Office of Resource Development

Guide to
Grant Development
and
Post-Award
Grant Management

Revised Summer 2019
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Grant Development

Grant funded projects are an important way for Middlesex Community College to improve its programs and services and keep pace with emerging trends in higher education. The involvement of the faculty and staff in developing grants ensures that new grant projects respond to the changing needs of students as well as reflect best practices at MCC. As you consider pursuing a grant keep in mind that the main objective for any grant funded project should be advancing the College’s mission and strategic goals, therefore, new projects should be compatible with the strategic priorities of your area. In addition to the guidance of the College’s strategic plan, the Resource Development staff meet regularly with deans and directors from across the College to get updated information on the priorities of the various areas. This information allows us to anticipate funding needs and match grant opportunities with people in the College who are prepared to act on new opportunities.

The policies and procedures outlined in this guide are intended to assist you in navigating the grants process at Middlesex Community College. Hopefully this manual will facilitate communication among all of us involved in the grant process and provide a clear picture of the steps involved - from concept to implementation – for grant funded projects.

- Grants Planning and Approval Processes

If you would like to pursue an idea for grant funding or are aware of a funding opportunity, the Resource Development Office is available to discuss these possibilities with you. The Resource Development Office (ORD) also conducts regular planning interviews with deans and other college staff to gather information on priorities that could be funded through grants. The information from these planning interviews enable the Resource Development staff to create outlines of needs and priorities for the various areas of the College and to link new funding opportunities to the ideas expressed through these interviews.

The vice president/executive director who is responsible for the area in which a project will reside must agree that the concept behind a proposal is a good one and fits with the priorities of that area. A written record of the executive staff’s approval shows that s/he is aware of the implications of a new project. In many cases grant projects require additional time and energy from college staff while office
and classroom space as well as technology infrastructure may also be needed. Written approval further indicates that the vice president involved will take responsibility for those aspects under her/his control as well as will make other executive staff aware of project requirements moving forward.

The Resource Development Office recommends that a concept paper be prepared when a number of areas in the college will need to know about or support a new project. The concept paper can facilitate communication among the different parties. A concept paper can also be used to start the grants process by outlining the elements of a potential project and then requesting a search for funding sources by Resource Development. In these cases the concept paper should be shared with the appropriate vice president for acknowledgement/approval before requesting the assistance of the ORD. A concept paper can be brief but should cover the essential considerations of a grant proposal.

In cases where a project is institutional in scope, the ORD will prepare a concept paper for discussion purposes and the President’s Cabinet will consider the appropriateness of the application. The President and Cabinet can then decide upon the best area of the College to be responsible and involved in the development and implementation of the project.

**No grant application can be submitted to a funder without written acknowledgement/approval from an executive staff member of the College.**

- **Finding External Funding Sources**

The Resource Development Office works to make MCC faculty and staff aware of grant opportunities to fund projects that reflect the mission and goals of the College by disseminating information about funding opportunities to potentially interested members of the College community. Additionally Resource Development has online access to various databases as well as grantmaker directories and will gladly provide this type of research, or support for this type of research, once a concept has been articulated through the planning interview process or a concept paper. The information includes Requests for Proposals (RFPs) as well as general research on funding sources and guidelines. Often the professional contacts of faculty and staff lead to information about particular funding opportunities and the ORD is able support these applications by assisting in numerous ways.

As a public entity, much of MCC’s grant funding is from government (local, state, and federal) sources. Corporate and private foundation grants are sought when these are appropriate, usually to support a very specific programmatic area. The ORD and MCC’s Office of Institutional Advancement may work
together to coordinate requests to corporations or private foundations. It is important that college staff do not approach these sources without first discussing it with staff in one of these offices.

