Grants Manual

A PRACTICAL GUIDE TO THE GRANTS PROCESS

Hillsborough Community College
Office of Grants

2014 7th Edition
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Section 1
Introduction

The Grants Process at Hillsborough Community College (HCC) was first drafted within the Department of Strategic Planning & Analysis and vetted by a convened assembly of stakeholders in summer 2008 composed of principal investigators (PIs), grants accountants, college administrators, and an experienced grants management professional from another college.

The stakeholders met to weave a structure of pre-award and post-award direction, timeframe, and responsibilities into a cohesive whole. The resulting Grants Process outlined each step from initial grant-seeking initiatives to post-award reporting, accounting, evaluation and closeout. Two issues surfaced that were viewed as warranting the greatest focus in the improvement of the Process: 1) post-award grants management and 2) identification of a grants professional “shepherd” who would assist the PI, as needed, from alpha to omega of the grants cycle. Following the two in-depth strategy sessions with the stakeholders, the Process was further reviewed by the President’s Cabinet and approved by Cabinet on August 22, 2008.

Following a two-year period of implementation, the Grants Process was revisited by a similar assembly of stakeholders representing a diversity of perspectives in the summer/fall of 2010. A key addition to the Process was an Approval to Submit component requiring a final review of all key parties implicated and/or expressly named in the application (see Approval to Submit form within the appendices). This culminates with a final review and approval of the college president allowing submittal of the application by the Grants Office.

In an effort to build on the strategic goals and initiatives at HCC, the Grants Office within the Department of Strategic Planning & Analysis, has been charged with working collaboratively with faculty and staff on individual and institutional projects that demonstrate the potential to attract outside funding. Faculty and staff are strongly encouraged to pursue external funding for programmatic activities that will contribute to their respective fields as aligned with pursuit of college goals. The Grants Office is supportive of proposals and activities that strengthen and sustain the academic reputation and mission of HCC.

If you have an idea that aligns with the strategic initiatives of the College, the Grants Office wants to hear about it! Your program or grant project is too important to rush, so this Grants Manual aims to walk you through the Grants Process and steps of preparing for a successful and fundable proposal. The HCC Grants Manual is designed to assist the college community throughout the grant process. The topics and sections outlined in this handbook are intended to provide you with a reference guide that ensures compliance with HCC grant policies. This manual is intended to be interactive and focuses on both pre- and post-award issues.
Section 2
Supporting Departments

The grants program of HCC is supported by a cross-functional team of professionals to ensure your application is the best it can be. The team consists of staff from the Grants Office, Grant Accounting Department, the HCC Foundation, and the Institutional Review Board among others, including Human Resources, the offices of Facilities Planning and Purchasing, and Legal.

The Grants Office

The Grants Office seeks to coordinate and facilitate all aspects of grants sponsored research and maintain interaction with federal, state and local government entities; non-profit organizations; and private foundations in advancing the strategic goals and initiatives of the College. The purpose of the Grants Office is to help faculty and staff turn ideas into fundable proposals that support achievement of college goals and initiatives. To this end, the Office identifies funding opportunities; provides project management and technical support in the development of grant applications; provides post-award project coordination and technical assistance; maintains records of college grant activity; and conducts training in grant writing and grant administration.

Grant Accounting

The Grant Accounting Department is responsible for accounting and fiscal reporting for restricted funds; monitoring compliance with fiscal requirements established by Federal and State law, applicable agency regulations, college policies and procedures.

The HCC Foundation

Grants that are sponsored by private foundations and certain local sources are channeled through the HCC Foundation, with the Foundation serving as fiscal agent, if eligible for a state match program. The Director of the HCC Foundation works closely with both the Grants Office and Grant Accounting Department to ensure fiscal compliance with HCC Foundation policies and procedures.

Institutional Review Board (IRB)

The IRB is a committee of individuals initially appointed by the President of HCC who review all research that involves human subjects at the College (i.e. faculty, staff, and students) for the purposes of ensuring that:

✓ risks to human subjects are minimized in relationship to any benefits gained from the research;
✓ subjects are informed of the nature of the research in which they will participate;
✓ privacy and confidentiality of the subjects and all data are maintained.
Most funding agencies require that research be first reviewed by an IRB prior to the grant award. Interestingly, the impetus to establish an IRB at the College was not due to an externally funded research application but a suggestion from the accreditation committee of the Southern Association of Colleges and Schools, Commission on Colleges (SACS) during the HCC’s decennial reaffirmation in 2006. It was stated that an IRB be established to guide and approve a five-year, research-intensive “Quality Enhancement Plan (QEP).” The QEP requires the collection of data to assess the efficacy of instructional techniques in the improvement of student learning outcomes. All research projects conducted under the auspices of HCC involving human subjects must attain IRB approval before the initiation of any data collection.

In compliance with federal regulations, the IRB is comprised of faculty and staff from various departments within the College, as well as an external representative. The IRB evaluates and approves protocols by PIs intending to use human subjects in their research. The Director of IR & Grants serves as the ex officio chair of the IRB. The chair is responsible for oversight of federal and institutional policies related to research protection of human subjects and approval of applications. Under prescribed federal guidelines, the chair has authority to approve exempt and expedited reviews without the need to convene the full Board. The majority of research conducted at HCC can be deemed exempt or approved as expedited.
Section 3
Components of the Pre-Award College Grants Program

In this section major components of the grants program are discussed including the importance of sizing up the scope of the proposed project by the PI; identification of funding sources; contacting the Grants Manager; understanding key steps in the Grants Process; development of the application proposal; development of the budget; other helpful guidelines; and submission of the application.

3.1 Assess First: Before stepping in the puddle, know how deep it is

Planning and communication are two of the most important elements of a grants lifecycle. Indeed, there are many fundable concepts, but you need to be able to invest time and attention to plan your project proposal and see it through to the finish line. An important item of note regarding the grants process—do not simply chase grant funding for its own sake. It is important to consider funding as a benefit that allows you to move forward with an identified College need—which is an intersection to benefit the needs of the College, the funder, and ultimately the students. The Grants Office recommends that you ask yourself a few questions before you decide to move forward:

1. Do I have time in my current schedule to devote to research, write and proofread a proposal?
2. Should other individuals be part of a grant writing team?
3. What is the schedule of the Grants Office at this point in the Calendar year?
4. Will I be able to meet all required deadlines of the Grants Process? (See appendices).
5. Who will serve as the Principal Investigator (PI) or Project Director (PD) on the project?
6. Who are the most appropriate individuals and/or institutions to invite as potential collaborators?
7. Does the funding opportunity require cash or in-kind matching?
8. Does my proposal need to be submitted on behalf of the HCC Foundation?
9. If funded, can the proposed Project Director or PI commit an adequate amount of time to coordinate and oversee the project?
10. Is there enough time to:
    a. Complete the Intent to Apply
    b. Thoroughly read the RFP to ensure that all specific requirements and necessary criteria (including format/structure of proposal) are met
    c. Notify my administrator and/or campus President
    d. Meet with the Grants Manager
    e. Present my Intent to Apply to Cabinet for approval
f. Request any necessary data from the Department of Institutional Research or Information Management & Reporting

h. Write my proposal

i. Edit my proposal with the writing team and the Grants Office

j. Send my written budget and budget narrative to the Grants Office and Grant Accounting Department

k. Allow for feedback from the Grants Office and Grants Accounting

l. Thoroughly check the final Proposal against the RFP criteria

m. Allow adequate time for the following: Required reviews & signatures on the Approval to Submit Form (see Appendices) including approval from the college president; Foundation Board approval and signatures (if applicable); Grants Office completion of forms and Grants Office submittal before due date.

