

Santa Rosa Junior College



Grant Writing Handbook

May 2013

Purpose of the Handbook

This handbook has been prepared to assist SRJC faculty and staff members interested in applying for grants. Tips on writing a proposal, completing the application process, and preparing a budget are included, as well as specific useful information such as the district's DUNS number and Tax ID. In addition, information is provided about processes and forms internal to SRJC that must be followed when submitting a grant under the auspices of the Sonoma County Junior College District. The intention of this Handbook is to provide the tools to use in thinking through the proposal development process and to offer practical guidelines for structuring and filing a proposal, from start to finish.

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I. Introduction

Thank you for your interest in grant writing! SRJC faculty and staff are welcomed and encouraged to consider grant opportunities. This Handbook outlines the necessary steps for a grant to proceed from concept to award, and was written to be of assistance to both novice and experienced grant writers.

Mission of the Sonoma County Junior College District

Sonoma County Junior College District's Mission is to promote student learning throughout our diverse communities by increasing the knowledge, improving the skills and enhancing the lives of those who participate in our programs and enroll in our courses.

This Mission affirms the District's responsibility to provide the following:

- Lower division academic education, to support transfer to four-year institutions
- Career and technical education, to support economic development and job growth
- Basic skills, to include English language skills acquisition
- Student and academic support services, to improve student success and student retention

Further information, including SRJC's Vision and current College Initiatives can be found on the district's planning website: planning.santarosa.edu

Overview: Policies and Procedures

All proposals which use the name and resources of the Sonoma County Junior College District/Santa Rosa Junior College must adhere to district policies and procedures for submitting a proposal, accepting an award and administering the project. The President/Superintendent is the authorizing official to commit the District in all related matters involving grants and sponsored programs

The first step is to discuss your grant proposal ideas with your Dean and/or supervising administrator.

This Handbook will provide information on further steps, including:

- Basic grant-writing information.
- Setting up a budget should your grant be awarded.
- Obtaining approval from the board of trustees to submit a grant proposal (utilizing the district's "Notification of Grant/Program Application" form, included in the appendix to this Handbook).
- Information to expedite the hiring process should your grant be awarded (see the "Grant Personnel Summary Sheet" form in the appendix to this handbook).

Overview: Role of Supervising Administrator

- Become familiar with the grant requirements.
- Support the grant writer (and department chair, where applicable) in their grant writing efforts by helping them navigate the district grant application process, and by facilitating introductions and connections with appropriate departments, as necessary.
- Ensure that district-wide policies and procedures regarding grant acquisitions are being adhered to.

Overview: Role of Dean, Instruction and Special Project Development

- Coordinate with President/ Component Administrators annual calendar of Federal funding opportunities.
- Serve as a resource to support grant writers and successful grant program managers.
- Coordinate grant development work groups, to develop future proposal projects in partnership with Component Administrators and Hannover Consulting.
- Assist Accounting department with grant-related board agenda items, and monitor the progression of all district grants from proposal to conclusion.
- Promote grant-writing on campus by providing grant-writing training and developing and refining strategies and procedures conducive to effective grant management.
- Coordinate with IT the implementation of Grant Development Website/On line Tool Kit.

Overview: Role of Grant Applicant

- Consult with Dean and/or Supervising Administrator and the Accounting Office.
- Carefully review grant requirements and consult with appropriate personnel to ensure the District can meet the requirements.
- Prepare grant proposal with attention to needed signatures and deadlines.
- Facilitate the achievement of grant goals and objectives as described in the proposal. Keep accurate and detailed budget information in conjunction with the Accounting Office.
- Ensure that grant funds are expended appropriately according to federal and state regulations and the conditions of the grant.
- Ensure that requested reports are submitted to the funding agency and/or college on time.

II. **Proposal Preparation Fact Sheet**

The following information is to be used in the preparation of proposal cover sheets, application packets, budgets, certifications and other forms. If you have any questions, please contact your Dean or Supervising Administrator.