Proposal Preparation

- **Components of a Grant Application**

All grant proposals will require some basic elements that you should be prepared to address. These include:

- *a description of the applicant organization*, that includes relevant strengths and background;
- *a strong needs statement*, with concrete data that creates a context for your request;
- *a project description*, that responds directly to the need you have outlined and proposes specific solutions to the defined needs;
- *goals/objectives/activities*, that clearly define what is to be achieved and how;
- *a project management or implementation plan*, that provides information on who and how the project will be implemented; and
- *an evaluation plan*, that indicates how you will measure the progress and success of the project using concrete data and/or qualitative indicators.

*Proposal narrative:* In terms of writing, the expertise and enthusiasm of someone who has direct experience in a field can produce a highly persuasive proposal. However, for those who have not written a grant before, the grantwriting process can be daunting and even feel counter-intuitive. Project creators can seek assistance and support from Resource Development in a number of ways. This support can include writing and/or editing, assistance with project planning, feedback on the development of project elements, as well as the organization and presentation of the final proposal.

For those of you who may be new to the process, here are a few points to keep in mind as you set out to write a proposal.

- “*Organizations do not have needs, people do.*” Keep in mind that agencies and foundations seek to reach their primary audience and achieve their goals through the organizations they fund. Funders therefore are looking for organizations and institutions that have the skills and capacity to achieve the outcomes they consider important. Even funding sources that provide for the development of
organizational capacity as a goal, seek to reach and serve a particular audience as their ultimate objective. Your proposal will need to demonstrate that you are focused on meeting the needs of a constituency who the funder wants to serve.

- If a funder provides evaluation criteria in their funding package, look it over carefully. The point values of the different sections can provide important insight into how the funder views program emphasis and where they expect to see more detail and depth.
- Balance the creation of the program design with that of the budget. It is easy to get carried away developing an elaborate program that would be extravagant to implement. Similarly, creating a budget before you have thought through the programming can sabotage the development of a well-constructed project narrative. Individuals usually find a style that works for them, but keep in mind that there is a natural interplay between these two elements.
- Pay careful attention to maintaining consistency between the different parts of a grant; there are definite limitations to the “cut and paste” method of program design. Readers will quickly lose interest in disjointed proposals or huge jumps in logic or intent.

**Project budgets:** Budgets are either prepared in conjunction with the ORD or submitted by the project creator for review. The Resource Development, Budget, and Human Resources offices are more than willing to advise or issues in their area and may be consulted at any point in the development of a grant. The final budget for a grant submission – with the project narrative - should be submitted to Resource Development and must be approved by Budget before the proposal can be forwarded to the president for signature. Budget development should focus on the most effective use of the anticipated resources given the project objectives. Any required matching resources must be confirmed with the dean or vice president responsible for that area before the grant is submitted.

The budget and proposal narrative must be totally consistent. Any costs outlined in the budget should have a logical justification in the narrative. The following considerations can guide you in putting together your budget:

**Are the expenditures allowable by the funder?** Some funders not only limit the types of things they fund, but also the proportion of personnel or equipment that may be paid for by a grant. Many funders look at the cost per participant as an indicator of whether the grant will be used effectively. Having knowledge of how the project budget will be judged is critical to creating a competitive application.
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**Have the personnel and pay rates been approved by MCC’s Human Resource Office?** New positions created for a grant project must be reviewed and approved by the Human Resources Office before the grant is submitted. If this step is not completed before submission, hiring will be delayed and the salary and/or other conditions related to the position cannot be assured. Wage guidelines are in place for all part-time college positions and must be followed (please see the Part-time Wage Guidelines, [https://www.middlesex.mass.edu/humanresources/downloads/ptwage0910.pdf](https://www.middlesex.mass.edu/humanresources/downloads/ptwage0910.pdf)). Although some funding sources have their own guidelines, there should not be large pay inequities between grant-funded programs and other areas of the college. If you should have questions about the appropriate rate for a position, please contact the MCC Human Resources Office.