Sometimes it is more feasible and responsible to plan ahead for the next submission date. Trying to write and edit a last-minute proposal equates to a higher likelihood of overlooking simple mistakes or important RFP requirements that you would normally catch if you were preparing within the recommended timeframe.

In order to further develop your project concept, and to be competitive with other institutions vying for the same award, you need to start by collecting the supporting materials/data for your project. Here are some specific factors and questions to consider when identifying potential gaps and evaluating the quality of your idea:

- Have I identified an important issue that intersects with the College goals and interests of the funder?
- How does my idea provide a creative solution for the need?
- Do I have the necessary data required by the funder to pursue the project?
- Is the project sustainable? (Funders want to know that the project will be sustainable after the period of the grant officially ends).

### 3.2 Identify Funding Sources

If you have not yet identified a potential funding source for your idea, there are many resources available to help you identify sponsors for your project. Those interested in seeking external support for individual or group projects are encouraged to contact the Grants Manager as early as possible. Due to the competitive nature of applying for outside funding, it is advisable to start your funding search early. For those interested in learning about opportunities in specific fields, the Grants Office maintains a comprehensive database of various funding sources that span across a large variety of areas.

**The Grants Manager**

The Grants Manager can perform a search to help you identify funding source options. Any general questions you have about grants or grant processes and procedures can be directed to the Grants Manager.
Website listing of Potential Funding Sources
You may find it helpful to perform a search for applicable grant opportunities using the Potential Funding Sources link on the HCC Grants website.

It would be beneficial to interested faculty and staff to discuss their proposed concept with the Grants Manager prior to a search to determine the most suitable funding match available.

3.3 Contact the Grants Manager – Early!

It is required that the PI contact the Grants Manager (as “shepherd” of the Grants Process) prior to moving forward with an idea/project related to a grant opportunity. It is strongly encouraged that any individual interested in submitting a proposal to a funding agency consult with the Grants Manager at least 4 weeks prior to submission. This provides a mutual benefit for both the PI and the Grants Office. The Grants Manager will help to determine if the project is a good fit with the strategic goals of the College.

As the PI, you are the subject matter expert and may not be aware of current grant applications or Cabinet-approved project applications awaiting submission to the Grantor and any potential conflict that your proposal may have with those proposals (e.g. similar type of project, applications to the same funding agency, funding agency submission restrictions). This is another compelling reason why HCC requires that all grants be processed through the Grants Office.

Before you proceed with investing the amount of work that it will take to write the proposal, you must make sure that the project will have institutional approval and support. This includes all funding that HCC receives from any type of grant (e.g. consortium, reapplication, and pass-through). The Grants Office must be contacted before the PI moves forth with the proposal/partnership.

3.4 Review the Grants Process

Developing and administering grant proposals requires the use of college time and resources. For this reason, before developing a grant proposal on behalf of the college, you must contact the Grants Manager and secure Cabinet approval prior to moving forward with any external funding opportunity.

Acquaint yourself with the official Grants Process of the College in the appendices or by clicking on this hyperlink (Grants Process) if you are viewing the electronic form of this Manual. For grant applications equal to or less than $10,000, in lieu of Cabinet approval, the Special Assistant to the President for Strategic Planning & Analysis (SA) approves development of grant applications except for federal applications. Whether approved by Cabinet or the SA, the decision to move forward is guided by the extent to which the application advances achievement of college priorities as articulated in the strategic plan. In those instances in which approval is questionable, the SA confers with the sponsoring Cabinet Officer. Should there be questions or disagreement, the decision is taken to Cabinet for final resolution.
3.5 Develop the Proposal

Congratulations! You have garnered institutional support from Cabinet to develop and submit an application. It is important to organize and conceptualize your framework before writing your proposal. First and foremost, your proposal should address the goals and initiatives of the College. HCC’s strategic areas of focus are:

1. Student Success and Student Access
2. Community Outreach through Partnerships
3. Enhancing Access to Meet Educational Needs
4. Providing Resources to Enhance Learning Environment
5. Diversity and Global Awareness
6. Continuous Improvement through a Culture of Evidence

See Appendices for a complete listing of College Goals and Strategic Initiatives.

Requirements of Institutional Review Board: Human Subjects Approval

Prior to submission, any proposal involving human subjects in a research project is required to contact the IRB to fill out the proper forms with the IRB of the College. Please contact the IRB Chair for procedural guidance. In addition, all research involving human subjects must receive IRB exemption or approval before initiation of data collection.

Collaboration

Teamwork is an important part of developing any grant proposal. The key players in the Grants Process can provide assistance in the form of brainstorming, identifying potential funding sources, developing assessment strategies, budget development, compliance with institutional regulations, and reviewing the final proposal. It is essential to communicate with all of the following applicable key players in the HCC Grants Process.

- Principal Investigator (PI)
- Grants Writing Team
- Grants Office
- Grant Accounting
- Foundation, if applicable
- Human Resources, if applicable
- Office of Purchasing, if applicable
- Office of Facilities Planning, if applicable
- External partners
- College administrators and Campus Presidents
- President’s Cabinet

Analyzing the Grant Announcement

READ the grant announcement multiple times to determine exactly what needs to be included in your proposal. The grant announcement provides you with a key for everything that you will need to include in your proposal. When writing the story of the proposal, it is important that you do not deviate from or add more than the grant announcement requires. An error-ridden proposal may indicate that the PI will not be careful with the funder’s money. Do not deviate from their instructions.
The required elements of the proposal depend upon each funding agency. A good rule of thumb to remember when writing your proposal: Let the grant announcement’s structured section guidelines and requirements shape your proposal.

**Common Proposal Mistakes**

Speaking of paying attention to the instructions, you will want to highlight ALL formatting requirements of the proposal (font, type, size, page limitation, appendices allowance, et cetera).

Proofread, proofread, prufreed! Did you catch that? Okay astute reader…I’m sure that you did. The question remains, will you catch the errors when they count? A funder can discount (in laymen’s terms REJECT) a proposal for nothing short of grammatical and typographical errors. You certainly don’t want your opportunity to go to waste over grammar, do you?

**Developing the Budget and Budget Justification**

The budget and budget justification essentially defend the amount of money required for your project. In addition to your project narrative, it is important to show the funding agency the benefit of what their money is funding and why. As the PI, you should be able to accurately forecast budget expenses for each year and a cumulative budget for the full term of the project. This section should also consist of a complete budget justification for all services included in the project budget. The services consist of two general categories of costs: **Direct** and **Indirect Costs** (aka Facilities and Administrative costs or F&A). For more information, see the Cost Share Procedure listed in the Appendices.

Direct costs represent:
- Salaries and wages
- Fringe benefits
- Supplies
- Travel
- Equipment
- Alterations and renovation

Typical Indirect (F&A) costs include:
- General administration and general expenses
- Plan operation and maintenance
- Library expenses
- Departmental administration expenses
- Depreciation or use allowance
- Student administration and services

When developing your draft budget, consult with the Budget Development Officer in the Grants Office. All budgetary issues need be addressed with the Budget Development Officer in the Grants Office and Accountants in the Grant Accounting Department.
**Addressing Sustainability**

Additionally, with very few exceptions, planning for the sustainability of your project is expected by each funding agency. Although sustainability plans may not be required as part of the original funding application, sustainability should be an essential goal of your grant program. Funding Agencies need to determine whether an institution intends to use funds 1) as a quick-fix, whereby future needs may go unmet, or 2) as a long-term strategy to incorporate a successful grant program into the institution’s overall plan.

