



**GRANTS DEVELOPMENT  
and  
ADMINISTRATION  
HANDBOOK**

Revised March, 2016

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**MIDDLESEX COUNTY COLLEGE  
GRANTS DEVELOPMENT and ADMINISTRATION HANDBOOK  
REVISED, March, 2016**

**PREFACE**

This handbook describes the guidelines and procedures for the development and submission of grant proposals and the management of grant awards. It outlines the procedures to be followed when applying for funds from any outside funding source.

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## **GUIDELINES AND PROCEDURES**

1. The College encourages proposals and applications for funds to provide financial resources that are not available in the College's normal operating budget when they are consistent with the Mission and Goals of the College. Supplementary funds are generally sought to secure seed money for new programs, to expand or modify existing programs or to fulfill community needs. All proposals and applications should be examined critically to determine any financial commitment required of the College.
2. Each proposal is to be completed in concert with the laws of the State of New Jersey and the policies established by the Board of Trustees of Middlesex County College.
3. The Board of Trustees of Middlesex County College accepts the programmatic and fiduciary responsibility for all grants and contracts awarded.
4. All grants and contracts are awarded to the Board of Trustees of Middlesex County College and not to the individual who is the initiator. The College bears the ultimate responsibility for fulfilling the objectives of the project and for complying with all fiscal, legal and contractual requirements.
5. The President of Middlesex County College, on behalf of the Board of Trustees, retains the sole authority to approve the submission of proposals on behalf of the institution.
6. The internal review process must be followed for all proposals. This includes those in which Middlesex will be a subcontractor, as well as those submitted through the MCC Foundation. This process requires that an internal abstract be approved by all designated parties before a final proposal is developed. Proposals can only be submitted after the appropriate approvals are secured.
7. Proposals should include accounting and record keeping systems that are consistent with the College's systems and procedures.
8. The Director of Grant Accounting is responsible for fiscal oversight and the Director of Grants Development is responsible for programmatic oversight for all externally funded projects.
9. The Director of Grant Accounting must approve all proposed budgets, funded budgets, and requests for budget modifications to ensure consistency with College procedures and funding source requirements.
10. The administrative head of the unit in which a funded project is housed is designated as the project director. The project director has direct administrative responsibility for ensuring that contractual obligations are fulfilled.

## **PROPOSAL PREPARATION**

In the early stages of the grant process the grant-making agency, which is most often an agency of the federal government, plans and develops a funding program based on its mission, the Administration, and congressional initiatives.

Next, the grant-making agency formally announces the funding opportunity, advertising it to applicant communities and inviting proposals tailored to address the program mission. The grant-making agency, when it is an agency of the Federal Government, will publish details of the funding opportunity on [Grants.gov](http://Grants.gov).

Effective grant management begins with program planning and proposal development. The elements in a proposal should provide the administrator and staff with sufficient information to ensure that project success is possible and measurable. Projects that are not well planned and fully developed may be funded, but are often difficult to manage and monitor.

The Project Director of all new projects will be a Middlesex County College Department Chair or Director unless the funding source requires otherwise. The proposal initiator, or another staff member, may be named as principal investigator, coordinator, or manager to implement project activities.

It is desirable that the principal author of the proposal be the faculty or staff member who will be responsible for carrying out the project, if funded. According to “A Guide for Proposal Writing” (<http://www.nsf.gov/pubs/2004/nsf04016/nsf04016.pdf>) published by The National Science Foundation, this is important because the grant administration expert usually does “not have the scientific qualifications or classroom experience to describe the project in an appropriately technical or pedagogical manner.”

The Director of Grants Development will assist in the preparation of the narrative and the budget, complete the final editing and proofing of the proposal, obtain the President’s signature and expedite delivery.

The proposal should follow the format in the request for proposals. If no format is given, the proposal should follow the format of the abstract.

### **Develop the Concept**

Before approaching the Director of Grants Development about seeking funding for an idea, the proposer should develop a one page concept paper which identifies the needs and objectives of the project and a budget. This will help the proposer and the Director of Grants Development identify appropriate grant opportunities. Once the concept paper is developed, the individual should discuss the idea with the Director of Grants Development, peers and his/her immediate supervisor. As the concept is being developed, consider:

1. the long-and short-term ramifications to the College;
2. the probability of continued funding;

3. the required amount of cost sharing;
4. the degree to which the grant activities can be assigned and implemented within the existing College organization;
5. the probable impact on ancillary services, i.e. mail room, payroll, telephone, etc.

### **Prepare the Internal Abstract and Secure Approvals**

The Director of Grants Development will assist in the development of the proposal narrative, budget and the preparation of the internal abstract (see attached). The internal abstract has several sections: the narrative (need, objectives, procedures, and facilities), the budget, and the IX-M and Conflict of Interest forms. The IX-M form is to be completed for all full-time faculty who will perform work outside their normal duties.

