SUFFOLK COUNTY COMMUNITY COLLEGE

GRANTS POLICY AND PROCEDURES MANUAL

SCCC Office of Grants Development

https://www.sunysuffolk.edu/about-suffolk/administration/institutional-advancement/grants.jsp

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Welcome to Grants Management at SCCC

Congratulations on deciding to pursue a grant award. This manual will help you navigate the processes required by federal, state, and local laws and regulations to submit a grant proposal, receive a grant award, and manage a grant-sponsored project at Suffolk. Upon award, you will have the opportunity to realize the vision described in your proposal as the project director/principal investigator. The policy and procedural guidelines described in this manual will help minimize any difficulties you may encounter as you and your colleagues carry out what is a legally binding contract between the sponsor and the college. The Office of Grants Development will work with you throughout your project. Please feel free to contact us at any time with questions or concerns:

SCCC Office of Grants Development (OGD)

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The Office of Business and Financial Affairs (OBFA) will assist you with your post-award financial accounting and reporting. Please send a copy of all contractual and financial correspondence you receive from the funding agency to the OGD (above) and to the grants accountant in the OBFA (below).

Office of Business and Financial Affairs (OBFA)

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1. Grant Submission Process

Faculty and other members of the college community who wish to submit proposals must follow the college's grant submission process in order to obtain the college president's approval. Most, but not all, sponsors require the approval of an authorized representative of the college. The president of the college, (or designee), is Suffolk's only authorized representative. Furthermore, you must obtain the president's approval prior to submission even in cases where the sponsoring agency does not appear to require it because all proposals are a commitment by the college to the sponsoring agency (the sponsor).

When the proposal is to be submitted via an electronic system, only the president (or designee) is authorized to sign and submit. Electronic submissions are generally done through the Office of Grants Development (OGD), although the president may authorize you to submit directly.

A grant submission form is used to obtain the necessary permissions for every proposal. This form and its attachments provide the president with the information necessary to approve the submission. The form is available for download at the college web site OGD page: http://www.sunysuffolk.edu/about-suffolk/administration/institutional-advancement/grants.jsp#tab-d12e3-4. The form is required even for routine annual requests to continue funds for existing programs.

The grant submission form must be signed by the proposer, the proposer's supervisor, OGD, and some senior administrators. An ETU or IT official must sign to indicate approval if the purchase of information technology is proposed.

Required attachments to the grant submission form include 1) a draft of the proposal, 2) the proposed budget, 3) an abstract, and 4) the competition guidelines. Other attachments can include any documents that must be signed by the president and included with the submission, such as a letter of support or commitment. The president (or designee) is the only authorized signing official on grant proposal documents.

Be advised that a grant submission form with all attachments must arrive at OGD at least two weeks in advance of the submission deadline to ensure sufficient time for review. The nature of grant opportunity announcements can make this deadline a challenge, and we will work with you when we can, but we cannot guarantee that proposals arriving late will be reviewed and approved in time to submit.

2. Grant Receipt Process

The college's process for receiving awarded funds requires actions from the central Office of Business and Finance, the Office of Legal Affairs, the Office of the President, the college's Board of Trustees, and Suffolk County's government. You should expect two to four months to complete these steps before the funds become available to you to spend in the college's Banner enterprise system.

When you are notified that your proposal has been selected for an award, forward all correspondence to OGD immediately. A contract or other agreement between the college and the agency must be negotiated and executed and this will be overseen by the Office of Legal Affairs and the central Office of Business and Finance before recommendations are made to the president. Then, the college's Board of Trustees must pass a resolution receiving the award. Subsequently, the Suffolk County Legislature must pass a resolution expanding the college's annual budget to include the awarded funds and this resolution must be signed by the county executive.

The college's business and legal offices will rely on you for the information they need to draft these resolutions. If you are named as the *project director* or *principal investigator*, the granting agency often may correspond directly with you. It is your responsibility to understand the college's processes and to communicate effectively with the agency and with the college's officers. OGD personnel will support you in this role. Please <u>copy us on all correspondence with the granting agency</u>.

