

HOW “GRANT” THOU ART?



Grant Administration Process

GRANTS ADMINISTRATION PROCESS

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GRANT ADMINISTRATION PROCESS

TEAM MEMBERS

Pat Smith—Team Champion
Senior Accountant

Mark Karamol— Team Leader
Director – e-Learning

Barb Rardin—Team Scribe
Specialist - Human Resources Information

Heidi Altomare—Team Member
Coordinator – Grants Program

Jody Angelone—Team Member
Director – NW ABLE Resource Center

Marsha Kujawa— Team Member
Coordinator - EnterpriseOhio Network Marketing Resource Center

Kelly Schulte— Team Member
Account Representative

GRANT ADMINISTRATION PROCESS

PROJECT STATEMENT

To establish a College-wide Grants Process that will identify pre-application, authorization and post administration procedures. Success will be measured by the number of grants that follow the developed process and an increased awareness of the roles, responsibilities and benefits of grant participation.

OWENS COMMUNITY COLLEGE MISSION STATEMENT

We believe in serving our students and our communities. *Your success is our mission.*

GRANT ADMINISTRATION PROCESS

BACKGROUND INFORMATION

Owens Community College has been successful in obtaining and receiving grants currently and in the past. In the last four years, the grant activity at Owens Community College has increased significantly. The Grants Office has taken on more responsibility to research, facilitate, manage, and implement various grant activities. Since FY 2004, the Grants Office has successfully obtained nearly \$6.0 million in grant awards, this reflects a significant increase from FY 2003.

<u>Grants Office Activity</u>	
Fiscal Year	Awarded Grants
2002	\$601,296
2003	\$234,851
2004	\$1,322,954
2005	\$1,080,211
2006	\$1,188,938
2007	\$2,400,913

In addition to planning and writing proposals, the Grants Office manages over \$1.2 million in grant awards per year. The Grants Office has also taken on the responsibility to serve as the budget authority and fiscal monitor as well as to draft and submit all necessary fiscal and performance reports for awarded projects processed through the Grants Office. In FY 2005, the Grants Office developed a matrix of the grants process including the development of a research report, post award report and decision-making matrix. However, the majority of the faculty and staff are not aware of this developed process as well as the availability and benefits of grant programs.

GRANT ADMINISTRATION PROCESS

DEFINITIONS

Grants— A donation of funds for a specific purpose. Grants are provided by the government or other non-profit organizations to encourage development or growth in a particular area. A grant is a contribution of assets (usually by cash) by one government entity (or other organization) to another. Most often, these contributions are made to local governments from the state and federal governments.

Contracts — A written agreement between two or more parties. Contracts are entered into by commercial (profit-making), organizations, agencies, and recipients or sub-recipients. With the exception of a few justified sole-source situations, contracts are awarded via competitive processes to procure a good or service.

Grant Contract— A written agreement between two or more parties. Grant contracts are entered into by the awarded agency, recipients or sub-recipients, and non-profit organizations.

Project Director—The person who is responsible for the planning and execution of any project. A Project Director's duty is to ensure the success of the project. He/she performs duties under general supervision. He/she is responsible for all aspects of a project or for the life of the project. He/she leads and directs cross-functional teams to deliver projects within the constraints of schedule, budget and scope. The Project Director demonstrates sufficient knowledge and experience to appropriately apply a methodology to projects that have reasonably well-defined requirements and deliverables.

GRANT ADMINISTRATION PROCESS

DEFINITIONS

Senior Accountant – Also referred to as the Grants Accountant. This position is responsible for providing fiscal support on grants and various contracts as well as providing support to the Owens Community College Foundation.

Coordinator, Grant Programs – Also referred to as the Grants Coordinator. This position is responsible for all grant activity. The Coordinator provides assistance with the research, drafting and submission of grants as well as post award activities, including implementation and administration.

GRANTS ADMINISTRATION PROCESS

DEFINING THE CURRENT PROCESS

Procedures for the Grants Office vary depending on when the Grants Coordinator is brought into the process. If a faculty or staff member contacts the Grants Office with a project idea but no funding source, the Grants Coordinator will conduct research to find a compatible funding source. The Grants Coordinator will also ask the faculty or staff member to look at a New Venture Business Plan Template. This template provides information and insight on various elements needed to successfully launch a new project or program. The faculty or staff member may work on this template on her/his own or with the assistance of the Grants Coordinator.

