
Procedure Title: Grant Solicitation and Management
Procedure Number: 02-2003-0001
Board Policy Reference: IV.A. General Executive Direction
NWCCU Standard:

Accountable Administrator: President
Position responsible for updating: Grants Manager
Original Date: August 4, 2003
Date Approved by Cabinet: 09-12-17
Authorizing Signature: *signed original on file*
Date Posted on Web: 10-28-22
Revised: 10-22
Reviewed: 10-22

Contents:

- Purpose/Principle/Definitions
- Responsibilities
- Solicitation Procedures
- Grant Management and Reporting Requirements
- Indirect Cost Policy
- Proposal Clearance Form

Purpose/Principle/Definitions:

Purpose: This document outlines processes and responsibilities for the preparation of grant proposals from Blue Mountain Community College and for the management of grants awarded to BMCC.

Principle: BMCC will invest its limited resources to seek grant funding primarily for programs, projects, and initiatives that advance the college's ability to meet its mission, vision, and strategic plan goals while aligning to its core themes, and to serve the diverse constituencies in its service area.

Definitions: This section addresses key terms used in this procedure, and defines fundamental distinctions among different kinds of award mechanisms commonly experienced at institutions of higher education (contracts, cooperative agreements, gifts, and grants).

- **Authorized Signatories**—In accordance with Oregon Revised Statutes 332.075(3) and 332.515, the Board of Education annually appoints the BMCC President, the Chief Operating Officer, the Chief Finance Officer, and the Executive Vice President as the only BMCC representatives authorized to enter the college into legally binding agreements, including grants and contracts.
- **Contract**—A contract is an instrument whose principal purpose is the acquisition of services or products of direct benefit to the sponsor. A contract usually provides for substantial involvement by the funding organization in the management of the project. It is the most restrictive of award mechanisms, specifying the scope of work, a timetable, costs, and other conditions such as ownership of the product in an agreement to be signed by both parties. Only Board-authorized signatories may sign contract agreements on behalf of the college.

- **Cooperative Agreement**—This type of award mechanism allows for substantial involvement, either technical or managerial, by the funding organization or agency when necessary in the performance of the activities. While the cooperative agreement can involve participation and monitoring by the funding organization’s representatives, the responsibility for overall project management rests with the recipient of the award. Only Board-authorized signatories may sign cooperative agreements on behalf of the college.
- **Grant**—A grant is an award of monies, real property, or in-kind services that support projects or programs for a public purpose (as opposed to a sponsor-specific purpose) having no direct benefit to the sponsor. Grants usually support a project at a specified level of effort for a specified period of time. The grantor usually does not expect or require involvement in any substantial way in the performance of the proposed activities. The grantor generally requires formal financial accounting and periodic progress reports. If funds remain unexpended at the end of the grant period, the recipient either must return them to the grantor or must request an extension and justify further expenditures. Only Board-authorized signatories may sign grant proposals and agreements on behalf of the college.
- **Proposal**—A proposal is a written document or completed application form requesting funding. Typically, a proposal describes, at a minimum, the applicant organization, need for the proposed project, proposed activity, key personnel, and anticipated outcomes. Accompanying the narrative are a budget outlining project expenses and, usually, a budget narrative explaining those expenses and how they were calculated. A proposal is not a grant, though many individuals incorrectly use the terms interchangeably.
- **Modified Total Direct Costs**—Modified total direct costs include all salaries and wages, fringe benefits, materials, supplies, services, travel, and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs exclude equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.
- **Indirect Costs**-- Indirect costs, also called facilities and administrative (F&A) costs, are real costs of college activities that are not easily charged to specific projects, including:
 - Expenses incurred by the institution for joint or centralized activities such as building and equipment use, operation, and depreciation
 - Operation and maintenance costs
 - Central and departmental administrative costs, including monitoring and reporting of grant expenditures
 - Sponsored-project administrative costs not directly charged to the grant
 - Library expenses
 - Student services and administration

Many granting organizations will pay grantees a certain percentage of a grant’s direct costs to compensate for its indirect costs.

- **Modified Total Direct Costs**—Modified total direct costs include all salaries and wages, fringe benefits, materials, supplies, services, travel, and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs exclude equipment, capital expenditures, tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.

- **Proposal**—A proposal is a written document or completed application form requesting funding. Typically, a proposal describes, at a minimum, the applicant organization, need for the proposed project, proposed activity, key personnel, and anticipated outcomes. Accompanying the narrative are a budget outlining project expenses and, usually, a budget narrative explaining those expenses and how they were calculated. A proposal is not a grant, though many individuals incorrectly use the terms interchangeably.