On behalf of the college, OGD is the formal point of contact with the sponsor. Upon notification by a sponsor that a grant contract will be awarded, OGD staff will:

- Compare the award notification to the submitted proposal and collaborate with the project director/principal investigator (PD/PI) to resolve any differences;
- Collaborate with the PD/PI to negotiate with the sponsor any budget and/or program modifications that may be required;
- Establish an electronic grant file (and hard copy file, as needed) within the OGD office;
- Collaborate with the Office of Business and Financial Affairs to establish the project budget in Banner; and
- Assist the Office of Business and Financial Affairs and/or the Office of Legal Affairs in preparing the draft resolutions for presentation to the SCCC Board of Trustees and Suffolk County Legislature.

The PD/PI has primary responsibility for attaining all agreed upon goals and objectives and for ensuring overall project success. The PD/PI is responsible for ensuring that the project remains in compliance at all times with all requirements stipulated in the grant contract.
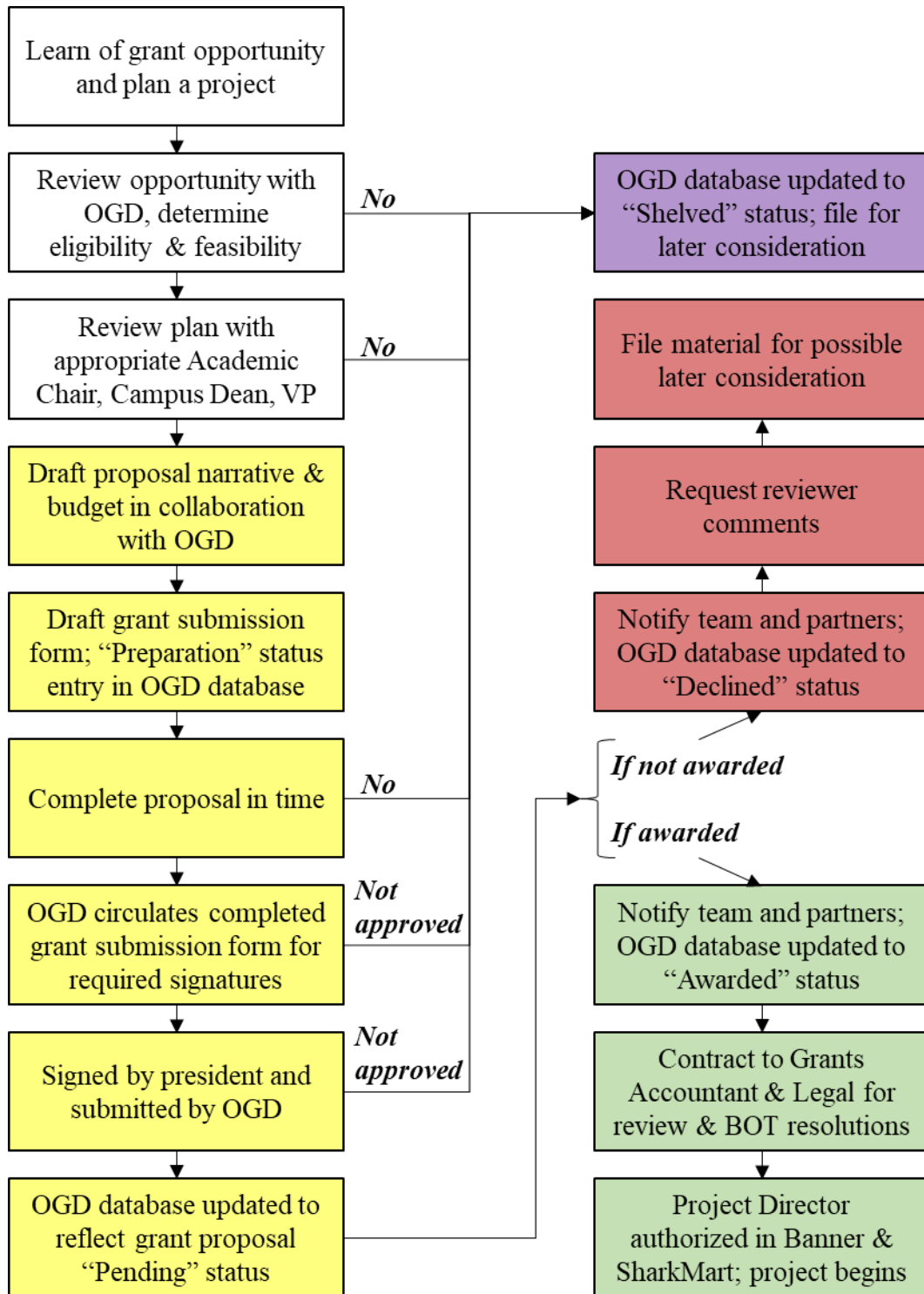
The following chart lists the principal grant-related activities required for successful grant project management and the parties responsible for each.