Once a grant source has been identified, a Decision Making Matrix will be filled out by either the Grants Coordinator and/or the faculty/staff member. Once the grant has been authorized by the Dean or Vice President, the Grants Coordinator works with the employee to design, draft and submit the proposal. The main content areas are provided by the faculty or staff member, with specific requirements provided by the Grants Coordinator.

When a grant is awarded, the Grants Coordinator is setup as the Budget Authority. The Grants Coordinator works with the employee to submit a budget to the Business Affairs Office. Appropriate parties are also notified of the grant awards, including the Grants Accountant, Public Relations Office and the Provost's Office.

The Grants Office communicates with the Project Director on an ongoing basis throughout the life of the grant to ensure timely reporting and program compliance. The Grants Coordinator works closely with the Grants Accountant for expenditure monitoring and reporting.

GRANT ADMINISTRATION PROCESS

DEFINING THE CURRENT PROCESS

Though the Grants Office has had some successes, several challenges remain. These challenges include the following:

- There is not enough time to conduct adequate research on project ideas.
- Numerous Grants are not processed through the Grants Office; which has resulted in inconsistent implementation of processes and inappropriate commitment of College resources.
- There is not enough lead time with grant deadlines to go through all the developed procedures for grant submission and post award reporting.
- Although the Grants Office has developed an internal process, it has not been institutionalized.
- There is a lack of personnel to implement grant funded programs. This is especially true when grant funding is for a new initiative. Although the Grant Office manages grants from an administrative standpoint, there often lacks personnel to fully implement projects from a programmatic perspective. There is a growing concern that Owens will not be able to meet grant required performance measures, which would greatly handicap efforts to obtain future awards.
- There is disconnect between departments/campuses (each campus/department has its own way of administering the grant).
- There is no established training for Project Directors.
- The Grants Coordinator is often not brought into the process until after a grant is awarded.

GRANT ADMINISTRATION PROCESS

DEFINING THE CURRENT PROCESS

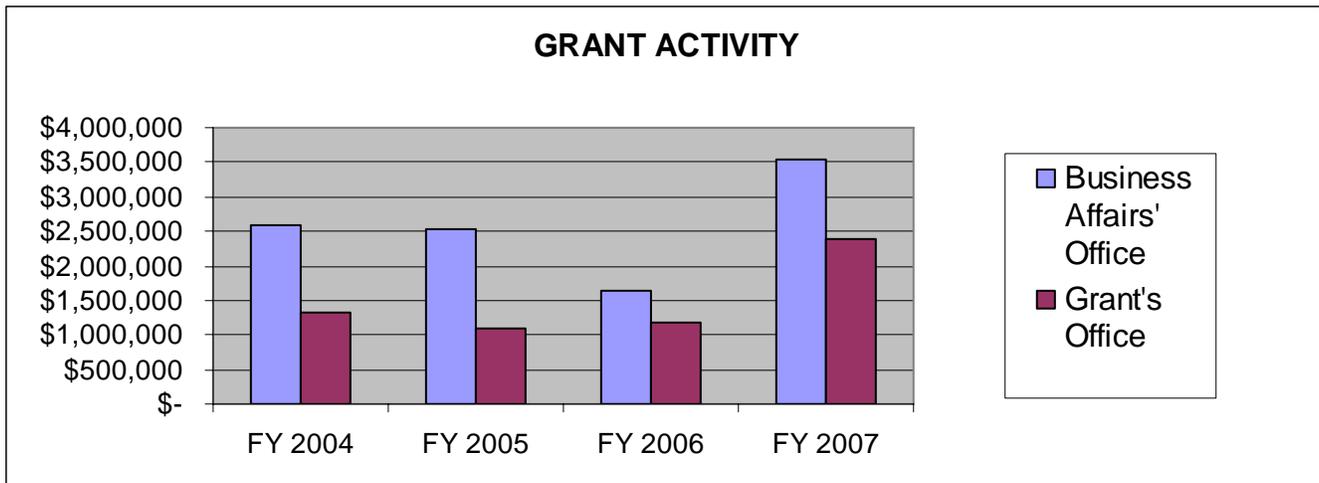
- Turnover in Grant related project personnel have led to a lack of consistency in implementation and outcomes.
- The Grants Accountant does not have the authority to input or make changes to grant budgets, which can cause delays in getting invoices paid and insuring that internal grant budgets align with budgets to the funding agency.