The Sustainability question should be raised from the first moment of the grant application process. When planning your grant proposal, you must consider what you will need to manage and operate the activities to sustain the operation of your grant project, after your grant comes to an end. This could include a redistribution of departmental financial resources, redeployment of staff, obtaining outside funds, etc.

Critical Elements for Successful Sustainability Planning include:

1. Creating a clear vision.
2. Measuring your program’s success
3. Identify resources needed to sustain program activities and goals
4. Developing a funding plan to sustain your program goals

**3.6 Final Submission of the Proposal**

You are almost to the Finish Line!!

At this point, you have proofread the entire application package for correctness and completeness. This includes all narrative information, supporting documents, and form pages. Submit your final proposal packet to the Grants Office well before the submission deadline for approval by all supporting departments, culminating in approval by the president (see appendices, Approval to Submit Form). *Final* proposal means that you have addressed all proposal and budgetary concerns with the Grants Office and Grant Accounting Department. As most proposals are submitted electronically, it is also important to allow yourself some extra time in case unforeseen issues arise (e.g. network failure, server break down on the grantor or the grantee side, thunderstorm power outages).

**Final proposals not submitted to the Grants Office at least five days prior to the deadline will not be submitted to the funding agency (except in extenuating circumstances).** The staff in the Grants Office needs time to conduct a final review of the completed proposal to ensure that it complies with all standard regulations as applicable; Hillsborough Community College policies and IRB review. It is your responsibility, as the PI, to ensure that the proposal meets the formatting requirements specified in the program announcement.
Section 4
Post-submission Activities

There are obviously two outcomes at this point: funded or unfunded. Both answers provide opportunities to reflect and respond.

4.1 The Notice of Award

If your proposal is approved for funding, congratulations are in order! It’s time to celebrate and then get ready to work! It took a lot of time and effort to win the grant amongst all of your competitors, and you will certainly want to continue to impress upon the funding agency that your project is worthy of their support.

If you are funded you must:

1. READ THE AWARD LETTER. Read it carefully, and read it multiple times to ensure your understanding of all of the grantor’s requirements and expectations as well as any “surprise” fine print amendments.

2. READ THE AWARD LETTER THOROUGHLY. I’m sure you now understand that this is the most important post-award step. Familiarize yourself with the funding agency website and check regularly for any changes. Read through the outline of reporting requirements and familiarize yourself with all reporting forms for that federal agency.

3. If you receive the award letter directly, you must send the original award letter/contract to the Grants Manager. Copies of the award letter will be sent to the PI or Project Director and Grant Accounting Department. In addition, a copy will also be housed on the electronic Grant Repository.

4. You, in collaboration with the Grants Manager and Grant Accountants, will convene a kick-off meeting to discuss accounting procedures, review project requirements, and budget set up so that you can get to work on your project.

5. Organize an audit ready records system for your grant.

6. Complete all progress reports by required deadlines.

7. As the Project Director, you are now charged with maintaining your project’s reputation with the funding agency in addition to the College’s reputation with the Grantor. It is important to follow your project plan as represented in your proposal. It is important to note that any compliance discrepancies with your project could negatively impact other grants awarded to HCC by that particular funding agency, in addition to others.

8. Make sure the appropriate people know about your award so the College can brag about your achievement!

9. Remember, as the Project Director, YOU ARE ultimately RESPONSIBLE for your project!
If you were NOT funded

Congratulations are still in order. If you have spent ample time planning your proposal, and your first submission has been rejected, you will now want to consider planning to resubmit for the next deadline.

In order to reflect and assess why your proposal went unfunded, the first and most important step is to carefully analyze the review panel comments to address both the problems that are easily fixed and those issues that may require more effort (e.g. data, scope, clarity of need, stronger evaluation component).

Common reasons for unfunded proposals:
1. Failure to follow specific guidelines (e.g. correct form usage, section order, format restrictions).
2. Failure to include all required information.
3. Lack of clarity (understanding the project objectives, how you plan to carry out the project and evaluate the outcomes.)
4. If you were writing collaboratively, did the proposal convey a consistent tone throughout?
5. Concerns about feasibility of the project, inadequate resources, or qualifications.
6. Weak potential for project sustainability after close-out of the grant.
7. Project does not align with the funder’s mission or that of the College.
8. Budget items have not been directly linked to the goals and objectives of project, and/or the budget is viewed as unrealistic or excessive.

If you plan to rewrite your proposal, it is imperative that you address all of the reviewers’ comments and concerns in the new submission. If you decide not to reapply, it is important to look at the time that you invested in writing this grant as just that – an investment. Developing a proposal is a valuable learning experience and the reviewer’s comments will leave you better prepared for the future.

To improve your chances of being funded in the future, consider the following questions:
• Did I truly allocate enough time to planning the project and writing the proposal?
• Do I need to conduct further research?
• Are funding agency grant trends aligned with my project, or focused on other interests/developments?
• Can I volunteer to be a proposal reviewer to gain firsthand experience with the grantor side of the process?
4.2 Project Director (PD) Responsibilities

It is important to emphasize that the Project Director has the ultimate responsibility and accountability for carrying out the project as proposed in the grant application. Activities can be delegated including some of the management activities by a PD, but this does not relieve the PD’s accountability for the timely implementation and completion of the project. Correspondingly, it is the PD who gets the credit for the grant and research.

4.3 Maintain Audit Ready Records

Naturally, organization and communication are two very important components to successfully managing your grant. As Project Director, it is a good idea to give careful thought to the organization and filing of grant records. Many of the documents that you accrue during the lifetime of the grant have official legal implications to the College. It is important that project coordinators create an official records retention procedure. You should aim to keep all records organized and audit ready. Below are suggestions for structuring your records system.

Organize

- Develop and maintain a master file for the project
- Set up the internal processes for implementation of the project
- Create a file for each objective of the funded project
- Print and file all reporting forms and any updated federal agency forms
- Document grant activities: evaluation, meeting minutes
- Develop timelines
- Maintain Time & Effort forms (see appendices)
- Keep detailed records of all data collected

The master file should include the grant proposal, the grant award, the research instruments and measurement protocols used for the research, budget revision requests, travel, all progress reports, presentations on the project, grant personnel records (including time and effort reports), purchase records, and grant accounting records.

Required Reports

The grant contract or proposal guidelines will officially outline the required reports. Your responsibility as project director is to complete all reports on time (progress, fiscal and final) making sure to send all reports to the Grants Accounting Department and Grants Office prior to the funding agency’s reporting due date.

Time and Effort Reports

All full-time and hourly employees compensated for work performed on a federal grant need to complete a time and effort form indicating the percent of effort devoted to a federally funded project. Time and effort must be reported at least monthly. The following are important items to note regarding Time & Effort:

- Leave and holidays should be indicated on the time and effort form.
- Total effort for an employee must be 100%.
- Someone who has “first-hand” knowledge of 100% of the employee’s time must certify the form at the end of the reporting period and not before.
• Time and effort reports indicate the allocation of an employee’s actual time and effort spent on specific projects, whether or not reimbursed by the Grantor.
• The time and effort report should include all of the activities performed by the employee under the terms of their employment.

The PD is responsible for saving time and effort reports for all employees working on their federal grant to the Electronic Grants Repository. The time and effort reports will be saved to the Electronic Grants Repository. Contact the Grants Manager for assistance.