The Conflict of Interest form is to be completed by the Project Director and/or Principal Investigator. Individuals developing proposals for Grant funded programs must secure the approval of their immediate supervisor/Department Chair, and Dean on the internal abstract form. The abstract is then submitted to the Director of Grants Development who will seek the remaining approvals.

### **Attend Pre-application Workshops**

When pre-application workshops are offered by the funding agency, the proposal writer and/or the Director of Grants Development should make every attempt to attend to learn all the specifics of the agency's requirements and budgetary constraints.

### **Required Proposal Elements**

Most public grant proposals are between 15 and 100 pages in length and consist of the following sections: a cover letter, title page, project summary, introduction, problem statement, goals and objectives, project design, evaluation, dissemination, budget and appendices (i.e. resumes, letters of commitment, etc.). In comparison, private grant proposals generally range from three to five pages in length and focus on problem identification and proposed solutions. Following is a brief description of the main components of the proposal narrative:

1. Introduction

This section provides the reader with information about the College and its capability of carrying out the project. Emphasis in this section should be placed on past experience with similar projects and how the project fits both the funder's and the College's mission.

2. Problem Statement

This is a statement of the need that will be addressed and met through the implementation of the project. It should be supported through research and demonstrate a relationship between the goal of the funding source and the College.

### 3. Goals and Objectives

A goal is a general statement of what the organization hopes to accomplish through the project while the objectives demonstrate how the goal is going to be met. Objectives are therefore more detailed and should be measurable. An objective addresses who is going to do:

- 1) what,
- 2) to whom,
- 3) when,
- 4) by how much, and
- 5) how it will be measured.

For instance, a program's goal might be, "To increase the knowledge of U.S. students to other cultures". Objectives that address this goal might include: "To increase the number of teachers who incorporate cultural lessons in their classrooms" and "To increase the percentage of students who study abroad (hence increasing cultural understanding) from 1% to 5 % by January 20xx".

### 4. Project Design

This section details what elements are going to be included in the project to address the objectives, who will be the target audience for the project's services, and the timeline for implementation of the project. It should also include a staffing plan, delineation of the staff's responsibilities, and qualifications of the project staff. When designing the project, the departments that will be involved, either directly or indirectly, should be consulted (i.e. if classroom space will be needed on weekends, the facilities management department should be consulted or if computers need to be purchased, the information technology department should be consulted).

### 5. Evaluation

The project should be evaluated both during implementation (formative) and after the project is complete (summative). Evaluations can either be performed in-house or by an external consultant, or both. Formative evaluations are conducted to ensure that the grantee is on target in meeting the proposal's objectives and to highlight project concerns before they become program obstacles. The summative evaluation determines the success of a project and what can be done better in future grant-funded projects. In developing an evaluation plan, particularly if the plan includes measuring changes in perceptions, behavior or learning, consultation with the Director of Institutional Research is encouraged.

6. Dissemination

This section depicts how others will be informed of the findings of the project. For example, in this section, one would include specific journals and conferences at which the findings will be published and/or presented.

7. Budget

The costs of the project are detailed in this section. Allowable costs will vary based on funding source, however typical costs include: direct costs such as personnel, fringe benefits, travel, equipment, materials and supplies, publication costs, postage, etc., as well as indirect costs. Indirect costs are costs that are not allowable in any other category. Generally the percentage of the budget that can be allocated to indirect costs is mandated by the funding source.

### **Hiring of Full-time Faculty for Grant-funded Projects**

The Agreement between Middlesex County College and Local 1940 A.F.T. (Union) stipulates that whenever the College wishes to undertake a special project or activity that involves union members, the terms and conditions of the project or activity will be negotiated with the Union. The Agreement further stipulates that the Union must be notified of and has the right to be present at any meetings with the faculty member(s), which are held to discuss the project or activity.

The Director of Human Resources/Labor Relations is the College administrator designated to conduct these negotiations. It is the responsibility of the chairperson or supervisor to define the scope of work and the tasks and functions to be performed, and submit the attached IX-M Request Form to the Director of Grants Development, who will, in turn, submit the form to the Executive Director of Human Resources/Labor Relations. No project can begin nor grant proposal be submitted until compensation has been negotiated.

### **Prepare the Final Budget**

The Director of Grant Accounting and the Director of Grants development will provide assistance in preparation and review of the final project budget to ensure that all costs are covered and that the budget meets the guidelines of the funding agency. The following guidelines are to be followed:

1. In developing administrative costs for Grant Management, an allowable indirect rate may be used in Federal, State or County Grant applications when full time enrollment (F.T.E.) support is not applicable.
2. Wherever personnel costs are defined, statutory and other payroll cost factors are to be incorporated. Any additional benefits pursuant to the College procedures for grant personnel should also be included.
3. Whenever matching funds are required, College or other funds must be available and subsequently encumbered to support the proposal effort.