GRANT ADMINISTRATION PROCESS

ANALYSIS OF THE CURRENT SITUATION

Comparison of Grant Activity

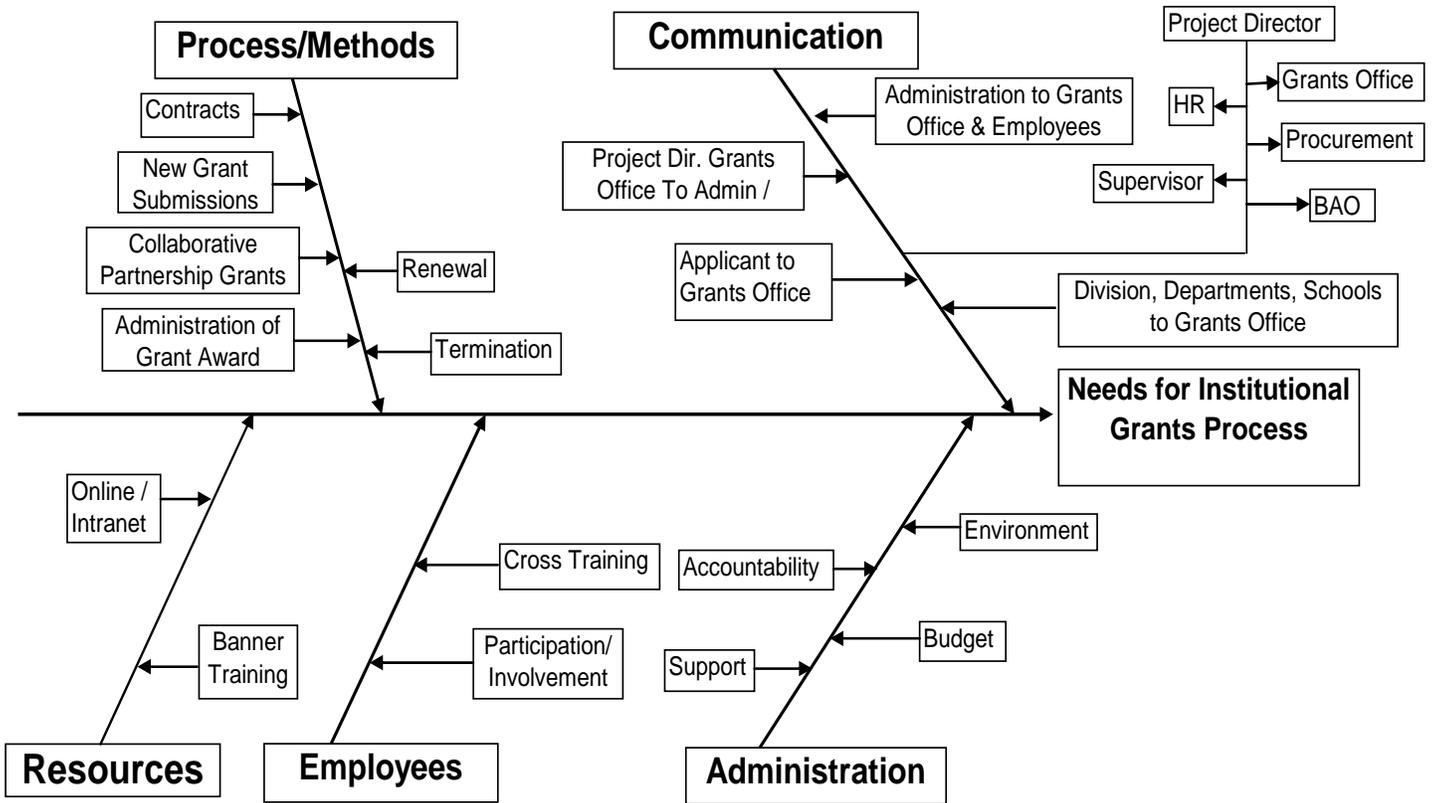
	FY 2004	FY 2005	FY 2006	FY 2007
Business Affairs' Office	\$2,610,739	\$2,533,311	\$1,625,674	\$3,549,983
Grant's Office	\$1,322,954	\$1,080,211	\$1,188,938	\$2,400,913