**Are the fringe benefit and med tax rates applied and calculated correctly?** In Massachusetts, fringe benefit paid through the state rates may vary dramatically from one year to the next. Changes in the annual rate are issued by the state Comptroller’s office each spring. You may check with the Resource Development or Budget & Finance offices to get the correct rate for the current year, and if known, the coming year. Med tax, unemployment tax, and the Universal Health chargeback are combined in one line for part-time employees. For fulltime employees benefits include insurance, retirement, terminal leave, as well as payroll taxes. For multi-year grants, 35-40% seems to be a workable average for taxes and fringe for fulltime positions. Consultants from outside the college should appear under “Contractual Services” in a funder budget and no taxes are withheld. The Budget & Finance Office should confirm whether or not the work arrangement meets the funder and/or state’s criteria for contractual work.

**Has the indirect rate been applied and calculated correctly?** The indirect rate applied to public and private grants allows the College to recoup some of the expenses associated with using general college resources to operate and manage grants. The rate usually varies between 5% and 8% of the total of other grant costs. Certain funding sources do not allow this charge. For example, in situations with state contracts between MCC and other state agencies, indirect charges are sometimes not allowed. In situations where the award or allocation amount is known beforehand, funders expect you to calculate out the allowable indirect costs up front, that is out of the total known amount. Here is the formula for finding the allowable indirect rate of a known or prescribed award amount:

**Example** If the total award was $65,000 and the allowable indirect was 8%,

- divide $65,000 by 1.08 = $60,185.18
- subtract $60,185.18 from $65,000 = $4,814.82, the allowable indirect amount.
Certain federal grants may also allow for the use of a negotiated indirect rate established between the college and the federal government. This rate generally does not allow the college to draw down more than the allowable rate for any grant but does make it possible to apply the balance (minus the allowable rate) as matching funds. Please check with Resource Development and/or Budget & Finance for more information.

**Have you completed a budget narrative/justification to accompany the budget forms?**

The budget narrative must correspond exactly to all of the items that appear on the budget forms. The budget narrative is often the place where you will indicate such things as hourly rates, job functions, and/or other specific details about a budget item.

**Has any match to the budget been secured and documented?** The commitment of institutional resources, including dollar amounts whenever possible, should be indicated in a letter or commitment signed by a vice president or the president of the College. Because match amounts are subject to audit, personnel costs must be tracked using the *Time & Effort* form attached to the Resource Development website.

- Other – memorandums of understanding/agreement, IRB approval, etc.
- Submission Process

For all grants, whether or not Resource Development staff assist in the creation of the actual proposal, a completed draft needs to submitted to the Resource Development and Budget offices as soon as possible before the submission deadline. The staff of these offices will review the final draft for completeness and accuracy relative to information regarding the College, its policies, committed resources, funder requirements, etc. as well as any other presentation of content.

Resource Development takes responsibility for any documents, including letters and cover sheets, which require signatures from the president or other executive managers and is responsible for the transmittal of the finished proposal. When online submission is required, the project creator should prepare a final draft of the narrative and budget and discuss the process for submission with ORD staff. If the project creator handles the electronic submission, a complete and final copy of the electronically submitted proposal, along with confirmation of transmittal, should be forwarded to this office. Files of all pending and funded grant applications are kept by the ORD. Applicants are requested to forward copies of all correspondence with a funder to this office i.e. award/rejection letters, documentation of any
conditions that affect an award, requests for information, etc. This allows Resource Development to maintain complete and accurate information on each funding source and related projects that may be needed in a financial or program audit.
Post-award Grant Management

Federal and state agencies are requiring greater accountability for grants awarded to educational institutions. This post-award guide was designed to address key areas of grants management including:

- Setting up, tracking, and revising the project budget
- Hiring personnel
- Purchasing of equipment and materials
- Record keeping
- Documentation of in-kind matching
- Preparing for an audit

Once you have received notification of a grant award, the initial activities you undertake for the design of the project management are crucial to its success. It is important to recognize that the terms of the grant are the specific regulations and rules which you must follow in the implementation and management of your project. These laws, rules, and regulations are specific to the funding agency, whether it is federal, state, local, corporate, or private.

