



## **Office of Grants/Sponsored Programs**

GRANTS AND CONTRACTS:  
PRACTICES AND PROCEDURES

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## **QUEENSBOROUGH COMMUNITY COLLEGE GRANTS AND CONTRACTS: PRACTICES AND PROCEDURES**

The Office of Grants/Sponsored Programs is Queensborough Community College's (QCC's) centralized entity for coordinating the development, submission and reporting of all grants and contracts. The Grants Office provides technical assistance to QCC's faculty, staff and administration who are seeking to obtain grant funding for projects that further the College's mission and goals. Technical assistance includes the following services:

### **Pre-award Services:**

- Identifying potential sources of grant funding;
- Reviewing the grant sponsor's eligibility and funding guidelines;
- Providing samples of funded proposals, when available;
- Drafting institutional narrative section(s);
- Assisting with budget development, including calculating indirect costs, released time and summer salary;
- Guiding the establishment of timelines for hiring staff and purchasing services, supplies and/or equipment;
- Assisting with the creation of job descriptions;
- Identifying cost sharing requirements/options;
- Organizing and formatting the proposal to meet grant sponsor requirements;
- Obtaining institutional approval/signatures; and
- Assisting with electronic and/or hard copy proposal submission.

### **Post-award Services:**

- Providing newly funded Principal Investigators/Project Directors and their Supervisors with a customized orientation as to their responsibilities for grants management and grants compliance;
- Providing information and technical assistance with respect to fiscal administration, processing fiscal transactions, hiring of grant personnel and purchasing services, supplies and/or equipment;
- Coordinating submissions of budget and program modifications;
- Reviewing the schedule of budget expenditures on a quarterly basis;
- Consulting with Principal Investigators/Project Directors and their department chairs or supervisors to prevent problems via ongoing communication, including annual grant meetings;
- Assisting with the preparation of all interim and final program reports that are required by the funding source; and
- Serving as QCC's official liaison with the Research Foundation of the City University of New York (CUNY)<sup>1</sup>, as well as with grant funding sources.

Providing services to the QCC community on both a pre-award and a post-award basis, the Grants Office serves as the ombudsman for grant applicants, as well as their department chairs or supervisors, when administrative issues arise within the College, or with the funding source.

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<sup>1</sup> The Research Foundation of the City University of New York (RFCUNY) is a not-for-profit educational corporation that manages private and government sponsored programs at The City University of New York (CUNY). Since 1963, RFCUNY has provided CUNY (and non-CUNY clients more recently) with the administrative infrastructure that supports sponsored program activities.

## 1.0 PRE-AWARD SERVICES

### 1.1 Initiating the Project

It is never too early to begin discussing a need for grant funding, or a project that could be a candidate for grant funding, with QCC's Grants Office.

#### **Spotlight: Specific Responsibilities of the PI and/or Co-PI**

These responsibilities apply whether QCC is the lead grant applicant **or** a sub recipient.

- At the first phase of contemplating grant funding is to contact the Grants Office.
- Create a work plan to manage submission and meet with the Grants Office on proposal components (6 months in advance for institutional grants like Title V, Perkins, FIPSE or state/federal government grants); (2-3 months in advance for other external funders such as private or corporate foundations).
- Submit a *Grant Proposal Information Form* (see Attachment #1) for QCC Cabinet review as soon as possible, preferably 8 weeks in advance of the grant deadline. The College cannot guarantee review or approval of last minute submissions.
- Follow the funding source's guidelines for organizing and formatting the proposal. If no guidelines are provided, the Grants Office will provide a template for you to follow.
- Write renewal and/or new proposals if funding is available

The Principal Investigator/Project Director/Grant Applicant initiates the grant development process by contacting the Grants Office. **To reiterate, it is never too soon to contact the Grants Office. Contact should be made as soon as you have an interest in seeking grant funding.**

The next step is to **fully** complete QCC's *Grant Proposal Information form* (see Attachment #1) and submit it to the Office of Grants/Sponsored Programs. Upon receipt of a completed form, the Grants Office submits it to the President's Cabinet for review and approval.

Grants, including academic research grants by faculty, are awarded ("granted") to the College, rather than to an individual. Cabinet review includes the requirements for the use of college space and resources, policy compliance, the development of new initiatives associated with the College's name, the relationship to other grants or grant proposals, obligations after the grant funding has ended, and to assure sufficient funds have been allocated in the proposed budget to support the grant activities. Cabinet review also ensures that the project is consistent with institutional mission and priorities. When reviewing faculty academic grants, the cabinet only considers the impact the project might have on college resources; the intellectual merit of the proposal and alignment with institutional goals are not subject to review.

## 1.2 Identifying Funding Sources

- QCC's Grants Office can access updated information about federal, state and local government funding sources, as well as corporate and private foundation funders to assist with locating funding opportunities;
- Conducting searches via COS Pivot, a grants database, and training faculty and staff to conduct searches in their respective areas of interest;
- Participating in grant-related list serves; and
- Monitoring websites such as Grants.gov, the National Science Foundation, the Foundation Center, the *Community College Times* and the American Association of Community Colleges.

Funding opportunity announcements are regularly sent to faculty, staff and administrators. Individualized notices are also sent to faculty and staff when relevant funding opportunities are identified in connection to their expressed interest(s).

Grant seekers are encouraged to contact the Grants Office for assistance with conducting a customized search for potential sources of grant funding. The Grants Office maintains an ongoing "wish list" of expressed needs for grant and/or supplemental funding, and notifies appropriate faculty, staff or departments of upcoming funding opportunities.

## 1.3 Drafting the Grant Narrative

Applicants interested in submitting a grant proposal are strongly encouraged to meet with the Grants Office ***before*** they begin drafting the proposal. As a general rule, applicants should expect to devote approximately six (6) months of planning for a federal grant submission and two (2) to three (3) months of planning for a grant submission to a local funding source, a state funding source or a private foundation. Funding sources are increasingly requiring data to support their funding decisions and, as such, customized reports may have to be developed and/or requested from various departments and offices on campus.