Responsibilities:

In accordance with Oregon Revised Statutes 332.075 and 332.515, the Board of Education annually appoints the **BMCC President, the Chief Operating Officer, the Chief Finance Officer, and the Executive Vice President** as the only BMCC representatives authorized to enter the college into legally binding agreements, including grants and contracts. The hierarchy of signatures for grant proposals is: (1) President, (2) Chief Operating Officer (3) Chief Finance Officer.

The **Project Manager** of a grant has primary responsibility for grant oversight, including administration of grant activities, budget management, and fulfillment of all reporting requirements. He or she is also responsible for providing all employees on federal grants with copies of the BMCC policy statement on a drug-free workplace. At the end of the grant, the Project Manager clears grant files of ephemera and delivers the files to the Business Office to be integrated into the institutional records maintained by the Business Office.

The **BMCC Business Office** is responsible for fiscal oversight and fiscal administration of grants and contracts, working in cooperation with project managers and other college officers, faculty members, and staff members as appropriate. The **BMCC Grant and Operations Accountant** tracks grant and contract expenditures and provides fiscal reports as required. The BMCC Business Office maintains the institutional record of grant-related files.

Faculty and staff members who initiate or who are asked to join proposal development efforts are responsible for writing sections as appropriate, providing requested materials, meeting internal deadlines, and otherwise contributing to the proposal development process in a supportive and timely manner.

Solicitation Procedures:

Public funding agencies and private funding organizations, including corporations and foundations, have varied expectations and guidelines for how they wish to be approached by an institution such as a community college. Many place restrictions on the number of proposals that an institution can submit at any one time. BMCC therefore has established a centralized system for approving, clearing, and tracking all grant proposals in order to avoid sending incomplete or conflicting proposals or counter-productive signals to prospective grantors.

Generating a grant proposal at BMCC usually requires the following steps:

- Step 1: Develop project concept and identify appropriate prospects for funding
- Step 2: Receive “approval to approach” from the proposer’s supervising Executive Team Member
- Step 3: Develop the proposal narrative and budget
- Step 4: Receive institutional clearance before proposal submission
- Step 5: Submit the proposal

Step 1: Develop Project Concept and Identify Appropriate Prospects for Funding—A successful proposal closely matches a project or activity to a grantor’s interests. It is unadvised for the applicant to employ a “shotgun” approach by submitting an identical proposal to a number of prospects that have not been carefully screened.

The BMCC Library provides support and research materials for identifying appropriate, potential grantors.

Step 2: Receive “Approval to Approach” from proposer’s supervising Executive Team member—BMCC faculty and staff members intending to submit a proposal must notify their supervising Executive Team member before preparing and submitting the proposal. The supervising Executive Team member will grant “approval to approach” (which is different from Step 4: Institutional Clearance) if the match between project and funding source is appropriate; if the project falls within the scope of BMCC’s core themes, mission, vision, and strategic plan; if the BMCC grant analysis is favorable; and if the proposal will not conflict with one or more of the following:

- BMCC priorities or strategies for that particular funding source
- Proposals already under development for submission to the same funding source
- Proposals already pending at the same funding source
- Restrictions imposed by the funding source

Approvals generally are in effect for six months or until the next deadline. If an Executive Team member cannot approve the approach because the above conditions are not met, they will try to help develop alternative funding strategies.

Some private grant makers require a letter of intent before formal proposal submission. The process for letters of intent is the same as for full proposals: that is, Executive Team member approval is necessary before the letter is developed and submitted. Because letters of intent are sometimes acted upon and an award is made without a formal proposal, letters proposing a budget or committing faculty time or other college resources should be discussed with an Executive Team member; the letters may need to receive institutional clearance and signatures before submission (see Step 4 below).

Step 3: Develop the Proposal Narrative and Budget—The team developing the grant proposal should identify a Project Manager, who will take the lead in writing a proposal, and requesting draft text and information from faculty and staff members as appropriate. The Project Manager should consult with the Grant & Operations Accountant for development of the grant budget.

Step 4: Receive Institutional Clearance Before Proposal Submission—The BMCC President and Executive Team are responsible for institutional clearance of proposals, a process different from the “approval to approach” process. Institutional clearance is a review of proposals to ensure appropriate quality and completeness of information. Clearance also ensures that a proposal and its budget conform to college policies and to state and, if appropriate, federal requirements, and that appropriate college administrators have approved any commitments made in the proposal, including contributions of employee time and/or institutional resources, creation of new positions, and renovation of facilities.