Application Organization

Sonoma County Junior College District
Santa Rosa Junior College
1501 Mendocino Ave.
Santa Rosa, CA
95401

Type of Organization

Public, 2 year
Educational Institution
Public Institution of Higher Education
Tax Exempt under IRC 170
Sonoma County Junior College District is not a 501c3
Santa Rosa Junior College Foundation is a 501c3

Official authorized signatory for applicant organization:*

Dr. Frank Chong, President/ Superintendent
Sonoma County Junior College District

Name of administrative official to be notified if award is made:

Accounting Office

Taxpayer or Employer Identification number (TIN/EIN):

94-6033759

DUNS Number (Data Universal Numbering System):

020020533

OPE number (Office of Postsecondary Education Identifier):

00128700

Is the application subject to review by state under Executive order 12372 Process?

The answer is:

Program is subject to E.O. 12372 but has not been selected by the State for review.

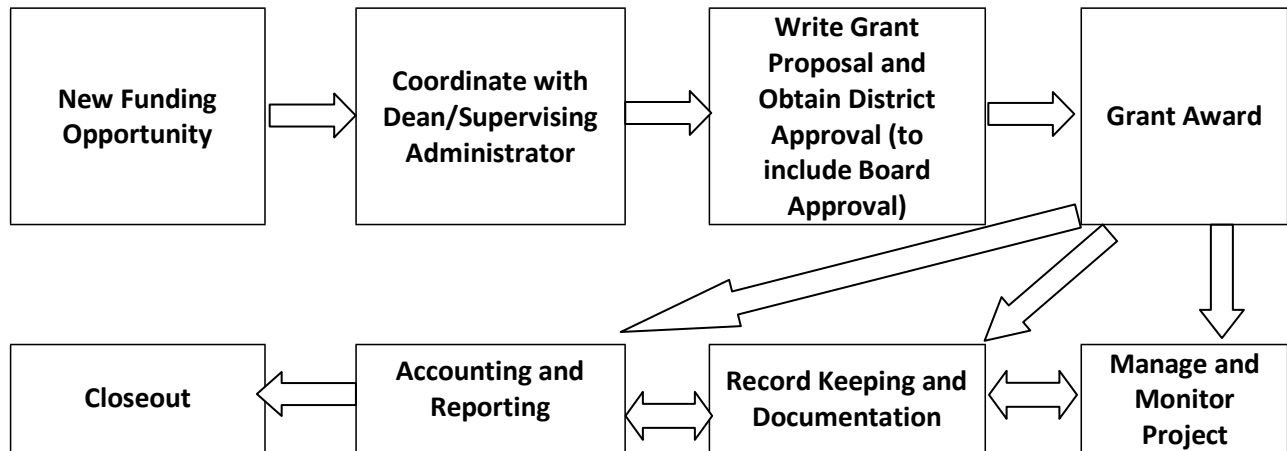
Facilities and Administrative Costs (F& A or Indirect Costs)

For Federal applications please contact the Budget Coordinator in the Accounting Office. The District has a negotiated Indirect Rate which is reviewed periodically by the Department of Health and Human Services. This rate is used for all Federal grant submissions unless another rate is specified in the funding announcement.

III. Life Cycle of a Grant

There are many phases in the life cycle of a grant. This Grant Writing Handbook will guide you through the process of submitting a grant application, focusing on the first three phases in the diagram below.

Life Cycle of a Grant Award



IV. SCJCD Application Pre-Approval Process

All grants must receive district approval prior to submission of application. To facilitate and streamline this process, a “Notification of Grant/Program Application” form was created to provide necessary information for approval (see appendix). The grant writer should consult with their Dean/Supervising Administrator, the Accounting Department, and other appropriate district functions and personnel (as indicated on the form) to provide the information requested. The Accounting Department may be especially helpful with matching funds and indirect expense portion of the application.

After the “Notification of Grant/Program Application” form is complete (including all necessary signatures), it should be forwarded to the Accounting Office with a copy to the Dean of Instruction and Strategic Program Development. Accounting will prepare the board agenda item to obtain final approval for the grant application from the Board of Trustees.