Capital improvement grants or equipment grants that involve the modification of existing QCC facilities require a substantial amount of lead time, which will vary according to the scope of the project. Both CUNY-mandated procedures as well as DASNY (Dormitory Authority State of New York) mandated procedures must be followed in the planning, procurement and implementation phases of any proposed facility modification, regardless of the project sponsor and/or whether the work will be performed by independent contractors or in-house staff.

In most capital construction projects, the College must advance the funds and then be reimbursed once the receipts are submitted and work is completed, or equipment received. When drafting the grant narrative, the applicant is advised to follow the grant sponsor's guidelines for organizing and formatting the proposal. If no guidelines are available, applicants are encouraged to consider organizing their narrative with the following sections:

- Abstract (no more than one page);
- Introduction to QCC (consult with Grants Office and/or access College website);
- Need/Rationale section;
- Project Description;

- Identification of measurable outcomes;
- Project Timeline – a chart indicating the specific activities, timelines for implementation, person(s) responsible and measurable outcomes;
- Staffing Plan, inclusive of job descriptions resumes and an organizational chart;
- Evaluation Plan;
- Line item budget with detailed explanation/justification and narrative.

If grant writing assistance is needed, applicants are encouraged to contact the Grants Office well in advance of the grant sponsor's submission deadline. Although the Grants Office can and does provide assistance with the writing and the budget calculations, the writing of the proposal is the responsibility of the designated Principal Investigator/Project Director.

Grant funds may NOT be used to retroactively pay faculty or staff for work done prior to the official start date of the grant project period, nor can they be used to pay for work done (or supplies/equipment received) after the grant project period has ended. Grant funds may only be used to pay for services rendered or supplies/equipment obtained during the grant project period of performance.

Grant funds must be allocated to cover employment costs, including annual leave. **It is the Research Foundation's and QCC's policy that all grant-sponsored employees take annual leave days during the grant project period in which they are accrued.** Grant budgets cannot accommodate cash payouts for annual leave balances that are carried over from one grant project period to another. Principal Investigators/Project Directors are responsible for scheduling and monitoring annual leave time for full- and part-time employees paid by the grant to ensure that annual leave is taken during the grant period in which it is accrued.

#### **1.4 Preparing the Grant Budget**

The Grants Office is available to assist grant applicants with developing a budget for the proposed project.

As a first step in budget preparation, applicants are encouraged to read through the grant narrative and assign costs to each and every activity that is referenced in terms of personnel and operating costs. QCC requires a detailed breakdown of budget costs even if the funding source only requires a summary budget.

**Release Time:** If a grant applicant is seeking release time for him/herself, or any faculty involved in the proposed project, all individuals must be identified along with the amount of release time and the semester(s)/years in which the release time will occur. Applicants must use QCC's *Release Time Request* form (see Attachment #3) to obtain written approval from both their department chairperson and the Vice President for Academic Affairs for all faculty requests for released time.

**Cost Sharing/Matching Costs:** If the funding source **requires** cost sharing or matching costs and a grant applicant is expecting and/or seeking additional budgetary support from the College, either in cash or in-kind services, written approval must be obtained by using QCC's *Cost Sharing Request* form (see Attachment #4.)

As per Federal regulations, cost sharing must meet the same criteria as costs that are directly charged to grant funds, i.e., all costs must be reasonable, appropriate and allocable, and they must be allowable within the program in question.

If any narrative section of the proposal (proposal narrative, budget justification, letters of support, etc.) includes a quantified cost sharing commitment, this is considered “*Voluntary Committed Cost Sharing*” and must also be tracked. QCC policy requires that cost-sharing may only be included in a grant proposal when it is an explicit requirement of the funding source (known as “*Mandatory Cost Sharing*”). Exceptions to this policy must be specifically requested from, and approved by, the Development Grants Office Director, the divisional Vice President to whom the PI/Project Director reports and the Vice President for Finance and Administration.

Any and all cost sharing (also known as matching funds) must be documented, verified and approved prior to submitting the grant application.

**Indirect Costs:** If the funding source mandates an indirect cost rate that is less than the College’s federally approved indirect cost rate, the net reduction in indirect costs will be counted as cost-sharing if, and only if, allowed by the funding source’s guidelines.

It is QCC’s policy to maximize indirect cost recovery (also known as the Facilities and Administrative (F& A) rate) to the extent allowable by the funding source and permitted by the College’s federally approved indirect cost rate.

QCC’s federally approved indirect cost rate is 44.7% of salaries, wages and benefits. If more than half of the project’s activities are to be performed off campus, the rate is 21.1%. Either rate is calculated only on the subtotal of wages, salaries and benefits; not the total of all direct project costs.

All grants received by CUNY colleges from outside sponsors are processed through the Research Foundation of CUNY as the fiscal agent. The RF is responsible for the fiscal management of the grant and QCC pays fees to the RF to cover these management costs. In some cases, the funding source does not allow inclusion of indirect costs, or a sponsor may have a mandated cap for indirect cost recovery that is lower than the RF’s fee structure. The College retains indirect costs recovered above and beyond the Research Foundation fees.

## **1.5 Campus Space, Equipment and Information Technology Considerations**

**Technology:** If grant applicants are planning to purchase and/or install any computer equipment, peripherals or software for office use, they must consult with QCC’s Executive Director of the Office of Informational Technology and complete the College’s *Computer/Software Acknowledgement* form (see Attachment #5.) If grant applicants are planning to purchase computers for student use and/or to establish computer labs, they should also consult with the Director of the Academic Computing Center. Consultation is necessary to ensure that the proposed purchases can be supported and maintained by the College’s systems and staff.