4. The budget outline should include costs for:
  - a. supervisory personnel for the project;
  - b. program personnel for the project;
  - c. payroll expenses for all personnel;
  - d. equipment, both to be purchased and/or leased;
  - e. supplies and educational materials;
  - f. local and/or extended travel;
  - g. telephone;
  - h. postage/mailing;
  - i. duplication/publication;
  - j. advertising;
  - k. equipment maintenance (service contracts);
  - l. rental of space;
  - m. indirect costs;
  - n. all other program related expenses.
5. By analyzing the funding guidelines, the proposal is to outline:
  - a. the funding source share, by budget component and
  - b. the MCC share (if any), by budget component.

### **Submit the Proposal to the Funding Source**

The Director of Grants Development will submit the final proposal to the President for approval and signature(s) and prepare the proposal package for submission. In order to assure the proposal deadlines are met, the final proposal should be ready for processing **at least ten work days** before the deadline.

### **PROPOSAL NEGOTIATION**

1. To avoid confusion and duplication of effort, all responsibility for communicating with the sponsoring agency prior to an award lies with the Director of Grants Development. Should a dean or project director receive communication from the funding agency, the Director of Grants Development should be provided with a copy.
2. Each grant, contract or agreement negotiating meeting with a funding source shall include the Director of Grant Accounting.
3. Notice of award is usually directed to the President. If the Project Director or Dean receives direct notification, the information should be forwarded to the President and the Director of Grants Development in a timely fashion.
4. Reviewers' comments will be sought by the Director of Grants Development when appropriate. A copy of the comments will be forwarded to the proposer or project director and to the Director of Grant Accounting. The comments are helpful in both resubmission of rejected proposals and management of successful grants.

## **ACCEPTANCE OF FUNDING**

1. No funding is accepted until the Board of Trustees accepts or ratifies an offer.
2. Upon notification by an agency that a proposal has been accepted, the Director of Grant Accounting will:
  - a. compare the notification to the proposal and, with the proposer, resolve any differences;
  - b. establish and maintain a contract file;
  - c. prepare a draft resolution from the Vice President for Finance and Administration for the President to present to the Board of Trustees.
3. Upon the acceptance or ratification of an offer by the Board of Trustees, the Director of Grant Accounting will:
  - a. assign budget codes to the project;
  - b. establish fiscal control and reporting mechanisms for the project;
  - c. forward a copy of the executed contract and associated materials to the project director and the Director of Grants Development.

## **ADMINISTRATION OF GRANT**

### **Responsibilities of the Project Director**

The project director is responsible for seeing that:

1. all responsible action is taken to ensure that objectives and contractual agreements are met;
2. project personnel are assigned and supervised;
3. events are properly documented and accurate records are kept;
4. all requests for expenditures are consistent with negotiated budgets;
5. the evaluation plan is implemented.

### **Program Process Review**

When a project is funded and the grant or contract has been approved by the College's Board of Trustees, the Director of Grants Development will schedule a meeting with the Division Dean, the Director of Grant Accounting, and the Project Director to review objectives and timelines, to confirm the plan of action, and to schedule report due dates.

The Director of Grants Development will be responsible for scheduling quarterly meetings to ensure that the action plan is being followed. At these meetings, the Project Director should demonstrate that substantial progress is being made toward meeting project goals and objectives and that appropriate expenditures are being undertaken. It is the Director of Grant Accounting's responsibility to bring a summary of grant expenditures to this meeting. If it becomes apparent that the project director is not making adequate progress towards meeting the project's goals, it is the responsibility of the Division Dean to ensure that the situation is rectified.

## **Fiscal Monitoring**

The contract binds the College. Therefore, any interpretation or change to the budget or terms and conditions of the contract must be endorsed by the project director's supervisor and the Director of Grants Development who will negotiate any changes with the funding source.

All purchase requisitions, following sign-off by the responsible dean or administrator, are to be reviewed by the Director of Grant Accounting to ensure that:

1. the request is allowable within the project;
2. the amount does not exceed available funding;
3. expenditures are in accord with project timelines.

Funding Agencies require grantees to maintain records of costs which are claimed by the grantee as being its contribution to cost participation. Cost sharing or matching requires that all contributions for cost sharing must be verifiable from the recipient's records. The principal investigator/project director is to report and certify the amount of cost sharing on an annual and cumulative basis.

## **Program Reports**

The project director is responsible for drafting all program reports required by the funding source. The Director of Grants Development will serve as a resource to grant administrators in this process. Fiscal reports will be written by the Director of Grant Accounting. **ALL** reports must be reviewed by the Director of Grants Development for accuracy and consistency. All reports will be submitted to the funding agency by the Director of Grants Development. Under no circumstance should the Project Director submit any report directly to the funding agency.