In the unusual instance that there is not enough time to obtain prior board approval, grant applications may go forward under the following conditions: 1) due diligence is given to following the process in as timely a manner as possible, 2) component administrator approval is obtained, and 3) It is understood that the application may need to be withdrawn should it not be approved by the board.

V. Common Grant Proposal Components and Tips for Grant Writing

Each grant proposal has its own set of set of components, requirements, and framework for sequence and content. While the format will vary from one funder to another (what the local Rotary Club asks for will be significantly different from a federal grant) certain components are basic and commonly appear in grant applications. This section is designed to give you some idea of the most common sections included in a grant application:

- Project Summary/Abstract
- Needs Statement/Statement of Problem
- Description of Applicant
- Project Narrative (including information about your department and Santa Rosa Junior College)
- Project Goals and Objectives
- Action Plan/ Description of Methodology
- Project Timeline
- Sustainability of Project (after grantor funding ends)
- Personnel
- Evaluation Process
- Budget
- Facilities and Resources

Always follow the grantor's cues, instructions and questions for each section (they are sometimes as specific as asking for certain font sizes and margins). Often the instructions indicate a point value system -- note the number of points to be awarded for each section of the grant proposal. Focus your attention on the sections that have the highest point total. Also be sure to keep within the guidelines for the length of each section, sometimes denoted by the number of words or pages. Grant readers do not like to read tomes if they are asking for one page answers.

Project Summary/Abstract

Usually not more than one page in length, the summary should generally include a brief statement of the issue to be addressed, the projects goals and objectives, the methods to be employed to achieve the goals, and the potential impact or significance of the proposed activity to the advancement of knowledge or education. This is likely to be the first section read so use this opportunity to engage the reader and unless noted aim it at someone with a basic familiarity with your field.

Need Statement/Statement of Problem

Although the grantor is probably aware of the general need for projects addressing specific issues (otherwise they would not be requesting focused proposals) it is still necessary for you to make your case as to why the program, services, or research you are proposing is needed at this time at our District. You should convince the grantor that there is a verifiable need for the activities described in the rest of your proposal. As the writer of this proposal you are probably already familiar with issues that need to be addressed and sources of information or research that will support your claims. Be sure to draw on, and cite those sources as it will give your proposal credibility. For specific information about

our community and our district you may find SRJC's Fact Book a useful resource
fact-book.santarosa.edu

Description of Applicant (sometimes included in the Project Narrative)

It is not uncommon for the funder to ask you to familiarize them with your department and SRJC. As they are likely to be located out of our area assume they do not know anything about us. You may want to use the following description for Santa Rosa Junior College (adapted from our catalog):

Santa Rosa Junior College (SRJC), founded in 1918, is the tenth oldest two-year community college in California's 112 publicly funded community college system. From its initial freshman class of 19 students, SRJC has grown to be one of the largest single college districts in the country, the Sonoma County Junior College District.

With 14 major high school districts in its borders, SRJC's district encompasses more than 1,600 square miles, stretching from the southern portion of Mendocino County in the north to the northern tip of Marin County in the south. It is bordered to the west by the Pacific Ocean and to the east by Napa and Lake Counties.

The District operates two campuses in Sonoma County: a 100+-acre campus in the heart of Santa Rosa, and a 40-acre campus in Petaluma. The District also operates a regional Public Safety Training Center in Windsor and a 365-acre self-supporting farm near Forestville. Each semester classes are also offered at more than 100 locations throughout the District.

SRJC offers a strong general education program for students planning to transfer to four-year colleges and universities and more than 160 Career Technical Education programs designed to prepare students for careers in the workforce. The College grants both Associate in Arts (A.A.) and Associate in Sciences (A.S.) degrees. The Sonoma County Junior College District serves approximately 30,000 students each semester, attracting students from throughout the state as well as from over 40 countries around the world.

Frequently funders ask for a demographic profile of our area, our school, and the target population of your proposal. You can find useful information in the [SRJC Fact Book](#) (see above) and your department profiles used in your latest PRPP. Be sure to reference the most recent Fact Book as the data changes annually.