Site selection and development of equipment specifications for an instructional technology project must consider and include accommodations that meet Americans with Disabilities Act (ADA) requirements. Applicants should consult with the Director of Services for Students with

Disabilities and the Director of Academic Computing Center on ADA compliance issues regarding technology and the Director of Campus Facilities for ADA code compliance.

**Equipment:** If a grant applicant is planning to install any equipment, such as copiers or printers, he or she must consult with the Office of the Vice President for Finance and Administration to ensure that installation, operational and space issues are considered.

Consultation is also necessary for all projects that need dedicated campus space and/or require renovations to campus facilities. This is necessary due to the College's aging infrastructure. For example, if an applicant is requesting to purchase equipment, the College needs to be sure that the space has the necessary electrical outlets/power to accommodate such equipment and the College must also know if the equipment requires specifications for temperature, humidity controls, etc. Additionally, equipment often has to be placed on tables or countertops and the college must determine if the existing space configuration allows for additional furniture and/or if existing furniture can be reallocated for this purpose. Further, the College must plan for maintenance costs to be included in the tax levy budget once the grant project ends.

**Campus Space:** There are CUNY requirements and procedures to be followed in the procurement and implementation of facility improvements, and *any* proposed modification, regardless of the funding source, must be reviewed and approved by CUNY's Office of Facilities Planning, Construction and Management. To initiate if the grant applicant plans such modification they must complete and submit *Renovations/Space Acknowledgement* form (see Attachment # 6). This will support College-wide communication and planning, the Grants Office will then forward the form to the Office of the Vice President for Finance and Administration for review and response.

## **1.6 Research Compliance**

Any research project that involves the use of human subjects must be reviewed, and approved, by the Institutional Review Board (IRB.) In 2011, CUNY reorganized its oversight of human subject research activities. As a result, this function is managed by the *CUNY Human Research Protection Program* (HRPP), a CUNY-wide system that is responsible for the protection of the rights and welfare of human subjects in research projects conducted at CUNY or by CUNY faculty, staff and students and RF CUNY staff. HRPP provides oversight, administrative support and educational training to ensure that all research conducted at a CUNY site is conducted in an ethical manner and complies with all regulatory requirements.

More information regarding HRPP policies and guidelines can be found at the *CUNY Human Subjects Research Site* (<http://www.cuny.edu/research/compliance/human-subjects-research-1.html>). You may also contact the QCC IRB HRPP Coordinator by visiting the QCC Institutional Review Board site (<http://www.qcc.cuny.edu/IRB/>).

All QCC PIs/Project Directors and other key personnel who are involved in research are also required by federal regulations to receive education on the Responsible Conduct of Research (RCR). To help researchers meet this requirement, CUNY subscribes to the "Collaborative Institutional Training Initiative's" (CITI) on-line research compliance courses ([www.citiprogram.org](http://www.citiprogram.org)). These courses focus on the following areas: Responsible Conduct of Research, Protection of Human Subjects, Care and Use of Animals and Conflict of Interest. Information about the training you are required to complete can be found at "Training

and Education” page on CUNY’s *Research Compliance* site <http://www.cuny.edu/research/compliance/training-education.html>. You may also contact the College’s Research Integrity Officer (RIO) with questions about RCR training and compliance.

### **1.7 Internal Review Process**

The internal review process at QCC consists of both program and fiscal reviews to ensure that all activities contained in the grant proposal are consistent with the funding source’s guidelines. In addition, these reviews evaluate the impact on College space and other resources.

The applicant is responsible for ensuring that all appropriate and/or relevant parties have been consulted on the project. The Grants Office will help the applicant ensure that all necessary formal institutional approvals are obtained.

The Grants Office recognizes that the complexity and the completeness of applicants’ grant proposals will vary. The Office is available to assist grant applicants in completing proposals and budgets and/or obtaining necessary supporting documentation. In these cases, applicants should contact the Office of Grants/Sponsored Programs at least eight (8) weeks prior to the submission deadline. However, in general, **to guarantee proposal submission in accordance with external funding sources’ deadline dates, applicants should plan to submit the fully completed proposal (both a hard copy and an electronic copy) inclusive of budget detail, appendices and any and all supporting documentation (fully completed and signed) to the Grants Office at least two (2) weeks prior to the application deadline.**

[Note: For PSC-CUNY grants, complete proposals need only be submitted two (2) weeks in advance of the submission deadline.]

If, for some reason, the applicant cannot meet these deadlines, it is the applicant’s responsibility to communicate with the Grants Office and negotiate a revised deadline so as not to jeopardize the grant’s submission deadline.

The Grants Office will also work with the grant applicant to make any necessary modifications to the proposal and/or budget to conform to the requirements, standards and policies of the grant sponsor, the College and, when appropriate, the Research Foundation of CUNY.

### **1.8 Submission of Grant Proposals**

The Grants Office is the authorized entity to function as the designated liaison between the grant applicant and the signatory authority of the College, specifically the President, for institutional sign-off of the grant proposal. Upon approval and signature, the Grants Office submits the grant application to the funding source and a signed copy is simultaneously sent to the grant applicant. The Grants Office also maintains a copy of the proposal as part of the College’s centralized recordkeeping responsibilities.

For electronic submissions, the grant applicant should coordinate with the Grants Office for user identification codes and approvals prior to the due date for submission.

### **1.9 Follow-up on Proposal Submissions**

Grant applicants may communicate with the funding source's program officer to track the proposal's funding status if the program guidelines allow it. The Grants Office is available to assist with this process if necessary.

### **1.10 Notification of Awards/Rejections**

Once the funding source has either funded or declined the proposal, the Grants Office notifies the grant applicant and his/her supervisor/department chair. If the applicant is notified directly by the funding source, it is his/her responsibility to notify the Grants Office.