Our analysis of the current data confirms that numerous grants are not processed through the Grants Office; this can result in inconsistent implementation processes and inappropriate commitment of College resources, such as operating dollars, facilities and personnel. The gap between the Business Affairs Office and the Grants Office demonstrates that there is a lack of communication with various departments who are submitting grant projects. The only system in place for alerting the Grants Office when other grant projects are submitted is the report provided by the Senior Accountant (Grants Accountant) in the Business Affairs Office. The Grants Coordinator sometimes is not brought into the processes until after a grant is awarded. In such a case the Grants Coordinator must spend a large amount of time requesting materials and reviewing the project.

GRANT ADMINISTRATION PROCESS

CAUSE FOR CURRENT OUTCOMES



The Grants Process Management Team identified **communication** as a vital element in successful grant implementation. The team's analysis, based on interviews with the College Grants Coordinator, College Senior Accountant and Project Directors from several past grant projects has shown that there is a need for expanded communication and information dispersion involving various personnel throughout the grants process.

GRANT ADMINISTRATION PROCESS

CAUSE FOR CURRENT OUTCOMES

Project Director - The grant applicant, who in most cases will become the Project Director, must initiate several essential stages of communication. The Grants Team identified the following channels of communication for the applicant or Project Director:

- Project Director / Applicant to Supervisor
- Project Director / Applicant or Supervisor to Grants Office
- Project Director / Applicant to Human Resources
- Project Director / Applicant to Procurement
- Project Director / Applicant to Business Affairs Office
- Project Director / Applicant to Administration / President's Council

Administrators - Occasionally members of the College administration pursue grant opportunities or wish to commit the College to a grant project. It is important in these situations that the administrators communicate this intent to the Grants Office and to departments and employees who would be effected by or involved in the grant prior to application.

Divisions, Departments or Schools - If a Division, department or School representatives pursue grants projects within their own respective areas, they should notify the Grants Office of their intent and follow the proposed internal pre-application grants procedure.

GRANT ADMINISTRATION PROCESS

IMPROVEMENT THEORY & IMPLEMENTATION PLAN

The following improvement and implementation plan includes the following recommendations:

1. **Development of an institutional Pre-Application Grant Procedure**
2. **Development of an institutional Post-Award Procedure**
3. **Creation of a Grant Toolkit**
4. **Training for Project Directors**
5. **Personnel Realignment**

1. Pre-application Grants Procedure - One of the team's improvement recommendations is to create an internal pre-application and authorization grants procedure. The goal of the procedure is not to complicate the grants process or add more steps in pursuing a grant, but to make all potentially affected parties aware that the employee wants to pursue an opportunity that may require demands on the employee's time, financial matching of grant funds by the institution, and allocation of additional human and College resources (see *Proposed Internal Pre-Application Grant Request Procedure* p. 15).

Anyone interested in pursuing a grant opportunity will fill out a **Grant Concept Report** that will be available on the College's Intranet. The applicant would print, sign and send the Report to their supervisor along with a summary of the proposed grant project. If the supervisor approves, they would send it to the Grants Office which would share the proposal concept with the Provost or appropriate Vice President. The Grant Concept Report will be approved via signature and then sent back to the employee. If approved, the employee and the Grants Coordinator can begin the grant writing process (see *Proposed Grant Concept Report* p. 16).