To initiate the clearance process, the Project Manager must complete the Proposal Clearance Form and Grant Analysis Worksheet (attached), obtain signatures from the BMCC Grant & Operations Accountant and supervising Executive Team member. The Executive Team member will review the proposal with the President and Executive Team for final clearance.

After clearing a proposal, the Project Manager will obtain the institutional signature on the proposal cover and, if appropriate, generate an institutional cover letter. College officers with signature authority on grant proposals are: the President, Chief Operating Officer, Chief Finance Officer, and the Executive Vice President.

A proposal being reviewed for clearance occasionally may be incomplete or otherwise not ready for submission. If the supervising Executive Team member determines, in consultation with the Project Manager, that adequate time remains before the deadline to revise the proposal into acceptable condition, they will

work together to make those changes. Should a close deadline prevent such revisions, the supervising Executive Team member will ask the President to decide whether the college will submit the proposal.

Proposals for awards made directly to an individual (e.g., a fellowship) do not require institutional review and clearance. However, the applicant must notify his or her supervising Executive Team member and the Office of Human Resources if such an award would affect his or her contract and work responsibilities.

Step 5: Submit the Proposal—Grant guidelines often specify the method of proposal submission (e.g., electronic, U.S. Postal Service, commercial carrier) and usually indicate whether the deadline is a postmark or receipt deadline. The Project Manager should pay close attention to these guidelines before submission.

Grant Management and Reporting Requirements:

The grant Project Manager has primary responsibility for grant oversight, including administration of grant activities, budget management, and fulfillment of all reporting requirements. The BMCC Grant & Operations Accountant tracks grant expenditures and provides fiscal reports as required. Within five working days after notification of an award, the Project Manager will meet with the Grant & Operations Accountant to establish an account and set up guidelines and procedures for grant management and reporting.

The BMCC Business Office maintains the institutional record file(s) for each grant, including original correspondence, grant expenditures, and reports. The Project Manager is responsible for sending copies of correspondence and other records to the Business Office. At the end of a grant, the Project Manager clears his or her files of ephemera and delivers the files to the Business Officer to be integrated into institutional records.

The grant Project Manager, his/her supervising Executive Team member, or the President are the only ones who should be in communication with the grant sponsor throughout the grant's lifetime.

Indirect Cost Policy:

BMCC has a federally negotiated indirect cost rate of 34 percent of modified total direct costs (see definitions above), renegotiated every four years, plus a one-year provisional rate. Proposals for federal grants must use this rate unless grant guidelines specify otherwise. For proposals to private foundations or other nonfederal organizations, the college may apply a maximum allowable indirect cost rate to grant proposals, where allowable and appropriate, and if the federal rate is not appropriate.

BMCC proposal budgets are expected to include a line for indirect costs, which are always calculated into grant budgets at the approved rate, regardless of funding source, unless the grantor specifically indicates that it restricts or prohibits the payment of indirect costs. Such indication must be in published guidelines or by verbal confirmation recorded in the file. When the college does not recover indirect costs from a grantor, it must cover those costs from other institutional funds. When a granting agency caps the grant's indirect cost rate below BMCC's approved federal rate, the proposal budget may claim the difference between the requested amount and the approved rate as matching funds (BMCC's contribution).

Many private funding organizations either restrict or prohibit the payment of indirect costs on grants. In such instances, written documentation of their policy must accompany proposals throughout the proposal clearance process. The President or the Chief Operating Officer must approve exceptions to the rate in effect other than those imposed by a funding source. Applicants must request and obtain a written exception at least one week before proposal clearance.

Special Forms:

- Attachment A. Grant Proposal Clearance Form
- Attachment B. Grant Analysis Worksheet



Grant Proposal Clearance Form

PERSONNEL

Project Lead name: _____ Phone: _____ Email: _____

Co-project Lead name: _____ Phone: _____ Email: _____

GRANTING AGENCY / ORGANIZATION

Name/mailling address: _____

Grant program name: _____ Contact name/number: _____

Type: () Federal () Sub-Federal () State () Foundation () Corporation () Association () Other: _____

Deadline: _____ () postmark () receipt Original plus _____ copies

PROJECT

Title: _____

Application type: () new () renewal () continuation () supplement () preliminary () resubmittal

Current grant account number if renewal, continuation, or supplement: _____

Grant period, from (mm/dd/yy) _____ through (mm/dd/yy) _____ Total number of project years: _____

Requested first year \$ _____ BMCC cost-share, first year \$ _____ Outside matching funds, first year \$ _____

Requested total grant \$ _____ BMCC total cost-share \$ _____ Total outside matching funds \$ _____