If a proposal is funded, the funding sources may request revisions to the budget and/or the scope of work. Such revisions are often required prior to issuing any written confirmation of the grant award. Grant applicants must coordinate with the Grants Office on revisions to the budget or scope of work following notification from the funding source. If any changes are made in the areas described in Section 1.4 Indirect Costs, applicants should again undertake the College review, approval and signature processes described in Section 1.7.

If a grant application is rejected, the Grants Office, in partnership with the grant applicant, will contact the grant sponsor to discuss the reasons for the rejection. In some cases, the funding source will provide written explanations and/or copies of the reviewer's comments and rankings for the purpose of refining the application if the grant applicant wishes to resubmit in the future.

A grant applicant may request that QCC appeal the funding decision. All requests for appeals should be submitted in writing, either in hard copy or electronically, to the Grants Office within one (1) week of receipt of the funding source's explanation for the rejection and must include the grounds for the appeal. All requests to appeal will be forwarded to the Vice President for Pre-College, Continuing Education, Workforce Development & Sponsored Programs for review and approval by the President's Cabinet prior to appealing any decision.

### **1.11 Press and Publicity for New Grant Awards**

When a grant proposal is funded, the Grants Office will work with the new Principal Investigator/Project Director and the College's Office of Marketing and Communications to develop a press release that will inform the media of the new award. Such announcements may also appear on QCC's website, social media accounts, etc. The Office of Marketing and Communications is available to take a photograph of the Principal Investor/Project Director to accompany the release.

Please note that many funding sources have their own guidelines for wording press releases that announce their grant awards and/or announce accomplishments as well as guidelines for the use of their logo(s). In most cases, the funding source will either require prior approval, or prefer approval, of any press release before it is issued. It is essential to contact the funding source about their requirements for developing a press release as quickly as possible following an award if the funding source has not already indicated their requirements in the official award letter. Award publicity is very important to funders and it is critical that we follow guidelines for providing adequate credit to sponsors of the college's grant funded awards.

## 2.0 POST- AWARD SERVICES

### **Spotlight: Specific Responsibilities of the PI and/or Co-PI**

- Process the grant's fiscal transactions through the Research Foundation;
- Monitor progress toward goals, objectives and measurable outcomes in accordance with the grant's timelines;
- Provide advance notification to the Grants Office if a current or a potential funding source is planning to schedule, or has scheduled, a site visit;
- Coordinate all grant publicity with the Grants Office and the Office of Marketing and Communications;
- Coordinate with, and follow the Grants Office procedures for, approval of student eligibility for stipends/scholarships/fellowships prior to disbursing any funding;
- Ensure adherence to all internal and funding source deadlines;
- Track and document any and all matching costs listed in the budget;
- Execute funding source's mandates for timely financial and programmatic reporting, both interim and final closeout. All required reports should be submitted to the Grants office one week in advance of the due date to the funding source;
- Write renewal and/or new proposals if funding is available.

### **2.1 Advance of Grant Funds**

Funding sources generally reimburse project-related expenses after they are incurred and receive official documentation for the expense. In some cases grant proceeds may not be accessible until a formal contract is executed with the grant sponsor. Therefore, the Principal Investigator/Project Director may request an *Advance of Grant Funds* to establish a grant account that will cover project expenses incurred during the period between the grant sponsor's formal notification of the award and the point when grant proceeds are available (the grant project period of performance will have already been established). When making such a request, the PI/Project Director should use QCC's *Request for Advance of Grant Funds* form (see Attachment #7.)

Advance requests will only be authorized when the following conditions are met:

- when complete copies of the submitted proposal, line item budget and any

budget modifications are on file with the Grants Office, and

- when the Grants Office has received formal confirmation of the grant award from the funding source that indicates the grant project period start and end date, and the dollar amount of the award. If written confirmation cannot be obtained, the President has the discretion to allow the Grants Office to obtain verbal confirmation from the funding source.

An advance may only be used to support the following project expenditures:

- project expenditures made within the start and end dates of the grant period, as specified in the formal award notification [expenditures made either before or after the grant period's start and end dates will not be approved unless there is written confirmation that such expenditures are allowed by the funding source], and
- that are supported by the line-item budget of the grant document.

If the advance request is approved, the Grants Office will contact the Research Foundation of CUNY to request the establishment of a grant account.

The Grants Office routinely follows up with the funding source and/or the Research Foundation of CUNY to obtain signed contracts/agreements on a timely basis. Until the executed grant or contract is received, the account will remain open in accordance with the start and end dates specified in the award. Any extensions of the grant period must be approved, in writing, by the by the funding source.

If the funding source communicates a serious problem with a grant's proposed activities which places the award funding in jeopardy, the appropriate VP may choose to assume the fiscal risk and responsibility for proceeding with the grant activities by submitting *Request for Advance of Grant Funds Without Funding Source Approval* form (see Attachment #8) to the Grants Office. This form requires the appropriate VP to list a non-RF account from which the funds will be guaranteed and its corresponding account number. The VP's signature acknowledges his/her full understanding that these funds may never be recouped.

## **2.2 Project Implementation**

The Principal Investigator/Project Director has primary programmatic and fiscal responsibility to implement and manage the grant-funded project. The practices and procedures of QCC's Grants Office, the funding source and, when applicable, the Research Foundation of CUNY must be followed. The Principal Investigator/Project Director will now be required to meet with Grants Office staff accompanied by their supervisor and/or Vice President, representing their "chain in command." During that meeting, potential compliance issues in grant administration will be flagged.