Budget Tracking
Before contracting for any expenditure, you must meet with the Grant Accounting Department to review financial requirements of the award and establish the way in which your expenditures will be accounted for. You will then receive a budget code for your grant and you must initiate or approve all direct charges to the project and check the reports of expenditures for accuracy. It is imperative that you allocate and spend all funds available by at least 90 days prior to the end of the grant. When Project Directors draw monies down within the last 90 days of the grant, it raises a giant red flag of bad budget planning and poor time management to the funder.

4.4 Close-out
The manner in which you close-out a grant project and the way in which closeout procedures are handled including timely submission of final reports and the quality of those reports can have a direct affect on the possibility for future funding. When closing out a grant, there are five particular areas that require your attention.

Budget:
You must reconcile grant accounts and notify the Grant Accounting Department of all expenditures made against the grant.

Purchasing Activities:
All purchasing activity should be matched with requisitions and receipt of all purchased items should be checked.

Active Grant Files:
It is important to review your master grants file for the following: grant documents, personnel records, purchase orders and requisitions, budget records and all change request documentation. The auditors will review these files.

Document Storage:
If the grant project is not continuing, you must designate appropriate storage of all grant files and documents.

Reporting:
Formal reports to the funding source are generally due forty-five to ninety days after the close of a federal grant.
Section 5
Appendices
Appendix 5.1: The Grants Process

HCC GRANTS PROCESS

Approved by President’s Cabinet on 8/22/2008; 1st revision endorsed by President Atwater at the 11/9/2010 meeting of President’s Cabinet.

PRE-AWARD GRANTS DEVELOPMENT PROCESS

<table>
<thead>
<tr>
<th>STEPS OF PROCESS</th>
<th>ACTIVITY AND RESPONSIBLE PARTIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. IDENTIFY UNMET COLLEGE NEED &amp; FUNDING SOURCE</td>
<td>Grants Manager (GM) or Principal Investigator (PI) identifies college priority to address and funding source.</td>
</tr>
<tr>
<td>2. PLANNING MEETING WITH GM</td>
<td>PI has planning meeting with GM to identify application timeline, requirements, and responsibilities.</td>
</tr>
<tr>
<td>3. COMPLETE INTENT TO APPLY FORM</td>
<td>PI completes Intent to Apply form &amp; presents to Cabinet (if application is under $10,000 see procedure in Grants Manual).</td>
</tr>
<tr>
<td>4. CABINET APPROVAL</td>
<td>Cabinet approval needed to proceed. Special Assistant to the President (SA) gives notice of decision to PI and Grants Support Team.</td>
</tr>
<tr>
<td>5. SECOND MEETING WITH GM</td>
<td>GM completes Grants Checklist of interdepartmental &amp; HCC Foundation requirements as applicable.</td>
</tr>
<tr>
<td>6. DEVELOP GRANT APPLICATION</td>
<td>PI develops grant application in concert with Grants Support Team (IRB, IR, Budget Development, Narrative Review, etc.).</td>
</tr>
<tr>
<td>7. PRESIDENTIAL SIGNATURE REQUIRED TO SUBMIT</td>
<td>GM obtains all signatures on Approval to Submit Form required for submittal.</td>
</tr>
<tr>
<td>8. SUBMIT GRANT APPLICATION</td>
<td>GM submits application to granting agency</td>
</tr>
</tbody>
</table>

GRANT AWARD NOTICE RECEIVED
POST-AWARD GRANTS MANAGEMENT PROCESS

1. NEGOTIATION & ACCEPTANCE OF AWARD
   - Grants Office, Legal, and PI to review award letter. Award signed by HCC President.

2. UPDATE RECORDS
   - GM to update Grant Clearinghouse & Catalogue; GM distributes copies of award package to PI and Grants Accounting.

3. REQUIRED POST AWARD MEETING
   - Grant orientation meeting held with PI, Grants Accounting, and Grants Manager to review terms and conditions, develop timelines, note periodic report deadlines. Foundation, Purchasing, and other parties included when applicable.

4. ASSIGN GL ACCOUNT
   - Grants Accounting to assign budget information to PI and release funds for project

5. MONITOR PROJECT
   - Grants Accounting to monitor program spending; process prior approval requests. GM and Grants Accounting to review regulations and prepare for audits/reviews/site visits as needed.

6. SUBMIT REPORTS
   - PI to submit initial/quarterly/annual/final performance reports, as applicable, to Grants Accounting.

7. MANAGE RECORDS
   - PI and GM ensures that all grant documentation and reporting are uploaded to the Grants Clearinghouse.

8. COORDINATE CLOSE OUT
   - Grants Accounting to mail closeout letter. GM to maintain all documentation in clearinghouse for a minimum of three years after official closeout confirmation date is recorded.
Appendix 5.2: The Intent to Apply

HILLSBOROUGH COMMUNITY COLLEGE
NOTICE OF INTENT TO APPLY FOR EXTERNAL FUNDING

This form is a Word template. "Save As" a Word file and submit it as an email attachment to Grants@hccfl.edu before proposal development begins.

1. Your name: 

2. What is the deadline for submitting the grant application? 

3. The grant funding source is:
   □ Federal □ State □ Local □ External Foundation □ Other organization

4. Name of the funding agency or organization: 

5. Name of the grant program: 

6. Which College Goal and/or Strategic Initiative will this proposal address? (Click the dropdown boxes to indicate the most appropriate Goal &/or Initiative.)
   Goal: Choose the most relevant Goal
   Initiative: Initiative, if applicable

7. Catalog of Federal Domestic Assistance (CFDA) #, if applicable: 

8. URL where additional information can be found: 

9. This proposal will be submitted on behalf of:
   □ HCC alone    □ HCC Foundation    □ A consortium/partnership

   If the project is part of a consortium:
   a. Which institution is responsible for submitting the proposal? 
   b. What other institutions will be in the consortium? 

10. Is this a competitive request for proposals? □ No □ Yes

11. Is this a continuation or renewal of an existing grant? □ No □ Yes

12. How many awards will be made? 
    What is the dollar range of the awards? 
    What dollar amount are you seeking? 

13. For how many years will funding be requested? 
    What is the project start date? 
    What is the project end date? 

14. Are any matching funds required? □ No □ Yes
    If YES, provide a description of the required match. Be certain to define whether the match is cash and/or in-kind and list the source(s). If cash match is required, what is the dollar amount? 

15. Is indirect cost allowed? □ No □ Yes If YES, what is the allowed or negotiated rate? 

16. Has your Cabinet-level administrator been notified? □ No □ Yes

17. During proposal development and/or post-award grant management this project will require assistance from:

18. Please provide a brief description of the activities, personnel, location(s), and other institutional resources that will be involved in carrying out the grant activities (for example, if IR will need to provide data and/or assessment throughout the grant). Indicate if the objectives of this grant are similar to other programs of the College, and if so, the value added from your grant. If applicable, will research methods of the grant program confound other ongoing research-based initiatives? 

19. □ If this proposal was not submitted after approval, please explain: 

   For assistance with this form, please email the Grants Office at Grants@hccfl.edu.
HILLSBOROUGH COMMUNITY COLLEGE
Grant Sustainability Worksheet

Name: 
Grant Project Title: 

In the field below, please provide a brief summary of the College resources needed to sustain your grant project after grant funding expires. Identify the source and location of funding (i.e. from your department, campus or the College).

Full-Time Salaries: 
Part-Time Salaries: 
Contract for Services: 
Capital Outlay (e.g., equipment, furniture, etc.): 
Expenses (e.g., software materials and supplies, repairs and maintenance etc.): 
Will data reporting be required after the close-out of the grant?  □ No  □ Yes 
If yes, for how long? 

