree to which objectives have been met; required by most funding sources and appreciated by all others; a necessary courtesy if future funds should be desired.

FISCAL YEAR (FY) – Usually a 12-month period for which funds are appropriated and during which expenditures must be made. The federal fiscal year runs from October 1 to September 30 and is designated by the calendar year in which it ends. For example: FY 1992 covers the period October 1, 1991, to September 30, 1992. The College of DuPage Fiscal Year, along with that of state and local governments, is July 1 to June 30. Fiscal Years for many corporations are the same as the calendar year, January 1 to December 31.

FORMULA GRANT – Grant in which funds are made available on the basis of a specific formula used by the granting agency and prescribed in legislation, regulation, or policies of that agency. Formula grants are made on such factors as population, per capita income and enrollment. Entitlement Grants are usually based on a formula.

GOALS – General statements of anticipated project outcomes; usually more global in scope than objectives and not expected to be measurable; if used, goals should be supported by well-stated objectives.

GRANT CODE/ACCOUNT NUMBER – A number unique to each project, assigned by the Finance Office.

GRANTEE – Any legal entity that assumes financial responsibility, accountability for managing awarded funds, supervision of grant-supported activities and submission of final reports.

GRANTOR – Funding source which has agreed to provide financial support in the form of a grant.

GRANT PERIOD – Begins on the effective date and ends on the expiration date; the period of time agreed upon by the grantor and grantee during which a funded project is in operation; allowable project costs may be charged to the project only during this time (see *Expiration Date*).

GRANTSMANSHIP – The art of procuring grants.

GUIDELINES – Directions to follow in preparation and submission of a proposal; usually but not always provided by the funding source; more commonly available from government sources or larger foundations.

HONORARIUM – A token amount of money paid to a person for lending project support in the form of personal prestige; no professional services are necessary; not to be confused with Fee.

IN-KIND CONTRIBUTION – A service or item donated in lieu of dollars to the operation of a funded project; usually given by a third party; e.g., donated equipment or guest speaker's time; should be referenced in budget as a real direct project cost but designated as in-kind; must be auditable with letter of agreement as a minimum paper trail.

INDIRECT COSTS (OVERHEAD) – The expenses indirectly associated with the sponsored project. Included are administrative expenses, utilities, maintenance, library facilities. They are usually expressed as a percentage of either total direct costs or salaries.

LETTER OF INTENT (LOI) – A brief letter containing a description of a proposed project, an estimated budget, and information on the applicant. Sometimes it is required to allow the funding source to screen out ineligible

applicants or projects not consistent with the program's priorities, which saves considerable time for both the source and the applicant.

MATCHING CONTRIBUTIONS – The portion of costs relating to grant-supported activity which is borne by the recipient agency (the grantee). The required extent of matching contributions or "in-kind" support is set by the funding source and is usually a percentage of the funds provided by the granting agency. Matching gifts also may be offered by private donors as a challenge to other donors. Matching expenditures whether cash or in-kind may need to be documented.

MULTI-YEAR BUDGET – Budget representing the cost of a project of more than one year's duration; a separate budget is prepared for each year, with a budget summary presented preferable at the beginning of the budget pages. (See Multi-Year Funding.)

MULTI-YEAR FUNDING – Financial support extending beyond one year; may require submission of annual request for continuing support even though grantor approval has been tentatively given for the anticipated multi-year grant period (see *Multi-Year Budget*).

OBJECTIVES – Specific statements of anticipated project outcomes; identifies clearly what will be different as a result of the project having been funded as opposed to what the project is going to do; should be measurable and directly related to project evaluation (see *Goals*).

OMB CIRCULARS – Procedures and guidelines for the financial administration of and accounting for grants.

OVERLOAD – Project responsibilities which, when added to other professional responsibilities for which a person is normally paid, constitute more than 100 percent time; normally not allowable by a funding source.

PAPER TRAIL – An auditable financial record; also may apply to administrative procedures and records.

PLANNING GRANT – An award made in support of the planning stages of a future project.

POST MARK DATE – The last date which may be affixed by the Post Office in order for a proposal to be considered for funding; set by the funding source (see *Deadline*).

PRELIMINARY PROPOSAL (DRAFT PROPOSAL OR PRE-APPLICATION) – Occasionally required by a funding source as a first step in the submission process; a proposal containing only the essentials necessary to convey the idea to be proposed more formally at a later date (See *Prospectus*).

PRIORITIES – Funding sources develop annual program plans that include objectives and areas of emphasis. The areas of emphasis are called priorities, and the source awards contracts or grants for projects that most closely relate to those priorities. Priorities for federal grant programs are published in the *Federal Register*.

PROPOSAL – A written document requesting financial support to undertake a project or provide goods or services.

PROSPECTUS – A brief project overview; draft proposal (see *Preliminary Proposal*).

RESTRICTED FUNDS – Funds for operation that are restricted for use by the grant, contract or agreement to a specified purpose and/or timeframe or they could be provided as an endowment.

RFP (Request For Proposal) – Announcement distributed by a funding source to potential grantees defining in a general way the type of project proposals desired; often pertains to applied research which is in the interest of the grantor, or contractor, or its clients; can result in either a grant or contract; same as a Request For Application (RFA).

SEED MONEY – A small grant for the purpose of getting a project started; it is assumed that the project will be able to attract additional external funds following the "seed grant" period.

SITE VISIT – A final step in the review of some proposals; involves a team of evaluators from the funding source who examine the project facilities on location; includes a review of project plan and objectives with key personnel; an encouraging sign to the project director; occasionally conducted during the life of a project.

SOLICITED PROPOSAL – A proposal responding to a project concept originated by the funding source; usually the funding source invites all eligible organizations to submit such a proposal.

SUB-CONTRACT – An agreement or secondary contact in which a third part agrees to perform some of the activities defined in a primary proposal; agreed upon at the time of submission but not consummated until after the award has been made to the organization submitting the primary proposal.

TERMS AND CONDITIONS – Legal requirements imposed upon a grantee as conditions for accepting an award.

TIMELINE OF GRANT DEVELOPMENT – A week by week schedule of actions and deliverables necessary to complete and submit the grant proposal by the designated due date. This document is prepared by the RDO for the project team at the outset of the grant development process.

UNSOLICITED PROPOSAL – Proposal for which the initiative for defining the project concept and submitting the proposal rests solely with the applicant.