The initial post-award orientation meeting will consist of a review with the Grant PI(s) and the Grant PI(s)'s supervisors of the funding source's reporting timelines and the Grant PI(s) responsibilities. The Grants Office will assist Principal Investigators/Project Directors to set up a "tickler system" to remind them of upcoming reporting deadlines, review a customized *Compliance Advisory* form (see Attachment #11), created by the

Grants Office to identify areas of the grant administration that require monitoring and compliance. The PI/Project Director, the supervisor and/or divisional Vice President will be required to sign the form acknowledging their understanding of their responsibilities for compliance. The form will be filed in the Grants file within the Grants Office. Throughout the year, Principal Investigators/Project Directors are provided with a schedule of workshops to attend to assist them in fulfilling their responsibilities. They may also choose to schedule 1:1 sessions that cover processing fiscal transactions such as payroll, timesheets and purchasing requisitions.

The Grants Office must be notified, in advance, if a current or a potential funding source is planning to schedule, or has scheduled, a site visit. The Grants Office will inform the College's administration of the visit and can assist in welcoming the funding source to the campus.

### **2.3 Project Monitoring and Compliance**

The Principal Investigator/Project Director has responsibility for monitoring his/her grant project on an ongoing basis. This responsibility includes complying with all the rules and regulations of the grant sponsor, the CUNY Office of Research, the College and the Research Foundation of CUNY when it serves as fiscal agent.

- The use of petty cash on all grant sponsored projects at Queensborough is prohibited.
- The Principal Investigator/Project Director is required to follow the college's policy related to engaging students in grant funded programs that award stipends, scholarships, or fellowships to students. The Grants Office will work with the Office of Student Affairs and the Office of Financial Aid to verify student eligibility for all grant-funded scholarships, fellowships, or stipends. No student should be engaged in a grant-funded project until the student has been approved for participation by the Grants Office. The Principal Investigator/Project Director must complete the Student Eligibility Criteria form (see Attachment #10) and submit it to the Grants Office. Additional documentation will be required of non-CUNY students including transcripts and financial aid documentation supplied by their host campus. Principal Investigator/Project Directors should allow two-three additional months for processing stipends to non-CUNY students.
- During the grant performance period, the Principal Investigator/Grant Project Director is responsible for notifying the Office of Grants/Sponsored Programs of any programmatic or fiscal deviations from the proposal originally approved by the College for submission. To facilitate this, after six months, the Project Director will meet with: his/her supervisor or department chair, the Grants Director and Assistant Grants Director to report on:
  1. Compliance with any potential issues as identified on the *Compliance Advisory* form (see Attachment #11) that was signed during the initial post award orientation session among the Principal Investigator/Grant Project Director, his/her supervisor and the College's Grants Director;
  2. Progress to date in achieving stated goals, objectives and measurable outcomes in accordance with projected timeline;
  3. Expenditure of funds in accordance with proposed budget and project timelines;

4. Problems experienced during the implementation phase and remedies which were put into place to solve the problems; and unresolved issues affecting the implementation timeline and/or completion of stated goals, objectives and outcomes.

## **2.4 GRANT MODIFICATIONS**

All funding sources differ, but most require that the following project modifications receive prior written approval from the funding source, providing they have already received College approval:

- Change in key personnel;
- New line items are added to the budget;
- The total dollar amount of the project budget changes; or
- The scope and/or objectives of the project change.

If prior approval is required by the funding source:

- The Principal Investigator/Project Director should submit the request in accordance with the grant sponsor's format and timelines via the Grants Office; and
- Changes cannot be implemented, nor can funds be reallocated, until the Grants Office receives written confirmation of approval from the funding source.

### **Timelines for Budget Modifications:**

Principal Investigators/Project Directors should consult their grant award documents and/or the grant sponsor's guidelines to determine deadlines for requesting budget modifications. In the absence of any prescribed deadlines, it is recommended that all requests for budget modifications be submitted no later than midway through the grant project period to allow adequate time for review by the funding source and implementation by the Principal Investigator/Project Director. The College reserves the right to disallow requests for budget modifications based on the nature and timeliness of such requests.

To ensure that all program objectives continue to be supported by the grant's line item budget **all budget modifications must be processed through the Grants Office**. If a grant budget is modified, funds cannot be expended against the revised version until approval is obtained from both the College and the funding source.

If cost sharing or matching funds were approved for inclusion in a grant proposal, it is the Principal Investigator's/Project Director's responsibility to track and document any and all matching costs listed in the budget. If a Principal Investigator/Project Director does not anticipate being able to meet a cost-sharing requirement, he or she must notify the Office of Grants/Sponsored Programs immediately.

The Grants Office schedules meetings with the Principal Investigators/Project Directors during the project period, generally midway through the project, to review the status of the project, determine if any budget modifications need to be submitted and devise a plan, if necessary, for the continuation and/or expansion of grant funding.

A final year-end meeting, thirty days prior to the end of the grant project period, is recommended as a “wrap-up” session to ensure compliance with year-end reporting requirements, identify project needs, if any, for the following year, and share how Grant Services at the College could be improved.

## **2.5 Reporting on Grant Awards**

The Principal Investigator/Project Director is responsible for preparing, obtaining internal reviews and submitting all interim and final grant reports that are required by the grant sponsor.

The Principal Investigator/ Project Director must provide a copy of all such reports to his or her department chair and/or supervisor, as well as the Grants Office, for review and approval **prior** to submission to the grant sponsor at least one (1) week prior to the submission deadline. The Grants Office is available to provide assistance with preparing all reports. The Grants Office will submit reports to the funding source on behalf of the Principal Investigator/Project Director if requested.

Although some funding sources do not require submission of final reports until after the project period has ended, it is the College’s policy that - whenever possible - such reports be completed *prior* to the project end date. By completing the final report prior to the project’s end date, the Principal Investigator/Project Director, who may be employed on grant funds, will still be available to prepare the final report. If the Principal Investigator’s/Project Director’s employment ends prior to the preparation of the report, the completion of the final report becomes the responsibility of his or her supervisor or department chair.