Principal Grant Activities for Successful Project Management

Project Activity	Primary Responsibility	Secondary Responsibility
Prepare, plan and write your grant proposal	Project Director/Principal Investigator (PD/PI)	Office of Grants Development (OGD)
Prepare and route SCCC Grants Submission Form for signatures	PD/PI	OGD
Submit the proposal	OGD	PD/PI
Authorize college's acceptance of the grant	SCCC Board of Trustees and Suffolk County Legislature	Office of Business and Financial Affairs (OBFA) and Office of Legal Affairs
Prepare and initiate project budget in Banner	OBFA	PD/PI, OGD
Develop subcontracts	Offices of Legal Affairs; OBFA (Purchasing Dept.)	PD/PI
Recruit/hire personnel	PD/PI (initiates & ensures allowability, reasonableness)	Human Resources Office/Adjunct Services Office
Purchase equipment and supplies	PD/PI (initiates & ensures allowability, reasonableness)	Purchasing Technician, Dept Clerk (requisitions, receiving), OGD
Supervise project personnel	PD/PI	Dean/Academic Affairs (AA) or Student Affairs (SA)
Develop and implement activities to achieve objectives	PD/PI and project staff	Dean/AA or SA
Maintain accurate files/reports, certify effort, gather data	PD/PI	Grants Accountant (for budget/expenses), Offices of Planning and Institutional Effectiveness (OPIE)
Review/monitor budget reports and spend down	PD/PI (identifies need for and prepares budget modifications)	OBFA (Grants Accountant)
Track matching funds and in-kind contributions	PD/PI	OBFA Grants Accountant
Initiate and implement evaluation plan	PD/PI	OPIE
Publicize & report outcomes	PD/PI	Office of Institutional Advancement
Prepare interim and annual project and financial reports	PD/PI (prepares and co-submits)	OBFA (approve/submit)
Maintain quality control	PD/PI	Dean/AA or AS
Complete project evaluation, final report, prep for audit	PD/PI	OBFA, OPIE
Institutionalize project activities or elements	PD/PI, Campus Dean, Vice-President	AA/AS

The following flowchart provides a broad overview of the idealized college grants workflow.

Suffolk County Community College
Idealized Grants Workflow

```
┌─────────────────────────┐
│ Learn of grant opportunity │
│   and plan a project      │
└─────────────────────────┘
            │
            ▼
┌─────────────────────────┐        No        ┌─────────────────────────┐
│ Review opportunity with │ ───────────────► │ OGD database updated to │
│  OGD, determine         │                  │ "Shelved" status; file for│
│  eligibility & feasibility│                │   later consideration    │
└─────────────────────────┘                  └─────────────────────────┘
            │
            ▼
┌─────────────────────────┐        No        ┌─────────────────────────┐
│   Review plan with      │ ───────────────► │ File material for possible│
│ appropriate Academic    │                  │    later consideration   │
│ Chair, Campus Dean, VP  │                  └─────────────────────────┘
└─────────────────────────┘
            │                                 ┌─────────────────────────┐
            ▼                                 │   Request reviewer       │
┌─────────────────────────┐                   │     comments             │
│ Draft proposal narrative &│                 └─────────────────────────┘
│ budget in collaboration │
│       with OGD          │                   ┌─────────────────────────┐
└─────────────────────────┘                   │ Notify team and partners;│
            │                                 │ OGD database updated to │
            ▼                                 │  "Declined" status       │
┌─────────────────────────┐                   └─────────────────────────┘
│ Draft grant submission  │
│ form; "Preparation" status│
│  entry in OGD database  │
└─────────────────────────┘
            │                      If not awarded
            ▼
┌─────────────────────────┐  No
│ Complete proposal in time│ ──────────►      If awarded
└─────────────────────────┘
            │                                 ┌─────────────────────────┐
            ▼                                 │ Notify team and partners;│
┌─────────────────────────┐  Not approved    │ OGD database updated to │
│ OGD circulates completed│ ──────────►       │   "Awarded" status       │
│ grant submission form for│                  └─────────────────────────┘
│  required signatures    │                              │
└─────────────────────────┘                              ▼
            │                                 ┌─────────────────────────┐
            ▼                   Not approved  │   Contract to Grants     │
┌─────────────────────────┐ ──────────►       │ Accountant & Legal for  │
│ Signed by president and │                   │ review & BOT resolutions │
│   submitted by OGD      │                   └─────────────────────────┘
└─────────────────────────┘                              │
            │                                             ▼
            ▼                                 ┌─────────────────────────┐
┌─────────────────────────┐                   │   Project Director       │
│ OGD database updated to │                   │ authorized in Banner &  │
│ reflect grant proposal  │                   │ SharkMart; project begins│
│  "Pending" status       │                   └─────────────────────────┘
└─────────────────────────┘
```