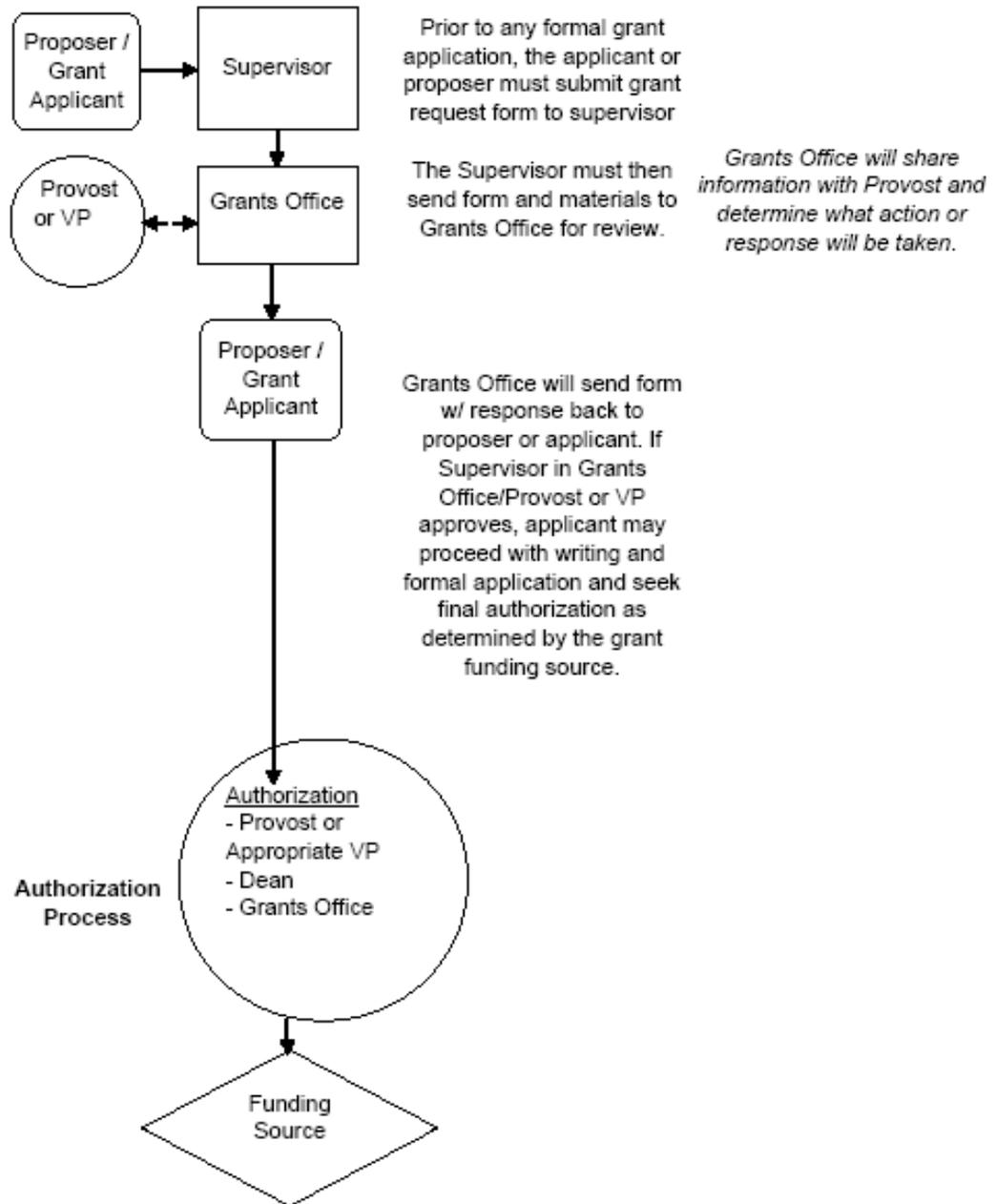
GRANT ADMINISTRATION PROCESS

IMPROVEMENT THEORY & IMPLEMENTATION PLAN

Once the employee writes the official grant and it is reviewed by the Grants Office, a Grants Office Proposal Transmittal Form will be completed and approved. Copies of the approved Form will be sent to the Grants Accountant and the Grants Coordinator (*see Proposed Grants Office Proposal Transmittal Form p. 17*).

GRANT ADMINISTRATION PROCESS

Internal Pre-application Grant Request Procedure (Proposed) Flow Chart



GRANT ADMINISTRATION PROCESS

Grant Concept Report - Draft

Prepared by:

Preliminary Information

Grant Source Identified

Grant Source Needs to be Researched

Name of Grant Prospect:

Program Title:

Type of Grant:

Field of Interest:

Number of Awards:

Amount of Competition

Average Award:

Deadline:

Project Period:

Necessary Resources:

Limitations/Restrictions:

Proposal Description

Owens Community College Project Concept

Project Director:

Proposed Collaborations:

Project Description:

Signature Approval:

Project Director: _____

Dean or Supervisor _____

Vice President: _____

Copies sent to: Director of IR Provost

GRANT ADMINISTRATION PROCESS

Grants Office Proposal Transmittal Form - Draft

Name of Grant Source: _____
Project Title: _____
Project Director: _____
Project Timeline: _____ Start Date _____ End Date
Proposal Due Date: _____