## **2.6 Official Recordkeeping**

The Grants Office maintains a centralized file history of all grants awarded to the College, in conformance with CUNY’s Guidelines for Records Retention and Disposition. The application proposal, along with all reports and evaluations of the grant-funded project, are maintained as permanent records. Background material, fiscal records and supporting documentation are maintained for six (6) years after each grant’s renewal, closure or denial of the application.

Principal Investigators/Project Directors are responsible for maintaining the daily program files as well as copies of all expenditure requisitions for audit purposes.

In the event that a grant is not renewed, or if the grant project has been completed, the Principal Investigator/Project Director must arrange to have all files transferred to the Grants Office where they will be reviewed and subsequently forwarded for storage.

When the project period ends (and/or during the project period, if equipment becomes obsolete), the Principal Investigator/Project Director must contact the Grants Office *before* any computers or equipment are relinquished. The Grants Office will comply with the funding source’s guidelines and contact the College’s Central Receiving unit and/or the Information Technology Departments to handle this process appropriately.

## ATTACHMENTS

|  |    |
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| Line Item Budget - Attachment #2.....                              | 20 |
| Release Time Request form - Attachment #3.....                     | 21 |
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- Letter of Intent
- Pre-Proposal
- New Proposal

|                   |
|-------------------|
| For OGSP Use Only |
|-------------------|

## Grant Proposal Information Form - Attachment #1

### I. PRINCIPAL INVESTIGATOR/CO-PI INFORMATION:

PI Name: \_\_\_\_\_ Tenured:  Yes  No  
 Department: \_\_\_\_\_ Phone: \_\_\_\_\_  
 Co-PI Name: \_\_\_\_\_ Tenured:  Yes  No  
 Department: \_\_\_\_\_ Phone: \_\_\_\_\_

### II. FUNDING SOURCE

Sponsor Name: \_\_\_\_\_  
 Sponsor Funding Opportunity Title: \_\_\_\_\_  
 Proposal Due Date: \_\_\_\_\_ Project Period (Start Date): \_\_\_\_\_ (End Date): \_\_\_\_\_

### III. PROJECT INFORMATION

Proposal Title: \_\_\_\_\_  
 Total Budget Request: \$ \_\_\_\_\_  
 Sponsor Match Required?  Yes  No Match Amount: \$ \_\_\_\_\_  
 Sponsor Indirect Rate: \_\_\_\_\_% Voluntary Cost Sharing Proposed: \$ \_\_\_\_\_

### IV. PARTNERSHIPS/COLLABORATIONS

- a. Will Queensborough Community College serve as the lead institution?  Yes  No  
 If No, name of lead institution? \_\_\_\_\_
- b. Will Queensborough Community College subcontract to another institution?  Yes  No  
 If Yes, name of institution? \_\_\_\_\_
- c. Will the project involve any other partnerships or collaborations?  Yes  No Please list partners and describe the nature of the collaborations. Partners will include:

### V. USE OF GRANT FUNDING

- 1) Do you plan to request Release-Time from teaching to be paid from this grant?  Yes  No  
 You must use QCC's Release Time Request Form - Attachment #3 to obtain written approval from both your

department chairperson and the Vice President for Academic Affairs for all faculty requests for release time from teaching.

2) Do you plan to request Summer Salary to be paid from this grant funding?  Yes  No

3) Do you plan to purchase Computer Hardware/Software with this grant funding?  Yes  No

If planning to purchase and/or install any computer equipment, peripherals or software for office use, you must consult with QCC's Executive Director of the Office of Informational Technology and complete the College's *Computer/Software Acknowledgement Form*.

3.a. Where will the computer hardware be located?

4) Do you plan to purchase and install Equipment with this grant funding?  Yes  No

If you are planning to install any equipment, such as copiers or printers, you must consult with the Office of the Vice President for Finance and Administration to ensure that installation, operational and space issues are considered. If purchasing equipment, complete *Renovations/Space Acknowledgement Form*.

4.a Where will the equipment be located?

5) Are any renovations or additional space requirements needed for the grant project?  Yes  No

5.a Please describe the renovations required. Indicate the location on campus of planned renovations.

6) Will your project involve student scholarships/fellowships/stipends or other payments to students?

Yes  No

*If your project involves payment to students (other than employment), a Student Eligibility Criteria Form must be completed. I (PI) understand the Student Eligibility Criteria Form must be completed, reviewed, and approved by the Office of Student Affairs, Office of Financial Aid, and Office of Grants/Sponsored Programs before a student participates in any program activities sponsored by this grant. See QCC [Policies and Procedures](#). Initial: \_\_\_\_\_*

7) Will your proposed project involve Human Subjects?  Yes  No

*I understand that if my project includes the use of human subjects, I am required to contact QCC's Human Research Protection Program Coordinator (HRPP), Dr. Linda Reesman, at (718) 631-6690 to determine if Institutional Review Board (IRB) approval is required. See CUNY [Researcher Handbook](#). Initial: \_\_\_\_\_*

8) Will your proposed project involve Animal Subjects?  Yes  No

*I understand that if my project includes the use of animal subjects, I am required to contact Dr. Linda Reesman, Assistant Dean for Operations, at (718) 631-6690 to determine if Institutional Animal Care and Use Committee (IACUC) approval is required before any related project expenditures are incurred. See CUNY [Researcher Handbook](#). Initial: \_\_\_\_\_*

9) Will your proposed project involve contact, in any capacity, use of, or access to Biozards?  Yes  No

*I am aware that researchers who engage in activities involving infectious agents, other hazardous agents (e.g. carcinogens), radioactive materials, or transgenic animals are required to contact their respective college's*

research administration office to obtain information on college-level oversight of such activities.

See CUNY [Researcher Handbook](#).

Initial: \_\_\_\_\_

**10) Do you have any potential or actual Conflict of Interest with the proposed project?**  Yes  No

If yes, please explain below. See CUNY's Conflict of Interest Policy.