3. Contractual Obligations

After your grant is authorized it becomes a <u>legally binding contract</u>. The project plan within your proposal comprises the core of this legal contract. However, the sponsor lists additional requirements, terms and conditions. Carefully re-read and familiarize yourself with the requirements stipulated by: (1) your grant proposal, (2) the approved (legal) contract, and (3) the applicable sponsor. In addition, you should familiarize yourself with the range of federal, state, institutional and local policies and procedures that apply to your project. Attachment 1 provides resources where you can access regulations, requirements, and sponsor-specific management guidance. Pertinent SCCC policies and procedures are provided in the following:

- Suffolk County Community College Policies:
  https://www.sunysuffolk.edu/legalaffairs/policies.jsp
- Contract agreements between the SCCC Board of Trustees and the faculty and other bargaining units of the college:
  - Faculty Association: https://fascc.org
  - Guild of Administrative Officers: https://guildscc.org

4. Conduct Project Start-up Meeting

The project director may request a project start up meeting with OGD. This is especially suggested for new PD/PIs. The PD/PI and OGD staff can meet to:

- Specify next-steps and timelines for project implementation;
- Review sponsor grant requirements;
- Review the college fiscal management and budgeting processes;
- Review college procedures pertaining to equipment and supply purchases and consultant subcontracting, as appropriate;
- Review college staff hiring, effort reporting, and compensation procedures;
- Specify record keeping and reporting requirements and timelines; and
- Address other issues and concerns.

5. Set-up the Project Budget

A. Establish the Project Budget:
Once the BOT and the county legislature have approved resolutions receiving your award, the OBFA grants accountant will establish a budget in the college's Banner system based on the approved contract budget. The PD/PI will receive permission to approve requisitions and view the project budget in Banner. The PD/PI must request access to the project account in SharkMart from a Purchasing Technician. A clerk in the PD/PI's office must be given access to the grant account to submit requisitions and perform receiving functions. Generally, the same person does <u>not</u> both submit/receive and approve requisitions.

The college's Banner system assigns grant budgets unique **Fund** and **Organization** number combinations. All grant **funds** begin with the letter G. The next letter is C (central), A (Ammerman), W (Western), E (Eastern), T (Corporate Training Center), U

(SUNY WDT) or V (Perkins). The next two digits are assigned sequentially. **Organization** numbers are Fund numbers indexed by budget year. Finally, the grant **Program** code is G000.

Example: GC03 (Fund), GC0321 (Organization), G000 (Program)

Within each Banner budget, funds are allocated to **Account** codes. The following table shows the common account codes to which grant funds are assigned in Banner. The table also shows the associated common grant budget categories assigned in grant contracts by New York State on their FS10 budget form, and by other sponsoring agencies.

Account Code	Description	NYS Code	Sponsor Category
611100	Permanent Salaries	15	Personnel
611130	Temporary Salaries	16	Personnel
611170	Part-time Instructors	15	Personnel
611570	Full-time Overload	15	Personnel
628100	State Teachers Retirement	80	Benefits
628160	TIAA-CREF Retirement	80	Benefits
628280	State Retirement	80	Benefits
628330	FICA – Social Security	80	Benefits
628360	Health Insurance	80	Benefits
628380	Benefit Fund	80	Benefits
712440	Instructional Equipment (capital, >$5,000/item)	20	Equipment
712445	Instructional Equipment (non-capital)	45	Supplies
712460	New Computers (capital, >$5,000/computer)	20	Equipment
712465	New Computers (non-capital)	45	Supplies
713100	Instructional supplies (consumable or >$100/item)	45	Supplies
713140	Online Testing and Training	40	Contractual
713170	Instructional Software	45	Supplies
713500	Other (unclassified, often food)		
713930	Cartage (excess appropriation)		
713990	Indirect Expense	90	F&A
714330	Travel (local miles)	46	Travel
714350	Travel (college business)	46	Travel
714560	Fee for Service (consulting)	40	Contractual
714770	Special Services (consulting)	40	Contractual
714990	Participant Support		Part. Supp.