Getting Started

- Initial Meeting and Establishing a Grant Account

Once written notification of the grant award has been received, the Office of Resource Development (ORD) should schedule a meeting with the project director and representatives from the Budget Office to review the funder approved budget. **This review must be completed before an internal account number is assigned and grant funds can be spent.** The primary purpose is to assure compliance with allowable costs for the funding and to clarify budget and recordkeeping responsibilities. The ORD will provide the project director with a Grant Summary Sheet with the funder approved budget and the Grants Management guide to serve as written resources on grants-related issues.

The Budget Office is responsible for tracking all expenditures charged to grant projects for purposes of accounting and audit. The Budget Office will maintain copies of all expenditures charged to the project budget including those for personnel, equipment, supplies, and travel. Approval of all grant expenditures and documentation of all expenditures and matching (including personnel costs) for the project is the responsibility of the project director. While project staff may assist, the ultimate responsibility rests with the project director to maintain documentation and authorize grant expenditures. Any questions about allowable costs should be referred to the Budget & Finance staff assigned to your grant.

In-Kind costs should be maintained by the project director and documented on the **Time and Effort Form (attached to this guide and available on the Resource Development website.)**
- **Hiring Project Personnel**

Many grant projects include new personnel. If new individuals will be hired for the project, the project director must follow MCC institutional hiring policies and procedures. These processes should be coordinated with Human Resources and include:

- Review of job descriptions that were submitted with the proposal and approved by the funding agency;
- MCC approval by Human Resources, Affirmative Action, and Budget offices; and
- Position is posted or advertised and hiring takes place according to MCC procedures.

If new personnel are required for the grant project, the supervising Dean and/or project director should coordinate the hiring process with MCC’s Human Resources office including advertising the position, screening applications, and offering employment. Fulltime positions require the appointment of a search committee that is representative of the college population. The project director may serve as chair of this search committee; other committee members should include those who understand the duties and responsibilities of the position as well as representatives from departments at MCC that include similar positions. An offer of employment and processing must be coordinated with Human Resources and must clearly indicate that the position is grant-funded.

- **Personnel Changes**

During the life of the grant, it may be necessary to replace grant-funded personnel or to adjust salary rates. Most funding agencies, as part of the terms of the grant, have established procedures for prior approval of personnel changes that must be followed. The ORD must be notified of these changes and will assist the project director in obtaining internal and external approval for all personnel changes. Budget approval must be given by the appropriate college administrators and secured in advance of implementing the changes.

- **Spending Grant Funds**

One of the project director’s major responsibilities is to manage the project budget within the terms of the grant. Careful and realistic construction of the budget when the proposal is developed means that adequate funds should be included to cover project costs and personnel expenses. A staff member from the MCC Budget Office is assigned to work with each project director to oversee and assist with the budget management and reporting.

It is the project director’s responsibility to monitor and authorize all project expenditures and to make certain that all funds are expended, in accordance with the approved budget and the grant project timeline, before the grant expires.

The terms of government grants include a requirement that the college ensure that grant funds are not used to supplant (i.e., replace) funds normally available to the college for its operating expenses. Grant dollars are therefore maintained under a separate account number, and all expenditures are scrutinized individually to make certain that they are part of the approved grant budget. Any budget changes proposed during the period of the grant award must be reviewed by ORD and Budget to ensure that they do not result in a change in the scope of work or an un-allowable cost.
Ideally, to avoid the unnecessary return of unexpended funds, expenditures should be reviewed on a monthly basis, with more comprehensive reviews at the midpoint and three-quarter point of the budget period to ensure that any budget changes are submitted on a timely basis prior to the end of the budget period. Last minute change requests are typically not acted upon favorably by funding officials. To assist the project director, the Budget staff assigned to your grant will schedule periodic reviews to discuss budget plans.

**Budget categories**

Many grant projects include new personnel. If new individuals will be hired for a project, these personnel must be hired using the same hiring policies as those for all other MCC personnel. The salaries and wages of full and part-time faculty and staff to be employed by a grant should be confirmed with the Human Resources department and the project director must ensure that sufficient funds are allocated to cover the expenses needed for these positions. Discrepancies must be addressed prior to proceeding with new hires. The Human Resources office will also advise the project director of whether or not the position is covered by collective bargaining and any changes in job responsibilities or pay rates since the budget was originally developed.