Budget Information

- Personnel \$ _____
 Position Name(s) _____
 Fringe Benefits _____
- Material and Supplies \$ _____
- Purchased Services \$ _____
- Capital \$ _____
- Indirect/Administrative Costs _____

College Resources Required

- Hiring New Employees
 Position Name(s) _____
 Temporary for the Grant Term Permanent (Institutionally Funded)
 Full-Time Part-time
- Release Time of Existing Faculty/Staff
 Amount of Release Time Required _____
 Name of Faculty/Staff to be Released _____
- IT Resource Required
 Estimated Cost _____
- Facilities
 Area to be effected _____
- Institutional Match
 Cash In-Kind
 Amount _____
- On-going expenses at the end of the grant award
 Estimated Amount _____

Approvals

- Dean/Chair _____
 Vice President _____
 Provost _____
 President _____

Project Description (please provide a brief summary)

**Attachments: Proposal abstract and budget
Copies sent to the Grants Office, and Grants Accountant**

GRANT ADMINISTRATION PROCESS

IMPROVEMENT THEORY & IMPLEMENTATION PLAN

2. Post Award Procedures – After a grant has been submitted and awarded, a post-award report will be sent to various offices throughout the College including the President's, Business Affairs, Public Relations, and the appropriate department or school (*see Post Award Report Form p. 19*). A post award meeting will be scheduled with the Project Director and all applicable parties, which may include the Grants Coordinator, Grants Accountant, Human Resources Representative, and the Dean or Vice President. The meeting agenda may include such topics as reporting, invoicing/cash draw downs, documentation (if Project Director leaves), duration, timelines, training needs, possible audit by agency or government, closure and renewal of grant, reports and other documentation required by the funding agency.

A Post-Award Checklist will be utilized to ensure that all the necessary policies and procedures are followed (*see Post-Award Checklist p. 20*). The Grants Coordinator will be designated as the budget authority and the Grants Accountant will create a budget index. A budget will be completed by the Grants Coordinator and reviewed by the Grants Accountant. If personnel are to be hired or payment of existing personnel needs to be arranged, the Project Director and the Grants Coordinator will work with the Human Resources Department to develop a job description, start the search process or complete an employment recommendation form. The Grants Coordinator will work with the Project Director and the Grants Accountant to insure the timely submission of all required performance and financial reports.

GRANT ADMINISTRATION PROCESS

Grant Post-Award Report - Draft

Prepared by: Heidi Altomare, Coordinator Grants Programs

Preliminary Information

Name of Grant:
Program Title:
Project Director:
Type of Grant:
Amount of Award:
Timeline for Award:
Project Period:
Personnel to be hired:

Necessary Resources:
Report Deadlines:
Attachments:
Other Information:

Project Description

Grants Office Use Only

Copies Send To: Date:

<input type="checkbox"/> Director of Institutional Research	<input type="checkbox"/> Project Director	<input type="checkbox"/> Executive Director, OCC Foundation
<input type="checkbox"/> Business Affairs Office	<input type="checkbox"/> Dean/Department Chair	<input type="checkbox"/> Human Resources
<input type="checkbox"/> Public Relations	<input type="checkbox"/> Provost	

Additional Comments:

GRANT ADMINISTRATION PROCESS

Grants Office Post Award Checklist - Draft

Name of Grant Source: _____
Project Title: _____
Project Director: _____
Project Timeline: _____ Start Date _____ End Date
Proposal Due Date: _____

Project Description (please provide a brief summary)

- Post Award Report Submitted to:
 - Project Director
 - Human Resources
 - Business Affairs Office
 - Vice President _____
 - Dean _____
 - Public Relations
 - Director of IR
 - Provost
- Copy of Full Proposal Submitted to:
 - Project Director
 - Dean _____
- Copy of Award Letter Submitted to:
 - Business Affairs Office (Grants Accountant)
 - Project Director
 - Dean
 - Vice President
- Grant Contract Reviewed and Submitted for Signature to President or Provost
- Budget Authority Status Requested by Grants Coordinator to Controller and/or Procurement
- Grant Budget Banner Request Form Submitted to Business Affairs Office
- Grant Index Created by Grants Accountant
- Position Description Created (New Employees Only)
- Position Posted on People Admin
- Employee Requisitions Completed by Project Director and submitted to HR
- Employee Requisitions Approved by the Budget Authority
- Employee Requisitions Approved by HR