B. Monitor Project Budget Expenditures:

As you make purchases and conduct your project business, you must keep a close eye on your budget. OGD can help you learn to monitor your budget in Banner. You should frequently review expenditures and encumbrances to ensure that the grant's financial requirements are being met. In addition:

- Stick to your timelines. You should generally have at least half of your budget expended or encumbered by the time you are half way through your project.

- Keep your expenditures in line with the approved budget. Moving funds from one approved account category to another requires permission from the sponsor.

- College Banner account codes and sponsor budget categories are not always congruent. You are responsible for keeping track of the sponsor's budget categories when spending or making account transfers and for financial reporting.

- The PD/PI is responsible for reviewing all charges to the grant. These include both personnel expenses and (non-personnel) purchases. Correct errors as soon as they are recognized by contacting the OBFA grants accountant. Corrections requiring an <u>expense or cost transfer</u> from a college fund to a grant fund or from one grant fund to another grant fund, must be timely, justified, appropriate, and documented in your files. Each such transfer must be accompanied by an explanation of why the correction was necessary and what can be done to prevent a reoccurrence. Work with the OBFA grants accountant and/or the personnel office to develop this explanation and see that it is attached to the transaction. You should sign and date this explanation if the expense or cost transfer is completed more than 90 days after the need for correction is discovered. Expense or cost transfers are not allowed more than 180 days after the original transaction without the expressed permission of the vice president of finance. (Note: some sponsoring agencies have more restrictive expense and cost transfer rules that you must follow if they are your sponsor. For example, NIH will allow no transfers more than 90 days after the need for correction is discovered. DHHS, including FDA and HRSA, will not allow corrections later than 90 days from the original transaction.) If an expense or cost transfer is not timely, justified, appropriate, and documented, sponsored funds may not be used for the expense.

- The grants accountant and OGD must be promptly informed of all communications with the funding agency, especially those relating to budget. If you have budget concerns or questions, be sure to bring them to the OBFA grants accountant or OGD.

C. Prepare Budget Modification(s):
Most funding agencies recognize that project success requires some budget flexibility. There are times when actual costs are higher or lower than originally proposed or a new type of expenditure is required. Work with the OBFA grants accountant and OGD to develop a budget modification request. Most sponsors require these to be submitted no later than *90 days before the end of the grant funding period.* Budget modifications may also require Board of Trustee approval, so you may need to prepare several months in advance of the project end date.

If your budget modifications are not prepared and submitted on time, or are not approved by the funding agency, the college may be required to return the funds, even if you have already spent them.

6. Secure Project Personnel

Once the project budget has been activated, you can hire and pay your project personnel. Staffing and compensation are usually specified in the grant proposal, and you are required to follow the approved staffing and compensation plan. Changes in staffing must be approved by the sponsor. In the event you have questions, be sure to work with the OD, the grants accountant and the college Office of Human Resources.

All project staffing and compensation must be consistent with appropriate Suffolk County Community College hiring practices and employment contracts as well as with all applicable state and federal regulations (see Attachment 1).

All grant-funded positions are subject to the following documentation requirements:

- A <u>Time & Effort Documentation</u> form is required for all personnel who are fully or partially funded by one or more grants. The form must document that the grant-funded employee worked the time for which the grant compensated that employee. The time worked by each employee should match the plan proposed in the grant contract. A supervisor cognizant of how the grant-funded employee spent their time must countersign on the form. Forms should be completed and signed once for fall, spring, and summer semesters (winter session may be accounted for in either the fall or spring form). The PD/PI is responsible for securing all completed and signed forms and maintaining them on file. The PD/PI may be asked to forward copies of time and effort documentation to the OGD. Errors in time and effort documentation discovered after certification must be corrected by recertifying and providing an explanation of how the error occurred and what can be done to prevent its reoccurrence.

- A job description is required for all personnel who are fully or partially funded by one or more grants. The PD/PI is responsible for maintaining a job description on file.