Project Narrative (Description)

This is likely to be the principal part of the proposal and could have several sections. Here you should give a detailed statement of the work you will do if funded. You are likely to be asked what you will do, how you will do it, and the advances that are expected as a result of their funding your project.

Goals and Objectives

Goals should reflect and address the need you have previously defined. It is not uncommon to have some confusion about the difference between goals and objectives. In general, goals usually broadly define the issue that will be addressed and the objectives are more specific, measurable benchmarks that will be addressed and accomplished. Not all grant applications will use the terms “goals.”

Action Plan or Methodology

This is where the goals are linked with the actions of the grant. The proposal writer must carefully detail why they are doing this (goal), with the timeline, the outcome, and the person or group responsible for carrying this out. This is frequently a chart or table that could look something like this:

EXAMPLE: Staff Training Grant Proposal

Goal 1. Increase the enrollment of underserved populations in our department.

Objective	Action	Expected Outcome	Date	Person(s) Responsible
1. Complete Outreach to underserved population.	Hold 10 informational workshops and informal gatherings in the community.	Addition of 50 new participants from the targeted group.	Completed by November 2012	Dean, Outreach and Community Relations Minister of Information

Project Timeline

The funder may ask for a specific timeline of events but it should probably also be mentioned in the project narrative and/or the plan of action. It should specify the dates for beginning and completion of all activities or tasks in their sequence.

Sustainability (after the grant ends)

Grantors frequently want to know that the work they are funding will continue after the grant ends. This can be difficult because if you knew where the funds were in-house for the project you probably would have already tried to access them. So be creative and think of ways to continue the project. You may want to reference that you anticipate the work will become “institutionalized.”

Personnel

Some grants will involve the hiring of new personnel and/or the reassignment of current employees. If this is the case work closely with your supervisor or dean and the Human Resources department so that you can convey to the funder how your project will be staffed in accordance with district policies. Because grants can be funded with an expectation of a quick start date and the district’s employment policies are complex it is crucial that you begin working on this aspect of the grant early in the process. If your grant will involve the hiring or reassignment of staff you should fill out a Grant Staffing Summary Sheet (see appendix) along with your Notification of Grant/Program Application. If personnel costs and information is required as a matching component, please work with the Accounting Department. They

can help with ascertaining accurate costs and ensure that personnel are not already used as match elsewhere.

The personnel section of the proposal, if included, should convince the reviewers that the project team members have the expertise to conduct the proposed activities. A brief description of each team member could be prepared indicating her or his professional experience and how he or she will contribute to the project.

Evaluation

Most project oriented grants will require an evaluation at the end. In this section lay out how you will judge the success of the project. Whenever possible use quantifiable data. Unless otherwise required use in-house resources such as the Office of Institutional Research. When you use an in-house resource for evaluation it may entail costs that should be included in your projected budget.

Budget and Budget Justification

Every grant will require a budget that will show the funder how you intend to spend the money they give you. This is a critical part of the application as they will want to see that their funds are used wisely.

It is important to keep in mind that upon submission of the proposal, the budget becomes a commitment on the part of the District to perform the work at the proposed costs. Sometimes this is negotiable (by both sides) both prior to and after signing the grant. It is critical that you review the application materials and guidelines provided by the sponsor. Sometimes they include specific forms with the categories pre-selected and sometimes it is left to you to determine the format. In addition to the budget they also are likely to ask for an explanation for each expenditure as to why the funds are being used in this manner or how the amount was determined. A sample of a grant budget and narrative where no form was included can be found in the appendices.

The total budget should reflect all the costs associated with the project including:

- Salaries by category or employee
- Release time (if called for and pre-approved)
- Benefits
- Consultants
- Travel
- Contracts
- Equipment
- Supplies
- Computers
- Evaluation costs
- Indirect expense, if allowed
- Any other items

This section should be prepared carefully as mistakes could lead to a poor score from reviewers and/or an unacceptable liability to the district if costs are underestimated. It is important to note what the district is obligated to cover through the grant even after the end of the grant period. For example

sometimes equipment purchased with grant funds must be returned to the grantor when the project ends.