Attachments: Proposal abstract and budget

GRANT ADMINISTRATION PROCESS

IMPROVEMENT THEORY & IMPLEMENTATION PLAN

3. Grant Toolkit – It is this committee’s recommendation that standard grant resources be made available for faculty and staff. The creation of a toolkit that is accessible via the Intranet will include various aspects of grants, such as policies, procedures, and resources. Various forms will also be available with the option of completing them electronically. Topics in the toolkit will include the following:

- Getting Started
- Institutional Grant Procedures and Required Forms
- How the Grants Office can help you with your project
- Grant Writing Tutorial
- Possible Funding Sources
- Are you ready to be a Project Director?
- Your grant has been awarded, now what?
- Steps to effectively implement your project
 - Hiring Procedures for Grant Personnel
 - Putting together your budget
 - Procurement
 - Evaluation and Reporting
 - Renewal and Closing of the Project

4. Training for Project Directors – The team has identified the need for additional training for Project Directors. This training will include such topics as basic Banner navigation, Human

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IMPROVEMENT THEORY & IMPLEMENTATION PLAN

Resources procedures, procurement policies, budget management, meeting performance measures, and the role of a Project Director. This training will be coordinated by the Grants Coordinator and will be available both in a handbook and electronically for future reference. The Grant Coordinator will work with the Project Director on specific information that pertains to their project.

5. Personnel Realignment – It is the team’s recommendation that a full-time institutionally funded Grants Specialist Position be created that can monitor funded projects, research potential funding sources, build relationships and ensure performance compliance. In addition, the team is recommending expanding the Grant Coordinator position to Grants Manager. The Grants Specialist position would report to the Grants Manager. This direct line of supervision would allow for a seamless transition from grant submission to funded projects to successful program implementation. In addition, this new structure will enable the Grants Manager to provide more assistance with grant facilitation and administration, leading to an increase of grants submitted for funding consideration, as people begin to realize that support is available for managing/implementing grants and new programs.

Currently, the Grants Accountant does not have access to change or modify grant budgets. This creates a lag-time when budget changes or transfers are required in order to meet stated project goals and performance measures. Project Directors and the Grants Coordinator must go through a process of submitting the budget changes to the Budget Analyst, and then communicate those changes to the Grants Accountant, who then modifies all financial reports pertaining to the grant.

GRANT ADMINISTRATION PROCESS

IMPROVEMENT THEORY & IMPLEMENTATION PLAN

Providing grant budget access to the Grants Accountant would streamline this process for budget revisions and improve the overall communication of information regarding grant expenditures.

Cost of Improvement – There will be no cost associated with the development of a Pre-Application Process or Post-Award Procedures. The Grants Coordinator, with assistance from various parties on campus, will move forward with the creation and implementation. It is not anticipated that there will be any significant cost to create a Grant Toolkit. The Team is recommending that an additional Process Management Team be formed in the fall of 2007 for the purpose of developing the toolkit and submitting it to Information Technologies for posting on the Intranet. Training for the Project Directors will be ongoing and conducted by either the Grants Coordinator or the Grants Specialist. Training sessions may be done in groups or on a one-on-one basis. There is a cost associated with institutionalizing a Grant Specialist position (an estimated \$50,000 for salary and benefits). However, providing personnel dedicated to the development and implementation of grants will result in the attainment of additional awards which should more than cover the cost of the position.

Cost Savings – The Project Director and/or grant personnel salaries are charged to grant budgets when appropriate. This has generated additional dollars for the College that could go towards the salary expenses for new or enhanced positions within the Grants Office. Historically, the College has collected very little indirect costs for grants. Since the reorganization of the Institutional Research Planning & Grants Department, Owens now requests 8% - 10% indirect costs on all applicable grants. In FY 2006, the College requested \$71,548 for indirect and/or administrative

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IMPROVEMENT THEORY & IMPLEMENTATION PLAN

costs from awarded grants. The Grants Office will continue to request any and all indirect charges related to grants when available.