## **New Ideas for Funding or Funding Sources**

New ideas for funding or new sources of funding should be discussed with the MCC Director of Grants Development, Til Dallavalle at [tdallavalle@middlesexcc.edu](mailto:tdallavalle@middlesexcc.edu) or with the Executive Director of the MCC Foundation, Veronica Clinton at [vclinton@middlesexcc.edu](mailto:vclinton@middlesexcc.edu) .

All applications for private funding (from corporations, foundations and individuals) must be directed thru the Middlesex County College Foundation and be approved by the Executive Director. The Middlesex County College Foundation is a 501(c)3 corporation and is authorized by the Internal Revenue Service to accept tax-deductible contributions.

**MIDDLESEX COUNTY COLLEGE  
PROPOSAL APPROVAL ABSTRACT**

*This form must be completed and approvals secured before any application for outside funding can be made. To ensure that your project is fully approved, please complete the form as early in the application process as possible.*

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<b>Project Director</b>	<b>Division/Department</b>	<b>Deadline for Submission</b>
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<b>Project Title</b>	<b>Funding Source</b>
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Need(s):

Objectives:

Procedures (Include evaluation methods):

Personnel (New or existing):

If the project involves additional compensation or release time for AFT bargaining unit staff, the attached IX-M form must be completed.

Facilities, Equipment and Location:

Budget Subtotals and Total (Be Specific):

Provide a detailed budget narrative, including any matching costs. Use additional sheets if necessary.

Approvals (As applicable) (Please sign):

Project Chair/Director: \_\_\_\_\_ Date: \_\_\_\_\_

Divisional Dean: \_\_\_\_\_ Date: \_\_\_\_\_

Director of Grant Accounting: \_\_\_\_\_ Date: \_\_\_\_\_

Director of Grants Development: \_\_\_\_\_ Date: \_\_\_\_\_

Executive Council Member: \_\_\_\_\_ Date: \_\_\_\_\_

# MIDDLESEX COUNTY COLLEGE

Project Work Governed by Article IX-M

(Full-time Faculty who are hired to Perform  
Additional Work for Compensation or Release Time)

Project Name:		
Project Director	Division/Department/Grant	Date

1. Description of Project
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2. Project Duration
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3. Funding Source
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4. Objective of the Project:
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5. Number of Position(s) (i.e. Faculty, Counselor, Librarian) or Names, if known	
Position	Name (if known) or Number
Faculty	

\* NOTE: Whenever the work is the same, use one form for all faculty members being recommended.

6. Please provide below:
a). A breakdown of the type of work (e.g., instructional, counseling, course development, etc.),
b) The hours to be spent on each type of work (instruction presumes that preparation time is required).
c) The recommended compensation for each type of work.

TYPE OF WORK	SEMESTER DATES	SUGGESTED COMPENSATION, HOURS, OR RELEASE TIME, IF KNOWN

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Submitted by the Project Manager

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Date

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Approved by the Dean

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Date

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Approved by Mark McCormick  
Vice President for Academic and  
Student Affairs

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Date

-----  
Approved by Walter DeAngelo  
Director of Human Resources and  
Labor Relations

-----  
Date

MIDDLESEX COUNTY COLLEGE  
DECLARATION OF CONFLICT OF INTEREST

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Any investigator who is responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding by a federal agency is required to submit a financial disclosure report detailing all significant financial interests of the investigator, the investigator's spouse, and dependent children that would reasonably appear to be affected by the research or educational activities funded or proposed for funding; or in entities whose financial interests would reasonably appear to be affected by such activities. All financial disclosures must be submitted to the Vice President for Finance at the time the proposal is submitted and, in the case of multi-year awards, must be updated annually during the period of the award.

The term "investigator" means the principal investigator, co-principal investigators, project director, and any other person at the institution with significant responsibility for the project. The term "significant financial interest" means anything of monetary value over \$10,000, including, but not limited to, salary or other payments for services (e.g. consulting fees or Honoraria) equity interests (e.g. stocks, stock options or other ownership interests); and intellectual property rights (e.g. patents, copyrights and royalties from such rights).

If a conflict of interest is found to exist, the Director of Grant Accounting will work with the concerned individual to determine what steps will be taken to resolve the situation. If the conflict cannot be resolved, the individual will be disqualified from participation in the portion of the project that would be affected by significant financial interests.

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**I declare that my participation in the project identified below does not violate the Middlesex County College Conflict of Interest Guidelines.**

Project Title: \_\_\_\_\_

Funding Source: \_\_\_\_\_ Project Period: \_\_\_\_\_

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Name (print) Signature

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Position Date