There are some terms that are important to understand well when writing grants: **district contribution/match, in-kind contribution, indirect costs and direct costs.**

- **District contribution/match.** Some grant proposals require a match before funding a proposal, and the amount of match will vary. The district contribution/match is the amount of cash or in-kind the district is expected to pay in support of grant activities.
- **In-kind contribution** is a non-monetary contribution of equipment, supplies, space, staff time, etc. provided by the grantee to meet cost-sharing requirements. The amount of in-kind may be limited by the funding source.
- **Indirect costs** are the costs of doing business for the district that are not readily attributable to the grant project but are necessary for the operation of the institution and the implementation of the grant project. Indirect costs usually include: accounting, budgeting, payroll preparation, human resources, general administrative salaries, utilities, and custodial, etc. The funding source usually limits the amount to be claimed as indirect costs as a percentage of the total grant. If indirect costs are allowed but not specified, work with your dean or supervisor and business services to determine the appropriate amount to charge the funder. ***It is in the best interest of the district to maximize this rate whenever possible.***
- **Direct costs** are expenses that are attributable to the operation of a project and that are itemized by categories specified as allowable under the grant or contract. Examples of direct costs include program personnel salary and benefits, supplies, travel, equipment, evaluation costs, etc.

The SRJC Accounting Department has specified staff that work with a myriad of grant or “categorical” programs and they can provide you with assistance in putting the budget together in a manner that will work for your proposal. They have a great deal of experience in working with the budgets of many different types of grants (federal, state, local, private foundation) and can be very helpful. Keep in mind that once the grant is accepted the budget will need to be set up in the district’s accounting system. This means the assignment of all the appropriate budget codes.

Facilities and Resources

The emphasis in this section of the application should be on the institutional facilities and resources that are required and beneficial to the project. Facilities and resources such as planning and programming, space requirements, physical location, required staffing, facilities support, media and computer/phone equipment, any special technology support, safety, security, and collaborations and partnerships which will be required and described in the proposal. The information provided is used by reviewers to assess the adequacy of the institutional facilities and resources available for performance of the work to fulfill the proposed requirements.

VI. Grant Post-Award Process

When you receive notification that you have been awarded a grant (congratulations!) you should notify the accounting office. The contract/award will be signed by the Vice-President, Business Services or the President/Superintendent or designee. It should never be signed solely by the project manager. This signed contract now binds the district to certain obligations and, as such can only be signed by them. The award notification will most likely set forth all the terms conditions of the grant. This should be considered a contract wherein we promise to abide by their rules and spend the funds on what we had proposed to them. The terms and conditions are likely to include the following information:

- Agency Award Number
- Award Period
- Award Amount
- Grant Manager
- Terms of Acceptance
- An Authorized Signature

Copies of the grant award should be kept in your office area and be sent to the Accounting Office.

Setting Up the Budget

Once the award has been executed by both the district and the funder you should work with our Accounting Office's budget coordinator to set up the budget and assign budget codes. From this point on all appropriate charges should be charged off specifically to this account. Also be sure to inform the Accounting Office of reporting dates to the funder.

Reports

The grant manager is responsible for transmitting all required project report(s) to the funder, unless otherwise dictated by the grant guidelines. Reporting periods will vary according to the funder's wishes but may be on a monthly, quarterly, bi-annual or annual basis. Usually these reports will include both a narrative of activities and a report on expenditures to date. Contact the Accounting Office at least two weeks prior to the report due date to coordinate the submission of the report.

Project Closeout

In most cases your final report to the funder will close out the project. Be sure to check in again with the accounting office and make arrangements to either return any unspent funds or set up an accounts receivable with them if necessary.

VII. Appendix

- a. Notification of Grant/Program Application (SRJC form)
- b. Grant Staffing Summary Sheet (SRJC form)
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