During the life of the grant, it may be necessary to replace grant-funded personnel or to adjust salary rates. Most funding agencies, as part of the terms of the grant, have established procedures for prior approval of personnel changes that must be followed. The ORD must be notified of these changes and will assist the project director in obtaining internal and external approval for all personnel changes. Budget approval must be given by the appropriate college administrators and secured in advance of implementing the changes.

**Fringe benefit and tax rates** reflect the same proportion of wages and salaries budgeted for project personnel, i.e. for a staff who work .5 FTE, the grant pays .5 of that position’s fringe/taxes. The fringe benefit rate for full-time faculty, staff and administrators includes health insurance, pensions and terminal leave salaries while the payroll tax rate on all employees covers Unemployment, Universal Health, and the employer’s share of Medicare insurance. A health and welfare charge is applied annually for each full-time employee; this rate should be confirmed with the Budget Office each year.

Expenditures for equipment, supplies and services are initiated by following the college purchasing guidelines and entering a purchase order or requisition in the accounting system. Expenditures are coded following the State’s required procurement system.

**Travel-related** expense forms are available electronically using the college’s website and all college policies for travel using grant funds must conform to college policies.

Some grant budgets have funds allocated for the purchase of sub-recipient services, contracted services and/or consultants. The most typical situation where sub-recipient services are needed is when grant funds need to be shared with other organizations operating as project partners. Contracts may be needed to purchase services or products from a vendor. Consultants may be needed to serve as evaluators or speakers, or to provide expertise in a particular area.

After the initial meeting to set up the grant account, the project director will work with the Budget Office to draft sub-recipient agreements as needed. These drafts will include specific requirements regarding budget, deliverables, reporting, and recordkeeping. These drafts must be reviewed and by the
Comptroller and/or CFO. Once approved, the Office of Resource Development will submit the agreements to the appropriate parties for signature by an authorized individual. Should negotiation of the agreement be necessary, the ORD will handle this process, consulting with the Comptroller and/or CFO to confirm the resolution is consistent with college policy. Upon receipt of the signed agreement, the ORD will obtain the signature of the president or designee and then distribute copies to all relevant parties.

If a consultant is to be used, the project director should complete the Consultant Services Agreement form, once a consultant has been identified. The project director, supervisor, and provost/vice president approve the hiring of consultants (in advance of receiving the services) on a case by case basis, taking into consideration the market rates for similar services and the salary rates of any similarly qualified college personnel. The rate paid to each consultant should be consistent with the rate currently paid by the college to consultants with similar qualifications.

Projects that will expend grant funds for designing and printing new publications (e.g., brochures, not basic copying and duplication) must consult and work with the Office of Marketing Communications. Project directors should contact this department as early as possible in the grant period because this office cannot accommodate last minute requests.

The Purchasing Process and Invoices

Purchasing Requirements: Colleges shall request bids from at least three (3) sources, or solicit a request for proposals . . . when purchasing services or commodities exceeding the amount of $10,000 or otherwise specified. The project director should consult the Purchasing Office for specific information regarding this requirement. When accepting bids, MCC shall accept the lowest or best bid or proposal. Quotes must be submitted with the requisition for proper back-up. Many granting agencies also impose specific rules regarding equipment purchases that must be followed. The most restrictive terms prevail and must be checked with the Budget staff assigned to your grant.

Upon receipt of an invoice from the Accounts Payable Department, the project director should match the amount of the invoice to the purchase order issued, indicate which line items to pay, sign the invoice approving it for payment, and send it to Accounts Payable. Each month, the project director should review the detail of all account transactions in Banner. Outstanding encumbrance detail is available on the FGIBDST-FGIOENC screen. The project director should follow up on any outstanding purchase orders. If items are received and the purchase order is complete, the project director should submit a list of purchase orders to Procurement to be closed. Remember, a purchase order cannot be closed if there are outstanding invoices against it.