- A resume or CV is required for all personnel who are fully or partially funded by one or more grants. The PD/PI must maintain on file a copy of the resume or CV of all grant-funded employees on their project.

There are several types of project personnel: full-time college faculty and staff, part-time college faculty and staff, temporary staff hired full time or part time to carry out specific project responsibilities, and non-college consultants and professional services providers.

A. Full-time College Faculty and Staff
Full-time college faculty and staff may receive reassigned time to be released from some of their teaching or other responsibilities for a specified period of time to conduct grant project activities. New full-time staff may be hired to work on grant-funded projects.

- All faculty and staff compensation rates are governed by respective union contracts.

- Standard college hiring practices apply when hiring all full-time staff. A Personnel Transaction Request Form (PTRF) must be completed by the PD/PI and signed by the appropriate signatories. Be sure to complete the PTRF form and get it signed as early as possible to avoid disruptions in salary payments. For additional information, contact the Office of Human Resources.

- All new, full-time positions should be advertised and standard job search procedures must be followed; for additional information, contact the Office of Human Resources;

- In general, existing full-time faculty, specialists, and professional assistants must be granted reassigned time to work on grant-funded projects during the academic year. Program and Department Chairs or other administrative supervisors can reassign full-time faculty and staff to perform work on grant-funded projects. Reassignment must be arranged for each semester. The cost of reassignment is paid by the grant budget and can be either the cost of the replacement personnel needed to carry out the reassigned faculty's duties (e.g. teach a course), or the cost of the faculty member's actual time reassigned to the grant. Ten-month faculty may teach summer- or winter-session courses on grant-funded overload. Twelve-month faculty can be released from regular duties to work on a grant-funded project. Exceptions to these rules generally must be pre-approved in writing by the sponsor.

- Regardless of whether the grant funds will cover a grant-funded employee's actual pay or replacement costs related to the reassigned time, all full-time salary or compensation and benefits will be arranged for, and paid through, the college's Payroll Office. All college employees are required to complete a W-4 form, I-9 form, nepotism and drug free workplace verification forms, as well as other employment forms normally required by the Office of Human Resources and/or Payroll Office.

- Extra service pay, overload pay that is normally allowable under the union contracts, may be charged to a grant budget for work performed during the academic year for specific grant-funded employees if the overload rate does not exceed their specific Institutional Base Salary rate. For more information about the circumstances under which an employee may qualify for grant-funded overload pay, please contact OGD. Extra service pay overload is arranged using an 1126 form via DocuSign (see below).

- All grant-funded positions are temporary, with clearly stated start and end dates that correspond with specifications in the approved grant contract.

B. Part-time Project Staff

Part-time project staff are hired to work on grant-funded projects by filing college 1126 forms. Adjunct faculty, college aides and student aides are frequently hired.

- Standard college hiring practices apply when hiring all part-time staff; you must fill out an 1126 form for each new part-time staff person that you hire. These forms are created and completed using DocuSign. If you do not have access to DocuSign, OGD can assist you by entering your forms and routing them to you for signature.

- Your part-time staff may not begin work until the 1126 form has been completely signed by all signatories. Submit your forms at least two weeks before the starting date you list on the form. Await confirmation that the form has been completed before allowing the employee to begin work.

- Grant-funded project positions are temporary, with clearly stated start and end dates that correspond with specifications in the approved grant contract.

- The hiring part-time staff for grant-funded positions will be governed by the funds available in your grant budget as well as any specifications made in your grant proposal and/or the legal contract documents; for additional information, contact OGD and/or the Payroll Office.

- All part-time pay or compensation will be arranged through the Payroll Office and will therefore require each employee to complete all employment forms and certifications normally required.

- To engage an adjunct Professional Assistant for the first time, the PD may forward a candidate's name, contact information, rank to be hired (PA0 requires at least an associate degree, PA1 requires at least a bachelor's degree) and resume to the Office for Faculty & Professional Advancement, who will contact the candidate to enter them into the adjunct system.

C. Non-College Professional Services

Non-college professional services are sometimes included in grants. Examples include the hiring of outside consultants to assist in setting up and conducting the project's evaluation, invited lecturers or speakers, etc. The hiring process for outside consultants can take months, so the PD/PI must plan with care, especially for single-year projects and projects requiring a consultant early on.