Time Savings - Institutionalizing a streamlined grants process and creating an accessible toolkit will ultimately lead to increased participation in the grants process and additional projects submitted for funding consideration. Since the Grants Office has taken on more responsibility for Grants Administration, there is little time to conduct research on possible funding opportunities and assist faculty and staff with generating project ideas. Additional grants personnel will allow for more time to conduct research and assistance with proposal development.

GRANT ADMINISTRATION PROCESS

IMPROVEMENT THEORY & IMPLEMENTATION PLAN

Activity	Who is Responsible?	July 2007	Aug 2007	Sep 2007	Oct 2007	Nov 2007	Dec 2007	Jan 2008
Analyze Current Grant Process	Team							
Issue Banner budget access to Senior Accountant, Finance (Grants Accountant) for all College Grants.	Accounting							
Create a Pre-Application Grant Process	Team							
Create Post-Award Grant Procedures	Team With Guidance from Dr. Unger & Dr. Busby							
Create an additional process management team in Fall 2007 to develop the Grant Toolkit that will be submitted to Information Technologies for placement on the Intranet.	Team & Information Technologies							
Work with Human Resources/Accounting/Grant Office to assist with Project Director Training	Team With Assistance From Human Resources/Accounting/Grant Office							
Create institutionalized Grant Specialist Position	Human Resources							
Expand Coordinator, Grant Programs Position to Manager, Grant Programs	Human Resources							

GRANT ADMINISTRATION PROCESS

IMPROVEMENT THEORY & IMPLEMENTATION PLAN

AQIP Criteria that Apply to the Grants Project

AQIP Criteria	Project Relationship
Supporting Institutional Operations	In fiscal year 2007, the Business Affairs Office recorded over \$3.5 million allocated to grant projects, which in general, support institutional operations.
Planning Continuous Improvement	The overriding nature of grant projects is to foster an innovation or support an approach that will improve the College. Improving the grants process will have a positive impact on the College's continuous improvement.
Measuring Effectiveness	The recommended post award grants process will help to formalize and integrate evaluative measures in all grants projects. This in turn, will help the College to measure its effectiveness.

Tie in to Core Values - Institutionalizing a Grants Process will tie into the College's Core Values by providing **Innovative** grant programs that **Serve** our students, faculty, staff and the community. In addition, a college-wide procedure will foster a **Collaborative** culture not only with faculty and staff but also outside educational partners. A seamless process will enable the College to meet performance outcomes within grant funded projects setting a standard of **Excellence** for future awards.

GRANT ADMINISTRATION PROCESS

STUDY OF RESULTS

A comparison chart will be completed each year that will compare grant activity that has been conducted through the Grants Office and awards submitted to the Business Affairs Office. The Team Leader will update results to the Steering Committee each year. A final report of results will also be completed and presented to the Committee. Communication between this current process management team and the fall 2007 team will be ongoing in order to ensure project completion. Feedback from Project Directors will also be collected and shared with the Steering Committee and future teams.

GRANT ADMINISTRATION PROCESS

SYSTEM IMPROVEMENTS

The team recommends that additional teams be formed to implement various portions of the institutional grant process. Team projects may include:

- Developing the Grant Toolkit on the Intranet
- Creation of a Project Directors Handbook and Training Module
- Investigation of the Banner module for Grants, including electronic submission

Results will be monitored through feedback from the Project Directors, Grants Accountant, Procurement and Human Resources. The process will be modified and updated as needed.

GRANT ADMINISTRATION PROCESS

STEERING COMMITTEE FEEDBACK

Team Name: Grant Administration Process

Date: Summer 2007

Sponsor: Patricia Smith

Idea for Improvement

Support

1. Adopt and implement an institutional pre-grant application process.
2. Adopt and implement an institutional post-award grant procedure.
3. Create an additional process management team in Fall 2007 to develop the Grant Toolkit that will be placed on the intranet for all grant applicants and Project Directors.
4. Provide training opportunities for those interested in pursuing grants.
5. Issue Banner budget access to Senior Accountant, Finance (Grants Accountant) for all College grants.
6. Support a FY 2009 request that will fund the Grant Specialist Position through institutional dollars versus grant funding.
7. Support a conversion of the Coordinator, Grant Programs position to Manager, Grant Programs. The Grants Specialist will report to the Manager, Grants Program.

Team Feedback Meeting - Date:

Sponsor: Patricia Smith

Leader: Mark Karamol