For assistance with this form, please email the Grants Office at Grants@hccfl.edu.
# Appendix 5.3: Approval to Submit Form

## Approval to Submit Form

**HCC GRANTS OFFICE**

<table>
<thead>
<tr>
<th>Guest Name:</th>
<th>Example Guest</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Investigator:</td>
<td>Dr. Jonathan Doe</td>
</tr>
<tr>
<td>Project Title / Agency:</td>
<td>Bridging Gaps / Dept. of Education</td>
</tr>
<tr>
<td>Amount Requested:</td>
<td>$3,500,000</td>
</tr>
<tr>
<td>Deadline to Submit:</td>
<td>10/14/2013</td>
</tr>
<tr>
<td>Form Received Date:</td>
<td>06/1/2013</td>
</tr>
<tr>
<td>Documents:</td>
<td>Narrative, Budget</td>
</tr>
</tbody>
</table>

### Newton Benzly - Grants Budget Officer

- **Response:** Yes, I approved.
- **Signature:** (Example Signature Only)
- **Date:** 2013-06-16 10:22:32.837

### [Signature] - Other

- **Response:** Yes, I approved.
- **Signature:** (Example Signature Only)
- **Date:** 2013-06-16 10:27:13.57

### Jana Irvine - Financial Services Manager

- **Response:** Yes, I approved.
- **Signature:** (Example Signature Only)
- **Date:** 2013-06-16 10:29:23.9

### Farshid Qureshi - Executive Director of HCC Foundation

- **Response:** Yes, I approved.
- **Signature:** (Example Signature Only)
- **Date:** 2013-06-16 10:26:08.447

### Julie Rodney - Grants Manager

- **Response:** Yes, I approved with conditions.
- **Signature:** (Example Signature Only)
- **Date:** 2013-06-16 10:24:38.6

**Comments:** The budget needs to be amended to reflect 5% personnel reduction.

### [Signature] - Other

- **Response:** Yes, I approved.
- **Signature:** (Example Signature Only)
- **Date:** 2013-06-16 10:27:37.4

**Comments:**
Appendix 5.4: Potential Funding Sources

Federal Agencies

Center for Disease Control and Prevention
Department of Agriculture
Department of Commerce
Department of Defense
Department of Education
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of Housing and Urban Development
Department of Justice
Department of Labor
Department of State
Department of Transportation
Department of Veterans Affairs
Environmental Protection Agency
Institute of Museum and Library Services
Institute of Peace
National Aeronautics and Space Administration
National Endowment for the Arts
National Endowment for the Humanities
National Institutes of Health
National Science Foundation
Small Business Administration

State Agencies

Florida Department of Education (FLDOE)
Workforce Florida

Local Agencies

Allegany Franciscan Ministries
The Children's Board of Hillsborough County

National Foundations

Annie E. Casey Foundation
Astro-Zeneca Foundation
The Carnegie Corporation of New York
Charles Stewart Mott Foundation  
Coca-Cola Foundation  
Citi Foundation  
ExxonMobil Foundation  
Ford Foundation  
Bill & Melinda Gates Foundation  
The Heinz Endowments  
Robert Wood Johnson Foundation  
W.K. Kellogg Foundation  
The Kresge Foundation  
John S. and James L. Knight Foundation  
Lumina Foundation for Education, Inc.  
The John D. and Catherine T. MacArthur Foundation  
The Andrew W. Mellon Foundation  
The Rockefeller Foundation  
The Wachovia Wells Fargo Foundation, Inc.  
The Wal-Mart Foundation, Inc.  
The J.P. Morgan Chase Foundation  
Wells Fargo Foundation  
Alfred P. Sloan Foundation  
Walton Family Foundation

**Search Engines & Grant Alert Providers**

The Catalog of Federal Domestic Assistance  
The Chronicle of Higher Education  
The Chronicle of Philanthropy  
Community of Science  
Federal Grants Wire  
The Foundation Center  
Grants.gov  
International Education Research Center  
Library of Congress  
Library of Congress, Thomas  
Technology Grants
Appendix 5.5: Common Proposal Information

BUDGET INFORMATION

<table>
<thead>
<tr>
<th>HCC Indirect Cost Rate Agreement</th>
<th>44% on Campus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effective Period: 07/01/2011 – 06/20/2015</td>
<td>20% off Campus</td>
</tr>
<tr>
<td>Awarding Federal Cognizant Agency</td>
<td>U.S. Department of Health &amp; Human Services</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>DUNS Numbers</th>
<th>Associated DUNS Addresses</th>
</tr>
</thead>
<tbody>
<tr>
<td>College: 065915209</td>
<td>39 Columbia Dr. Tampa, FL 33606</td>
</tr>
<tr>
<td>Brandon: 825765407</td>
<td>10414 E. Columbus Dr. Tampa, FL 33619</td>
</tr>
<tr>
<td>Dale Mabry: 018071378</td>
<td>4001 W. Tampa Bay Blvd. Tampa, FL 33614</td>
</tr>
<tr>
<td>Plant City: 083190744</td>
<td>1206 N. Park Rd. Plant City, FL 33563</td>
</tr>
<tr>
<td>SouthShore: 958072311</td>
<td>551 24th St. NE. Ruskin, FL 33570</td>
</tr>
<tr>
<td>Ybor City: 108847000</td>
<td>2112 N. 15th St. Tampa, FL 33605</td>
</tr>
<tr>
<td>HCC Foundation: 800090966</td>
<td>39 Columbia Dr. Tampa, FL 33606</td>
</tr>
<tr>
<td>District Board of Trustees of Hillsborough Community College</td>
<td>PO Box 31127 Tampa, FL 33631</td>
</tr>
<tr>
<td>College</td>
<td>39 Columbia Dr. Tampa, FL 33606</td>
</tr>
</tbody>
</table>

| College Employer Identification Number (EIN) | 159-1219841A1 |
| College Taxpayer Identification Number (TIN) | 59-1219841 |
| HCC Foundation Employer Identification Number (EIN) | |

| Fringe Benefits (may adjust annually) | |
| FICA | 7.65% (Social Security: 6.2% and Medicare: 1.45%) |
| FRS | 7.37% |
| Medical/Dental | $7,850 |

MAILING ADDRESS FOR ALL HCC GRANT AWARD CONTRACTS & DOCUMENTS

Hillsborough Community College
Attn: Julie Redcay
Grants Office #411
39 Columbia Drive
Tampa, FL 33606-3584

COLLEGE P.O. BOX ADDRESS
Hillsborough Community College District Office
P.O. Box 31127
Tampa, FL 33631-3127
Appendix 5.6: College DUNS Number Procedure

Hillsborough Community College
Dun & Bradstreet, DUNS Number Procedure

Both Dun & Bradstreet (D&B) and the System for Award Management (SAM), formerly referred to as CCR, are essential to doing business with the federal government. D&B maintains the business data of 200 million companies and the “DUNS” numbers assigned are used to track how federal money is distributed. SAM, which is utilized as the official government system for all federal grants, contract suppliers, and contract activities, combines federal procurement systems into one system.

After a comprehensive review and update of our business records within D&B and SAM, all superfluous and erroneous DUNS numbers have been deleted. The DUNS numbers listed below are the official numbers for HCC that must be used for all grant applications and submittals. HCC is now registered with SAM, using our official D&B numbers.