Outside project personnel or consultants must perform their services in accordance with a clearly written contract or legal agreement that the PD/PI must develop in collaboration with the Office of Legal Affairs. Consulting contracts include the following: (1) the specific services to be rendered; (2) deliverables they must provide to the college for the grant project, including periodic reports; (3) a payment schedule with benchmarks that are usually related to the deliverables; and (4) the contract's start and end dates. Upon completion of the contract agreement, a *blanket order* (standing order) PO will be established in SharkMart. Once the consultant receives the PO from the college, the consultant may begin work. The consultant then bills the college for services rendered and is paid from the blanket order through partial receiving.

- College procurement policy must be followed to hire a professional service provider. This policy is regularly updated and may be accessed here: https://my.sunysuffolk.edu/documents/20381/81940/ProcurementPolicy/b52db43f-5c4d-4f5b-82a4-09539ab292d0

- The PD/PI will receive and review the consultant's invoices and reports of the deliverables achieved. Additional documentation may be required by the director of business operations, e.g., hotel or airfare receipts, etc. Each invoice must be received in SharkMart under the original blanket order for each payment request.

- The accounts payable accounting staff in the Office of Business Affairs will arrange all payments to the consultant.

Example: How to Hire a Speaker

Speakers are hired just as any other non-college personal services provider. The college requires that all speakers have a contract established by the legal department prior to any presentation. When you require a speaker you need to provide the Office of Legal Affairs with the speaker's name and address, the date/time of the engagement, and a description of services – i.e., the topics they will discuss. Legal will prepare a contract, send it back to you to review, and then email the contract to the speaker with instructions to print three copies, sign, and mail back to legal.

Once this contract is returned and finalized the speaker must submit a W9 form (available with other college forms on the web, see Attachment 2), a quoted price, and a very brief statement of the scope of work. The completed W9, quote, and scope of work go to the purchasing office where the speaker is set up as a vendor.

Once the speaker is a vendor, you create a requisition in SharkMart and the speaker receives a PO from the college. The purchasing office will assist you.

After the speaker presents, they must provide you an invoice for the agreed amount. The invoice should have the speaker's name, address, statement of work performed, date of service and amount. The invoice is received in SharkMart and sent to accounts payable in the Office of Business and Financial Affairs. Payment will be mailed to the speaker in about two weeks.

D. Subcontracts and Subawards

Subcontracts and subawards specify agreed-upon services that SCCC will award to partnering colleges or organizations. Subaward agreements are developed as professional services contracts by the Office of Legal Affairs in collaboration with the project director, with additional assistance provided by OGD. Subaward agreements should include:

- A clear *Scope of Work* to be completed by the partnering institution, which specifies the services to be rendered, the subcontract start and end dates, the deliverables to be provided, and a payment schedule related to the completion of specific deliverables, with appropriate benchmarks.

- The final subcontract or subaward agreement will be developed by the Office of Legal Affairs and must be approved and signed by the SCCC president before it can be forwarded to appropriate authorities at the partnering institution.

E. In-kind Contributions by College Faculty and Staff
In some instances, funding agencies may encourage "leveraging" or "cost-share" expenses to be provided from other sources. The college's full-time personnel can provide services to implement grant projects that may, on occasion, be listed as leveraged or offered as a cost share. However, before you decide to include such efforts in your grant proposal or project budget as a cost share, you must obtain prior approval from your respective dean and area vice-president, and ultimately from the SCCC president and the vice-president for academic or student affairs. It is your responsibility to inform both OGD and the grants accountant in the Office of Business and Financial Affairs that you have received prior approval for institutional "matching funds" and/or "in-kind contributions" on the Grant Submission Form. You are responsible for documenting that the committed matching funds are expended.

7. Purchase Equipment and Supplies

With your grant funded and budget account activated, immediately begin purchasing needed materials, especially equipment. Project time is limited and all funds must be expended before the conclusion of the project, preferably more than 90 days prior to the end date of the grant.

A. Initiate Equipment Purchases
Equipment is defined as an item costing $5,000 or more. Sponsors often have particular requirements regarding the purchase, use, and disposition of equipment. Equipment often requires considerable time to purchase, receive, and install.

- Prior to setting up or authorizing your purchasing requisitions, meet with one of the college's purchasing technicians to review and finalize your equipment specifications as noted in your grant or contract budget.