On-going

- Project Publicity and Communications

The awarding of a grant is newsworthy. The local, business, and educational communities should be notified of the grant award as soon as practical once the college is notified, unless publicity is “embargoed”. All publicity for MCC programs is coordinated through the Director of Marketing Communications. Resource Development notifies the Communications office of new grant awards and provides the office with the executive summary and any other material they may need. The Communications Office then contacts the project director if a grant will be publicized. The project
director should consult with funding agency’s project manager regarding procedures for publicizing a grant project.

Project directors should contact the Communications office if they feel a project activity has the potential for news coverage or a feature story. If the project director is contacted directly by the media, he or she should contact the Communications Office and Resource Development prior to the sharing of information about the project. If the project director receives a request for a copy of the grant proposal or other grant-related documents, the request should be referred to the ORD.

- **Budget Amendments and Programmatic Changes**

Even though the project budget was carefully constructed when the proposal was developed, a grant budget often needs to be revised to meet changing needs or circumstances. Examples of changing budget needs include:

1) excess funds may be available if project personnel do not work the full duration of the budget year or if projected salary increases were higher than actual salaries;

2) there may be excess funds in the equipment category because the bids were lower than expected; or

3) a shortfall in an account has resulted from costs being higher than anticipated.

All change requests should be requested in advance and they cannot conflict with the terms of the grant. Proposed changes must be routed in advance of implementing the change through the Resource Development and Budget offices for internal review and approval by the appropriate administrators. Some budget changes may also require approval by the funder.

Prior to requesting budgetary or programmatic changes, the changes may need to be discussed with the appropriate funding agency representative(s), and then followed up with a letter/email. This contact with the funding agency should be coordinated with the Budget and Resource Development offices. Changes are not officially approved until a written response is received.

If it is determined during the preliminary review process that the program guidelines do not require prior approval for a change, a notification memo/email should be processed internally through Resource Development. In all cases, files maintained by the project director and the ORD should contain a complete trail of all written and verbal contact with the funding agency.

- **Recordkeeping**

Any activities undertaken during the project and all expenditures of project funds are part of the records, or documentation, for the project. In evaluating the project, the funding source will want to know exactly what was done, when and how it was done, and how much money it cost. Accurate and adequate records are a must; these records will support the college during a monitoring visit from the program officer, in the evaluation of the project, during the college’s regular annual financial audit, or in the event of a funding agency audit. The following are some of the records that must be maintained as part of the project.
Time and effort records must be maintained so that salary charges to an award can be adequately supported. Payroll records that must be maintained include forms documenting who worked on the project, how much time each person spent on the project, how much they were paid, and what activities they performed. The time and effort record should contain the following information: (1) the name and signature of the employee; (2) the hours, or percentage of effort, an employee worked during a given period; (3) the activities performed by the employee during the period; and (4) the name and signature of the employee's supervisor. An employee whose time is devoted to more than one grant, or who works part-time on the grant and part-time on other college duties, must maintain records that support the amount of time charged to each grant for which s/he worked.

Institutional match is subject to audit and must be documented. Records documenting the amount of matching in the approved budget for the project, either in-kind or cash, must be maintained. Cash match for the project can be documented by the Budget office while in-kind match, which represents the value of non-cash contributions in services or property to the project, must also be documented. The Time and Effort Documentation Form may be used to document in-kind services of project personnel. Keep copies for the project files. The Office of Resource Development recommends that personnel paid by grants or contributing in-kind matching services to grants maintain a record of their daily activities using a format such as a log sheet and then consolidate this information by transferring it to the Time and Effort Documentation Form.

The terms of the grant will stipulate the length of time for which grant records must be maintained. In most cases, records for Federal grants must be retained until three years after the due date for the annual report for each year of the grant. MCC maintains all financial records for at least three years after the closing date of the entire project. The award letter may stipulate a longer retention period, and, if so, it must be followed.

Data collection and regular programmatic reports are required by virtually every funder.