Indirect costs: First year \$ _____ Total \$ _____ () Full rate () Maximum allowed: _____%, confirmation attached

Total project cost (all sources of funding combined): First year \$ _____ Total project period \$ _____

COMMITMENTS

Check any included in the proposal:

- | | |
|--|--|
| <input type="checkbox"/> Additional space or renovations of existing space
<input type="checkbox"/> New faculty/staff position(s)
<input type="checkbox"/> Faculty/staff release time paid by grant
<input type="checkbox"/> In-kind faculty/staff time or other BMCC resources | <input type="checkbox"/> Collaboration with other institutions/organizations
<input type="checkbox"/> Participation of multiple BMCC departments/offices
<input type="checkbox"/> Curriculum or program change
<input type="checkbox"/> Ongoing BMCC support after grant ends |
|--|--|

SIGNATURES

*Provide signatures in this order before delivering form and proposal to your supervising Executive Team member. **Attach letters of commitment from providers of other matching funds. Also attach a budget outline for project, as well as a document outlining desired outcomes and deliverables for the project (page 2). Omitting any of these documents is cause for proposal rejection.***

Project Lead _____ Date _____

Co-Project Lead _____ Date _____

Grant & Operations Accountant _____ Date _____

Chief Finance Officer _____ Date _____

Supervising Executive Team Member _____ Date _____

President _____ Date _____

Desired Project Outcomes & Deliverables:

Strategic Plan Relationship:

With which Strategic Plan goals does this project align? Check all that apply.

- Relevant and Dynamic Education in Response to Community and Industry Needs
- Empower Students on their Educational Path in a Students First Learning Environment
- Foster a Culture of Learning and Growth in an Environment of Diversity, Equity, and Inclusion

Project Budget:

<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>
<hr/>	\$	<hr/>

<i>TOTAL BUDGET</i>

Attachment B. Grant Analysis Worksheet

	Yes	No	Examples / Definitions
Does the project align with:			
• BMCC's mission			
• Institutional priorities defined by BMCC's strategic plan			
• Departmental goals (where appropriate)			
<i>If so, then:</i>	* = double weight		
1. Does the project serve BMCC's high-priority markets? Identify:	*	*	Latinos, Native Americans, traditionally underserved/under-represented populations; district- or region-wide programs vs. individual programs or centers; growth areas (locations or programs).
2. Will the project contribute to institutional progress? Explain:	*	*	Will the grant help lead to improved student success, additional funding, and/or increased FTE? Will it contribute positively to marketing or public relations efforts? Is there good potential for institutionalization (sustained benefits after the grant ends)?
3. Is the project worth any short- or long-term commitments of institutional resources? Identify:	*	*	Is a match required or strongly encouraged of general fund dollars (cash) and/or in-kind contributions? Will the grant offset any institutional match by paying indirect (facilities and administrative) costs? What is the ratio of grant funds to the institutional match? For how long must the institutional commitment be sustained?
4. Is the college willing to absorb hidden costs? Identify:			Workload burden of existing staff (e.g., business office, student services, technical support, maintenance); need for college-provided space, furniture, computers, utilities, telephones; burden on central supplies, equipment inventories.
5. Does the project involve community partners? Identify:			CTUIR; education service districts or school districts; workforce development partners (e.g., CAPECO, TECs); hospitals.
6. Does the project have an attractive cost-benefit ratio? Explain:			Cost-benefit ratio = total project cost vs. individuals served. Does the project benefit only a few individuals or an individual department/program, or does it benefit a large number of people or multiple departments, programs, or BMCC locations?
7. Does the grant meet or exceed BMCC's minimum award thresholds? Estimated grant amount: \$			Minimum award thresholds in order to justify staff workload for accounting, reporting, and other administrative requirements: \$50,000 for federal grants; \$35,000 state; \$500 regional, private, or other with minimal commitment of college resources.
8. Are BMCC leaders and staff committed to the project? Explain:			Will key people invest the necessary time and effort to meet the proposal deadline? Are individuals prepared to implement the project even if it means more work for them?
9. Is the grant the only viable means of achieving project objectives? Explain:			Could the project be absorbed into college operations without the grant? Could external partners manage the project and grant? Are there higher priorities for investments of BMCC staff time and college resources?
10. Could BMCC suffer from short- and/or long-term consequences of not seeking the grant? Explain:			Would a decision not to apply negatively affect political alliances, community/public relations, partner relations, donor/grantor relations?

Agency/Grant Program: _____ Initiated by: _____

Should BMCC apply for the grant? Yes No
Rationale:

Signature/date: _____