**11) Are any faculty member(s) named in the proposal planning or scheduled to take any type of leave (sabbatical or other) that would preclude them from fulfilling any responsibilities to the grant project?**  Yes  No

| Name of faculty | Dates | Type of Leave |
|-----------------|-------|---------------|
| 1. _____        | _____ | _____         |
| 2. _____        | _____ | _____         |

**VI. ACKNOWLEDGEMENT OF PROPOSAL DEVELOPMENT AND SUBMISSION - Signatures**

Principal Investigator: \_\_\_\_\_ Date: \_\_\_\_\_

Department Chair/Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_

Co-Principal Investigator: \_\_\_\_\_ Date: \_\_\_\_\_

Department Chair/Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_

*The completed form should be submitted to the QCC Office of Grants/Sponsored Programs as early as possible in the proposal/ application development stage and **at least 4 weeks before deadline**. I understand that if this form is handed in after the 4 week deadline, my proposal may not be approved for submission.*

Initial: \_\_\_\_\_

Email completed forms with attachments to: [GrantsSponsoredPrograms@qcc.cuny.edu](mailto:GrantsSponsoredPrograms@qcc.cuny.edu)

**VII. OFFICE OF GRANTS/SPONSORED PROGRAMS - Signature**

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

Reviewed by Cabinet on: \_\_\_\_\_

**VIII. CABINET REVIEW COMPLETED - Signatures**

Divisional Vice President: \_\_\_\_\_ Date: \_\_\_\_\_

Vice President for Grants/Sponsored Programs: \_\_\_\_\_ Date: \_\_\_\_\_

**IX. ATTACH A DETAILED BUDGET**

**X. ATTACH A BRIEF ABSTRACT**

**Line Item Budget – Attachment #2**

Please submit a line item budget using the format required by the grant program sponsor. If you would like assistance with developing the budget, please contact the Office of Grants/ Sponsored Programs.



## Matching Costs/Cost Sharing form - Attachment #4

|   |  |
|---|--|
| Principal Investigator/Project Director |  |
| Department                              |  |
| Project Title                           |  |
| Funding Source                          |  |
| Project Period (Start & End Dates)      |  |

Are matching costs required by the funding source? Yes No

**If yes,**

What kind of matching costs are required? In-kind Cash

What is the amount, **and** the ratio (ex. 1:1), of matching costs required?

|        |  |
|--------|--|
| Amount |  |
| Ratio  |  |

Describe how they will be provided and documented:

**If no,** Why are matching costs being included?

### Signatures

1. Development Grants Director: \_\_\_\_\_ Date
2. Divisional Vice President: \_\_\_\_\_ Date
3. Vice President for Finance and Administration: \_\_\_\_\_ Date
4. Vice President for Grants/Sponsored Programs: \_\_\_\_\_ Date

**Submit complete form to QCC's Office of Grants/Sponsored Programs**

Comments: .....

## Computer/Software Acknowledgement form - Attachment #5

The completed form should be submitted to the QCC Office of Grants/Sponsored Programs as early as possible in the proposal/application development stage and **at least 4 weeks before deadline.**

|   |  |
|---|--|
| Principal Investigator/Project Director |  |
| Department                              |  |
| Project Title                           |  |
| Funding Source                          |  |
| Project Period (Start & End Dates)      |  |

Hardware Requested (List how many units are to be purchased, such as desktop or laptop processors, printers, peripherals, etc.)

Identify where hardware will be located:

Software requested:

\_\_\_\_\_  
Signature of Department Chairperson or Supervisor Date

\_\_\_\_\_  
Executive Director of Information Technology Date

**Submit completed form to QCC's Office of Grants/Sponsored Programs.**

.....  
Comments (Are additional computer lines needed? Can the hardware/software be supported by QCC staff?):



## Human Research Protection Program - Attachment #7

The **CUNY Human Research Protection Program (HRPP)** is responsible for the protection of the rights and welfare of human subjects in research projects conducted at CUNY or by CUNY faculty, staff and students and RF CUNY staff. The program provides oversight, administrative support and educational training to ensure that CUNY research complies with federal and State regulations, University policy and the highest ethical standards. The CUNY HRPP comprises of 5 University Integrated Institutional Review Boards (IRBs) and 19 on-site HRPP offices.

HRPP policies, procedures and guidelines are available at the CUNY web page:  
<http://www2.cuny.edu/research/research-compliance/human-research-protection-program-hrpp/>.

The HRPP Coordinator at each campus serves as the first point of contact for CUNY faculty, staff and students who become involved in research that involves human subjects. At QCC the HRPP Coordinator is located in the Office of Academic Affairs: Dr. Linda Reesman, [lreesman@qcc.cuny.edu](mailto:lreesman@qcc.cuny.edu), 718-281-5253.

Contact Dr. Reesman at the time of proposal development for advice and guidance on IRB requirements. Some sponsors require that an IRB application be completed at the time of proposal submission.

## Request for Advance of Grant Funds form - Attachment #8

|   |  |
|---|--|
| Principal Investigator/Project Director |  |
| Department                              |  |
| Project Title and account #             |  |
| Funding Source                          |  |
| Project Period (Start & End Dates)      |  |

I am requesting to use the Advance Grant Fund account because the grant falls within one of the following categories (Check one):

- . A renewal of previously awarded grant. Written notification from the grant sponsor that the proposal has been funded is attached.
- . First Time grant award. Written notification from grant sponsor that the proposal has been funded is attached.
- . Multi-year federal continuation grants. The Office of Grants/Sponsored Programs has received a specific dollar amount for the upcoming year's budget from the grant sponsor.
- . Other (Explain):

I am requesting \_\_\_\_\_ to cover the following cost (please list all):

Signature of Department Chairperson or Supervisor: \_\_\_\_\_ Date

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

Signature of Vice President for Grants/Sponsored Programs: \_\_\_\_\_ Date

**Submit completed form to QCC's Office of Grants/Sponsored Programs.**

.....  
 Comment:

**Request for Advance of Grant Funds - Attachment #9**  
**(When Funding Source has indicated program concerns that could affect funding)**

|   |  |
|---|--|
| Principal Investigator/Project Director |  |
| Department                              |  |
| Project Title                           |  |
| Funding Source                          |  |
| Project Period (Start & End Dates)      |  |

**Due to program concerns expressed by the funding source which have not yet been resolved, my signature below indicates that I will cover expenses for this initiative through another funding source (such as a tax levy account, an auxiliary account, etc.) and that I understand that these funds may not be reimbursed by the grant funding source. I also understand that I have the option to renew this approval for an extended time period.**

I am authorizing \$\_\_\_\_\_ to cover costs for \_\_\_\_\_ from Account# \_\_\_\_\_ for the period \_\_\_\_\_ to \_\_\_\_\_.

\_\_\_\_\_  
 Signature of Vice president or Office's Fiscal Designee Date

\_\_\_\_\_  
 Signature of Development Grants Director Date

\_\_\_\_\_  
 Signature of Vice President for Grants/Sponsored Programs Date

**Submit completed form to QCC's Office of Grants/Sponsored Programs**

.....  
 Comments:

## Student Eligibility Criteria Form – Attachment #10

*Student Participants complete Page 1 only.*

| STUDENT INFORMATION (Print)   |                |               |
|---|----------------|---------------|
| Participant's (Last Name)   | (First Name)   | (Middle Name) |
| Sex: <input type="checkbox"/> Female <input type="checkbox"/> Male  | Date of Birth: |               |
| Mailing Address (Post Office Box addresses are unacceptable.)   |                |               |
| Street:   |                |               |
| City:   | State:         | Zip Code:     |
| Have you been a New York State resident for at least the past 12 months? <input type="checkbox"/> Yes <input type="checkbox"/> No |                |               |
| Home Phone:   | Cell Phone:    | Email:        |

|   |               |
|---|---------------|
| Name of College:  |               |
| Address:  |               |
| Are you enrolled in a degree program? <input type="checkbox"/> Yes <input type="checkbox"/> No    Enrolled? <input type="checkbox"/> Full time <input type="checkbox"/> Part time |               |
| Grade Point Average (GPA): _____ (Non-QCC students must submit an Official Transcript.) Credits Completed: _____  |               |
| Student Status: <input type="checkbox"/> Undergraduate <input type="checkbox"/> Master <input type="checkbox"/> PhD<br><input type="checkbox"/> Post Doc                          | CUNYFirst ID: |

|  |
|--|
| Name of High School:   |
| Address:   |
| Student Status: <input type="checkbox"/> Freshman <input type="checkbox"/> Sophomore <input type="checkbox"/> Junior <input type="checkbox"/> Senior |

|  |  |
|--|--|
| Race/Ethnicity:  |  |
| <input type="checkbox"/> Hispanic/Latino               | <input type="checkbox"/> White <input type="checkbox"/> Other: _____ |
| <input type="checkbox"/> American Indian/Alaska Native | <input type="checkbox"/> Asian                                       |
| <input type="checkbox"/> Black or African American     | <input type="checkbox"/> Native Hawaiian or Other Pacific Islander   |

|   |
|---|
| I attest, that I am: (check one):   |
| <input type="checkbox"/> A citizen of the United States <sup>1</sup>  |
| <input type="checkbox"/> A noncitizen national of the United States (an individual born in American Samoa, certain former citizens of former Trust Territory of the Pacific Islands, and certain children of noncitizen nationals born abroad.) |
| <input type="checkbox"/> A lawful permanent resident <sup>2</sup> Expiration Date: _____  |
| <input type="checkbox"/> An Individual on a Visa  |
| <b>FOR NON-QCC PARTICIPANTS</b> - Supporting documentation required: (Expired documents and copies are not acceptable)  |
| <sup>1</sup> Birth Certificate, U.S. Passport, Certificate of Citizenship or Naturalization, Certificate of Birth Aboard (FS-545, DS1350) or Report of Birth Abroad (FS-240).   |
| <sup>2</sup> Permanent Resident Card, Resident Alien Card, Alien Registration Receipt Card, or Passport with a valid I-94 Arrival/Departure record with stamps as described above.  |

Participants Signature: \_\_\_\_\_ Date: \_\_\_\_\_

| TO BE COMPLETED BY PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR ONLY |                       |
|---|-----------------------|
| Print PI/PD Name:   |                       |
| PI/PD Department:   |                       |
| Grant Funding Source:   |                       |
| Project Title:  |                       |
| Project Period:   | Project RF Account #: |
| Date(s) of student participation:                               |                       |

*I understand the Student Eligibility Criteria Form must be completed, reviewed, and approved by the offices of Student Affairs, Financial Aid, and Grants Sponsored/Programs PRIOR to any student beginning participation in this grant funded program.*

Signature of Principal Investigator: \_\_\_\_\_  
 Date \_\_\_\_\_



PI/PD submit completed form to the Office of Grants/Sponsored Programs, room H-336.

| To be completed by the Office of Student Affairs  |
|---|
| <p>The above listed student citizenship status is as follows:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> A citizen of the United States</li> <li><input type="checkbox"/> A lawful Permanent Resident (Permanent Resident Card)</li> <li><input type="checkbox"/> An individual on a Visa</li> </ul> <p><i>I hereby certify that all of the information provided on this box is true and correct to the best of my knowledge.</i></p> <p>Signature of Student Affairs Officer: _____ Date: _____</p> |

| To be completed by the Office of Financial Services   |
|---|
| <p><i>I hereby certify that the above student meets the financial eligibility requirements of the above named grant award.</i></p> <p>Signature of Financial Aid Officer: _____ Date: _____</p> |