- Communicating with the Funding Agency

Formal communication with the funding agency will typically consist of interim and final project reports. It is a good idea, however, to maintain open lines of communication with the program officer and the grant officer.

The program officer, the representative of the funding agency who oversees the project, will be interested in progress toward meeting the goals and objectives of the project. Any change in project scope, key personnel, or budget usually must be approved by the program officer. In many cases there is a threshold for notifying the funding agency, usually a change of 10% of a line.

Correspondence requesting changes in the project's objectives, scope, personnel, budget, or time period must be approved internally in advance before they can be submitted to the funding agency. These types of significant programmatic changes should be approved by the vice president or executive director of the area responsible for implementing the grant in consultation with other internal offices s/he deems appropriate. The Resource Development Office is primarily responsible for programmatic contacts with the funding agency while the Budget Office must approve and submit budget
changes/amendments. Resource Development must review all correspondence before it is sent to the funding agency and maintain records of all verbal and written communication in the office files.

**Site Visits**

Occasionally, funding agencies will request a site visit. This visit is coordinated by the project director and communicated to the Budget and Resource Development offices. The project director, working with these offices, drafts an agenda, identifying the appropriate individuals and locales to be included in the site visit.

The site visit gives the college an opportunity to share with the funding agency the project’s progress and continued potential. Project directors must be prepared to address and present documentation regarding the attainment of project objectives and recordkeeping, and the Budget Office must be prepared to present financial documentation. Occasionally, a successful funding agency site visit is a requirement for continued funding in a multi-year project.

**Project Evaluation and Reporting**

As stated in the grants development section of this guide, evaluation is an important component of the project for the purposes of measuring successful accomplishment of project objectives, replication by others, and information dissemination.

Having established accurate baseline data and comprehensive assessment instruments at the beginning of the grant period makes life easier for the project director who must draft formative and summative evaluations during the life of the grant. Project directors must remember that evaluation is an ongoing process and should be addressed continuously during the life of the grant.

Formative evaluations are conducted at specified points during the grant period; the results of these evaluations are used to assess progress and identify potential or actual problem areas, facilitating project modifications as needed. Summative evaluations are completed at the conclusion of the entire grant period. Depending on the funding agency, formative evaluations may be required monthly, quarterly, annually, or not at all; summative evaluations are required of all grants. For most multi-year government grants, a formative evaluation is submitted annually in the form of a “progress report” or “competing continuation application” as a requirement for continued funding in the subsequent year.

The formal award notification includes a schedule for any reports that must be submitted and the dates these reports will be due. Grant programs require interim progress and financial reports either quarterly, semiannually, annually, or upon request from the funding agency. Project directors must be aware of the format and content requirements of reports and their due dates before the project begins so that information needed for the reports may be collected throughout the duration of the project.

Performance or programmatic reports are the responsibility of the project director and should reflect the progress made in accomplishing the project objectives. The report should identify the project’s strengths in addition to strategies which will correct any weaknesses in the program. Resource Development is available to interpret funding agency requirements, draft, and/or edit reports as assistance may be needed.
Depending on the funding agency’s requirements, reports may be submitted electronically. **In all cases, programmatic reports should be reviewed by the ORD.** Resource Development requests that reports be submitted for review at least a week in advance of the submission. If the funding agency does not provide a specific reporting format, at a minimum the programmatic reports should address the project’s progress in meeting the measurable objectives as shown in the original grant proposal.

Progress should be reported based on outcomes, not process; process simply describes the activities that have taken place; outcomes focus on the measurable results of those activities.

Financial reports for the project will be completed by the Budget Office. They must have complete records of project expenditures and documentation of matching or cost-share for the project in order to complete the reports. Project directors must allow sufficient time between the submission of this information to the Budget Office and the due date for the report for the purpose of obtaining internal approval prior to submission to the funding agency.

For many projects, programmatic and financial reports are submitted together by the ORD, so it is important that the project director work with both the ORD and Budget offices to develop the material based on reporting requirements.