In order to ensure there are no unauthorized changes, the following personnel are registered with SAM and D&B, and are authorized to amend or add any information to the D&B database on behalf of Hillsborough Community College:

1. Vice President for Administration/Chief Financial Officer
2. College Attorney
3. Special Assistant to the President Strategic Planning & Analysis
4. Executive Director of the HCC Foundation

Additionally, as it pertains to grant applications, the College Grants Manager will manage these numbers internally as a component of the grants process. The Grants Department will annually review our DUNS numbers each summer to ensure there have been no changes to our registered numbers.

Below are the official eight Hillsborough Community College DUNS numbers registered with Dun & Bradstreet (five campuses, district, the HCC Foundation, and the Board of Trustees):

<table>
<thead>
<tr>
<th>Campus Location</th>
<th>DUNS Number</th>
<th>Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>College</td>
<td>065915209</td>
<td>39 Columbia Dr. Tampa, FL. 33606</td>
</tr>
<tr>
<td>Brandon</td>
<td>825765407</td>
<td>10414 E. Columbus Dr. Tampa, FL. 33619</td>
</tr>
<tr>
<td>Dale Mabry</td>
<td>018071378</td>
<td>4001 W. Tampa Bay Blvd. Tampa, FL. 33614</td>
</tr>
<tr>
<td>Plant City</td>
<td>083190744</td>
<td>1206 N. Park Rd. Plant City, FL. 33563</td>
</tr>
<tr>
<td>SouthShore</td>
<td>958072311</td>
<td>551 24th St. NE. Ruskin, FL. 33570</td>
</tr>
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<td>Ybor City</td>
<td>108847000</td>
<td>2112 N. 15th St. Tampa, FL. 33605</td>
</tr>
<tr>
<td>HCC Foundation</td>
<td>800090966</td>
<td>39 Columbia Dr. Tampa, FL. 33606</td>
</tr>
<tr>
<td>District Board of Trustees of Hillsborough Community College</td>
<td>06-591-5209</td>
<td>P.O. Box 31127 Tampa, FL. 33631</td>
</tr>
</tbody>
</table>

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Appendix 5.7: 2013-15 College Mission, Vision, Values, Goals and Strategic Initiatives

College Mission
Adopted by the Board of Trustees, October 24, 2012

Hillsborough Community College delivers teaching and learning opportunities that empower students to achieve their educational goals and become contributing members of the local community and a global society.

College Vision
Adopted by the Board of Trustees, October 24, 2012

Hillsborough Community College will excel in proactively responding to the evolving educational needs of our students, staff, workforce, and community through assessment and continuous improvement.

College Values
Adopted by the Board of Trustees, October 24, 2012

Student Success
HCC values the complete development of students in pursuit of their academic, personal, social, professional and career goals.

Community Service
HCC values its responsibility to anticipate and respond to community need.

Diversity and Inclusion
HCC values diversity and cultural awareness in promoting the inclusion of all its members within a global society.

Sustainability
HCC values the sustainable use of its environmental, social, and operational resources including the integration of sustainable concepts in the curriculum and its service to the community.

Integrity
HCC values integrity by having honest and open relationships with its constituencies and between each other within the college.

Innovation
HCC values continual improvement and innovation leading to measureable advancements in institutional success.

Accountability
HCC values fiscal transparency, personal and professional accountability, and customer service.

Professional Development
HCC values the continued development of faculty and staff knowledge and skills.
College Goals

Goal 1: Advance student success through a focus on the achievement of learning outcomes for all students with the active involvement of all employees.

Strategic Initiatives
A. Increase the college preparatory course completion rate in reading to the state average (CSF, B-5).
B. Increase the retention rate of students enrolled in degree programs to exceed the state average (CSF, B-4).
C. Improve student learning outcomes in Gateway courses (QEP, 49).
D. Increase the Associate of Arts graduation rate to the state average (CSF, A-4).

Goal 2: Foster partnerships with the local and global communities to position the College as a premier educational institution for college transfer, career workforce and economic development, lifelong learning, and community initiatives.

Goal 3: Enhance access, flexibility, and responsiveness to meet the changing educational needs of the students and the community.

Strategic Initiatives
A. Reexamine the complete array of program offerings to ensure they are responsive to community need and workforce demands (CSF, A-7).
B. Expand opportunities for electronic access to instructional delivery (CSF, B-2).
C. Improve satisfaction with the provision of student services in course registration, financial aid, and academic advising.

Goal 4: Provide the necessary human, financial, physical, and technological resources to ensure a high quality learning environment and an efficient organization.

Strategic Initiatives
A. Leverage technology to streamline administrative processes and reduce the percentage of budgeted expenditures for overhead functions (CSF, C-7).

Goal 5: Promote an institutional culture that values the individual; fosters diversity and inclusiveness; and encourages professional development, action, creativity, and risk taking.

Strategic Initiative
A. Encourage hiring practices that will result in a faculty that is more reflective of the student body profile and the citizenry of Hillsborough County (CSF, C-3).
Goal 6: Continuously improve programs and services through a systematic and ongoing process of strategic planning, assessment, and review in which a “culture of evidence” guides our direction.

Strategic Initiative

A. Successfully complete the 5th Year Review to maintain compliance with the requirements and standards of the Southern Association of Colleges & Schools (SACS).
Appendix 5.8: HCC Cost Sharing Grant Procedure

HCC Cost Sharing Grant Procedure (7/29/13)

Introduction

In a grant application, the request for proposal (RFP) will indicate if the College is to provide cost sharing contributions. Cost share contributions are of two types 1) cash match and 2) in-kind. Whether it is cash match or in-kind, it represents the portion of the project costs that the College will incur.

Definitions

A. **Cost Sharing** represents a commitment to redirect college resources to support sponsored projects. Cost sharing resources can be 1) cash match and/or 2) other non-cash in-kind contributions. Mandatory cost sharing is a contribution by HCC to the sponsored project required by the funding agency.

B. **Cash match** represents a type of cost sharing whereby monetary contributions are pledged by HCC and/or third parties (e.g. partnering community agency) to the sponsored project to match some portion of the funds awarded by the funding agency. The terms “matching funds” and “matching” are used interchangeably with cash match.

C. **In-kind** represents a type of cost sharing whereby non-monetary contributions are pledged by HCC and/or third parties including the donation or use of (1) equipment, building, or land; (2) supplies; and/or (3) personnel services/effort provided by volunteers from a third party.

All cost sharing must meet the allowable, allocable, reasonable and necessary Federal cost principles (2 Code of Federal Regulations Part 220; OMB Circular A-21):

1. **Allowable**: allowable under the applicable cost principles, administrative guidelines, and agency guidelines;
2. **Allocable**: verifiable through documentation and identifiable within the HCC Grants Accounting tracking system; and
3. **Reasonable and Necessary**: for the completion of a project.

Supplanting or “double-dipping” by using funds awarded from one grant project toward the cost-sharing commitment of another is not allowed. Funds cannot be charged or reported as cost sharing on any other project. In addition, cost-sharing dollars cannot be paid by another federal award, unless specifically authorized and documented in writing by the grantor in advance.

Statement of Procedure

Cost sharing will only be approved and provided when either (1) mandated by the funding agency in the RFP or (2) approved by the President’s Cabinet due to the documented competitive nature of the award (i.e. voluntary committed cost sharing when the funding agency awards 25 competitive points to an applicant who pledges matching funds).

**Voluntary uncommitted cost sharing is not allowable without Cabinet’s prior authorization, as it reflects an unplanned redirection of College resources.**

Before a grant application is developed, the HCC Grants Process requires an Intent to Apply form to be completed by the Principal Investigator (PI) for review and approval by the Cabinet. This review provides a necessary assessment of all project obligations to determine what resources the College will need to commit for successful grant implementation. Cash match amounts are reviewed to ensure that the College can make the monetary commitment if required. In-kind matching is examined to determine the ability to meet compliance within the proposal.
Appendix 5.9: Federally Negotiated Indirect Cost Rate Agreement

COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN: 1591219841A1
ORGANIZATION: Hillsborough Community College
10414 E. Columbus Drive
Tampa, FL 33619

DATE: 03/18/2011
FILING REF.: The preceding agreement was dated 05/18/2008

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

SECTION I: INDIRECT COST RATES

<table>
<thead>
<tr>
<th>RATE TYPE</th>
<th>FROM</th>
<th>TO</th>
<th>RATE (%)</th>
<th>LOCATION</th>
<th>APPLICABLE TO</th>
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<td>PRED.</td>
<td>07/01/2011</td>
<td>06/30/2015</td>
<td>44.00</td>
<td>On-Campus</td>
<td>All Programs</td>
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<td>PRED.</td>
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<td>06/30/2015</td>
<td>20.00</td>
<td>Off-Campus</td>
<td>All Programs</td>
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<tr>
<td>Prov.</td>
<td>07/01/2015</td>
<td>Until</td>
<td></td>
<td>Amended</td>
<td>Use the same rates and conditions as those cited for fiscal year ending June 30, 2015.</td>
</tr>
</tbody>
</table>

MAX
Direct salaries and wages including all fringe benefits.

ORGANIZATION: Hillsborough Community College
AGREEMENT DATE: 03/18/2011

SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:
The fringe benefits are specifically identified to each employee and are charged individually as direct costs. The directly claimed fringe benefits are listed below.

TREATMENT OF PAID ABSENCES
Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

OFF-CAMPUS DEFINITION: For all activities performed in facilities not owned by the institution and to which rent is directly allocated to the project(s) the off-campus rate will apply. Grants or contracts will not be subject to more than one FMA cost law. If more than one or a project is performed off-campus, the off-campus rate will apply to the entire project.

Fringe Benefits include: FICA, Retirement, Health Insurance, Life Insurance, Dental Insurance, and Disability Insurance.

Equipment means an article of nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.
SECTION III: GENERAL

A. LIMITATIONS

The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract, or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only rates incurred by the organization were included in the facilities and administrative cost pools as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The base costs that have been treated as facility and administrative costs are not claimed on direct costs; (3) Similar types of costs have been accounted consistent accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the federal government. In such situations the rate(s) would be subject to renegotiation at the discretion of the federal government.

B. ACCOUNTED CHANGES

This Agreement is based on the accounting system purported by the organization to be in effect during the agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from facilities and administrative to direct. Failure to obtain approval may result in cost disallowances.

C. FIXED RATES

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the differences between the costs used to establish the fixed rate and actual costs.

D. USE BY OTHER FEDERAL AGENCIES

The rates in this Agreement were approved in accordance with the authority in Office of Management and Budget Circular A-21 Circular, and should be applied to grants, contracts, and other agreements covered by this Circular, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

E. GENERAL

If any Federal contract, grant, or other agreement is reimbursing facilities and administrative costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of facilities and administrative costs allowable to those programs.

By the Institution:

Hillsborough Community College

[Signature]
Barbara A. Larson

(NAME)
V.P. Administration/CFO

(TITLE)

April 4, 2011

(DATE)

On behalf of the Federal Government:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

[Signature]
Darryl M. Haynes

(NAME)
Director, Mid-Atlantic Field Office

(TITLE)

3/18/2011

(DATE)

Office 1272

(ROOM)

KHS REPRESENTATIVE: Andrew Lee

(TITLE)

Telesphone: (202) 401-2808

Page 3 of 3
Appendix 5.10: Indirect Cost Distribution Policy

Operational Procedure of Indirect Cost Recovery and Distribution from Grant Funds
Hillsborough Community College
Approved by Cabinet, 12/6/11

Background
As part of most grant agreements, Hillsborough Community College (HCC) recovers from the award a percentage of the direct expenditures as a reimbursement of overhead. This percentage, referred to as the Indirect Cost Rate, is calculated in accordance with regulatory guidance from the federal Office of Management & Budget (OMB), cognizant agency regulations, and statutory exclusions. HCC's rate is negotiated periodically with the U.S. Department of Health & Human Services as the cognizant agency.

Definitions
Direct costs are costs that can be identified with project activities outlined in the grant. Examples include compensation of project staff, costs of materials, and equipment and supplies used to implement the project. Indirect costs are costs that cannot be specifically and solely identified with the project. Examples include costs of staff in grants accounting, grants development & management, institutional research, the Institutional Review Board, human resources, information technology, facilities and purchasing; utilities; telephone service; and technology & communications infrastructure.

Federal OMB Circular A-21, Cost Principals for Educational Institution, defines the following terms:
Direct Costs: costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Costs incurred for the same purpose in like circumstances must be treated consistently as either direct or F&A costs. Where an institution treats a particular type of cost as a direct cost of sponsored agreements, all costs incurred for the same purpose in like circumstances shall be treated as direct costs of all activities of the institution.

Indirect Costs (also known as Facilities and Administrative (F&A) Costs): costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity.

Operational Procedure
Grants acquired by HCC will be administered in accordance with federal regulations; State of Florida Statutes; HCC policies, rules and procedures; and any requirements by the granting organization or agency.

Indirect Cost Recovery
Grant budgets will include the full amount of allowed indirect cost recovery as described in the grant solicitation or guidelines of the granting organization or agency up to the federally negotiated Indirect Cost Rate of the College.

Indirect Cost Distribution and Allowable Uses
OMB Circular A-21 establishes principles of determining costs applicable to grants with educational institutions and what indirect costs can be reimbursed; however, A-21 does not stipulate how the funds
should be spent. The calculation of the rate for reimbursement is not tied to how the funds may be spent.

In the absence of specific federal and/or state rules for community colleges, HCC adheres to Florida Statute 1004.22 for state universities with respect to the disbursement of indirect costs. Florida Statute 1004.22 (5) states, in part:

Moneys deposited in the permanent sponsored research development fund of a university shall be disbursed in accordance with the terms of the contract, grant, or donation under which they are received. Moneys received for overhead or indirect costs and other moneys not required for the payment of direct costs shall be applied to the cost of operating the division of sponsored research. Any surplus moneys shall be used to support other research or sponsored training programs in any area of the university.

As the indirect costs are received by the College, they will be distributed as follows:

| Applying Campus or Division | 25% |
| District                  | 75% |

- Administration and Finance (accounting, purchasing, facilities) 29%
- Strategic Planning & Analysis (grants office, budget, IR, IRB, IMR) 29%
- Information Technology 9%
- Human Resources 8%

Funds may be carried over from one year to the next. To ensure that funds are expended according to Florida law, examples are provided of allowable and unallowable expenditures.

Allowable Expenses include:
- Support Administrative functions – staff salaries, supplies and other general expenses;
- Improve computing infrastructure - computer hardware, software, etc;
- Contribute, fully or partially, to start-up commitments;
- Accounting – personnel, purchasing, payroll;
- Costs of operating and maintaining buildings and equipment - utilities, repairs, and custodial; and
- Pay for office supplies and peripherals – telephone, mail, printing, duplicating expenses.

Unallowable Expenses include:
- Costs related to instruction (class materials, instructor salaries, teaching assistants);
- Extra Compensation;
- Bonuses;
- Alcohol;
- Flowers;
- Gifts; and
- Food & Beverages.

Upon completion of grant activities, any claims not accepted by the granting agency that affect the indirect cost amount will result in a budget reduction to the campus/division that is equal to the amount idisallowed. This reduction will be processed at the time the grant is closed. If necessary, the reduction will be applied to the succeeding fiscal year budget.
Appendix 5.11: Time & Effort Form and Procedures

Hillsborough Community College

Name: ____________________________
Employee ID#: ____________________________ Month: ____________________________

Monthly Time and Effort Sheet

<table>
<thead>
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Certified by:

Employee Signature: ____________________________ Date: ____________________________

Supervisor's Signature: ____________________________ Date: ____________________________

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**Procedures for Time and Effort**

- All full-time and hourly employees compensated for work performed on a federal grant need to complete a time and effort form indicating the percent of effort devoted to a federally funded project. This includes salary cost sharing.
- Leave and holidays should be indicated on the time and effort form.
- Total effort for an employee must be 100%. The form must be certified by someone who has “first-hand” knowledge of 100 percent of the employee’s time.
- Time and effort reports indicate the allocation of an employee’s actual time and effort spent on specific projects, whether or not reimbursed by the sponsor. The effort report should include all of the activities performed by the employee under the terms of their employment.
- Time and effort should be reported monthly.

Principal Investigators (PI) are responsible for saving time and effort reports for all employees working on their federal grant to the “V” drive. The time and effort reports will be saved to the “V” drive, Time and Effort folder.

Under the Time and Effort folder, each PI will establish another folder using the award name of the grant for the title. Within that folder, the PI will establish individual folders in the name of each person working on the grant. The specific time and effort forms will be entered under each individual’s name.
Appendix 5.12: Grants Letter of Designation

The Grants letter of designation provides documentation of Grants governance at the College in the President’s absence. In addition to assuring funding agencies and auditors of the centralized procedures securely in place for grant operations, this letter of designation demonstrates a mechanism of accountability for expediting the transaction of grant applications and awards.
February 17, 2012

RE: DESIGNATION FOR HCC GRANT PROPOSALS AND AWARDS

To Whom It May Concern:

The District Board of Trustees has, by Administrative Rule, authorized the President, when absent, to appoint a designate who has the authority to submit grant proposals and accept grant awards on behalf of Hillsborough Community College (HCC). As president, I will appoint a designate in the event I am away from the workplace and unable to sign on behalf of the College. The designate will have the full authority to submit grant proposals and accept awards on behalf of HCC.

Please contact Julie Redcay, Grants Manager, at 813.253.7005 or jredcay@hccfl.edu if you have any questions. Thank you.

Sincerely,

[Signature]

Dr. Ken Atwater
President

cc: Dr. Paul Nagy
Julie Redcay
Appendix 5.13: Frequently Asked Questions

I have an idea. What do I do with it?
Consult with the Grants Manager, who will meet with you to discuss your idea.

How do I know if my project idea will be supported?
Talk to your college administrator, but first make sure your proposal supports one or more of the College grant priorities or strategic goals.

Where do I find money to fund this project idea?
Search through the Potential Funding Sources links. Contact the Grants Manager for assistance with researching appropriate funding sources for a specific project idea.

Can I complete a grant application on my own?
HCC requires that all applications are processed through the Grants Office to ensure cooperation, rather than competition, between campuses and centers for grant dollars, as well as to make sure the Grants Office and Grants Accounting Department is aware of the submission.

How soon will I find out if a proposal will be funded?
The length of time between submission and notification varies. Some agencies take six months or longer to decide which applications will be funded.

Does the Grants Office handle the project’s budget if the grant is awarded?
The project’s budget and reports are handled by the PI and the Grants Accounting Department, which is separate from the Grants Office. The Foundation, Grants Office and Grants Accounting Office are all separate departments within the College, but all work closely to assure successful grants management and compliance.

Do I have to follow the request process for continuing or renewal grants?
Yes. Continuing or renewing a grant is viewed as an opportunity to reassess each request to ensure it aligns with college priorities for grant making. However, continuing grants do not require additional approval by Cabinet unless there is substantive change from the prior award.

How do I know if I have enough time to respond to the grant deadline?
At the very least, there must be adequate time to write, compile, get authorization for, and submit the final proposal to the Grants five days before the submission deadline. Please contact the Grants Manager for additional details.

How do I write a grant?
Developing a grant is similar to writing a research paper. Know the guidelines, know your audience, collect information, think about the topic, write, and rewrite. Go to the Grant Writing Resources webpage for specific suggestions.

How do I administer and monitor a grant if it’s awarded?
As a PI you will perform many tasks to coordinate team activities, ensure compliance with regulations, plan expenditures, and complete all reporting.
Appendix 5.14: Commonly Used Acronyms

CDBG - Community Development Block Grant
CFDA - Catalog of Federal Domestic Assistance
CFR - Code of Federal Regulations
CRA - Community Reinvestment Act
DOE - Department of Education
DUNS - Data Universal Numbering System
EIN - Employee (or Employer) Identification Number
EPA - Environmental Protection Agency
FBO - Faith-based organization
GAAP - Generally accepted accounting principles
GAAS - Generally accepted auditing standards
GAO - Government Accountability Office (formerly the General Accounting Office)
GM - Grants Manager
HHS - Department of Health and Human Services
LEA - Local Education Agency
LOI - Letter of inquiry
MOA - Memorandum of agreement
MOU - Memorandum of understanding
MSA - Metropolitan Statistical Area
NIH - National Institute of Health
NOFA - Notice of Funding Availability
NSF - National Science Foundation
OMB - Office of Management and Budget
OIG - Office of Inspector General
PD - Project Director
PI - Principal Investigator
RFA - Request for Application
RFP - Request for Proposals
RFQ - Request for Qualifications
ROI - Return on Investment
SBA - Small Business Administration
SA - Special Assistant to the President
SAM - System for Award Management
T&E - Time and Effort
Appendix 5.15: Contact Information

**Grants Manager, Julie Redcay**
Grants Office  
GWS District Administrative Center, Room 411  
Phone: 813-253-7005  
Email: jredcay@hccfl.edu

**Institutional Research Officer, Newton Beardsley**
Institutional Research  
GWS District Administrative Center, Room 419  
Phone: 813-253-7157  
Email: nbeardsley@hccfl.edu

**Director of Financial Services, Ann Denton**
Grants Accounting  
GWS District Administrative Center, Room 613  
Phone: 813-253-7093  
Email: adenton3@hccfl.edu

**Financial Services Manager, Jana Irvine**
Grants Accounting  
GWS District Administrative Center, Room 509  
Phone: 813-253-7113  
Email: jirvine@hccfl.edu

**Senior Accountant, Kimberly Materazzo**
Grants Accounting  
GWS District Administrative Center, Room 519  
Phone: 813-253-6503  
Email: kmaterazzo@hccfl.edu

**Senior Accountant, Kathryn Mammenga**
Grants Accounting  
GWS District Administrative Center, Room 509A  
Phone: 813-259-6008  
Email: kmammenga@hccfl.edu

**Director of Institutional Research/Chair of IRB, Liza Steinhardt Stewart**
Institutional Research  
GWS District Administrative Center, Room 415  
Phone: 813-253-7080  
Email: estewart7@hccfl.edu

**Executive Director of the Foundation, Farrukh Quraishi**
HCC Foundation  
GWS District Administrative Center, Room 719  
Phone: 813-253-7014  
Email: fquraishi@hccfl.edu
Director of Development, Donna Wolski
HCC Foundation
GWS District Administrative Center, Room 712
Phone: 813-253-7671
Email: dwolski@hccfl.edu