- College procurement policy must be followed: https://my.sunysuffolk.edu/documents/20381/81940/ProcurementPolicy/b52db43f-5c4d-4f5b-82a4-09539ab292d0.

NOTE: All technical IT equipment and supplies in your grant proposal must be pre-approved by the Office of Information Technology and your campus' ETU in order to ensure their compatibility with existing college technology and networks. Your campus ETU can give you relevant product specifications and may require or recommend specific vendors.

B. Expedite Other Purchases
Before setting up a purchasing requisition online in SharkMart or Banner, you should: (1) investigate potential vendors, (2) determine which items need to be purchased, and (3) obtain the relevant contract numbers and/or pricing information.

- Purchases are made online using SharkMart. Learn how to approve and access your requisitions in SharkMart using online help available in the college portal.

- Purchases costing $100 or less are made with a College Payment Transmittal Form.

- Purchases costing between $100 and $2000 may be made on an existing state, county, or college contract, or may be made using SharkMart where evidence of competitive pricing is documented with a single price quote and to the satisfaction of the purchasing technician.

- Purchases costing between $2,000 and $20,000 may be made on an existing state, county, or college contract, or may be made using SharkMart where evidence of competitive pricing is documented with three price quotes and to the satisfaction of the purchasing technician.

- Although most purchases are requested within 30 days, the delivery of some equipment items can take between 3-8 weeks. If you need to purchase major equipment within a tight timeframe, you must consult with a purchasing technician to ensure that the delivery deadline is printed for the vendor on the PO.

- When you have received an item or purchase, log into SharkMart (or Banner if necessary) and mark the purchase as "Received." Later, accounts payable will arrange a payment to the vendor(s). Be sure your invoices are forwarded to OBFA after receiving to ensure that they are paid.

- The college's fiscal year is September 1 through August 31, and it coincides with the college's Academic Year. To be charged to a current fiscal year budget, all of your purchases must be made, received, and paid by August 31. Goods and services received or paid for after August 31 will be charged to the new college fiscal year budget starting on September 1. Grant-funded projects will have their own fiscal year which may or may not coincide with the college's year.

C. Travel Using Grant Funds

All travel expenses paid by sponsored programs are considered *college business travel*. Any college employee may travel on college business with prior permission of their immediate supervisor and the college president.

Before Travel

1. Complete the pre-approval form entitled *Request for Travel for College Business* and submit it in time to be signed by your immediate supervisor, your campus dean or vice president, and the president at least two weeks before the date of travel. Note that it can take some days to get the president's signature, so plan accordingly.

2. Estimate the maximum amounts for each line item, in keeping with college policy, and double check the list of expenses that are not covered to avoid having your reimbursement delayed or denied. The meal allowance is ($12 per meal) is stipulated in the AME contract and applies to all travelers. Only meals not provided by the conference are reimbursed, as long as the conference agenda indicates which meals

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were provided. Eligibility for breakfasts (or dinners) requires the conference to start (or end) four hours before (or after) your normal work hours.

3. Attach to the *Request for Travel for College Business* form your documentation verifying the reason for travel, i.e., a preliminary program, acceptance of a presentation or paper, etc.

4. Obtain your supervisor's signature indicating approval and submit the form to OGD for signature. We will route to the president for signature.

5. After the president signs you *Request for Travel for College Business* form, it will be routed to a central purchasing agent who will keep a copy and send the original back to you.

6. You must submit a requisition for a purchase order (PO) in Banner based on your approved request. Once the PO is approved, you will receive a copy of the PO at your home address. <u>Do not incur any expenses or travel until you have the PO in your possession</u>.

After Travel
1. Within three months of your return, complete a *Travel Expense Voucher* as well as a *College Business/Contractual Travel Payment Request* form, and attach them to the original *Request for Travel for College Business* form signed by the president.

2. Attach all the following mandatory documentation verifying your trip, including:
    a) Original receipts for all itemized expenses, including transportation, lodging, tolls, parking, etc., with separate receipts for any shared expenses like hotel rooms;
    b) The original badge, brochure, and registration receipts; and
    c) Proof of meals provided (or not) at the conference, e.g., the brochure/agenda, and itemize all claimed meals, indicating date and type of meal.

3. In Banner, receive your PO for the actual cost of your travel. This cost should be less than or equal to the amount you requested. If your expenses are greater than you requested, you may be allowed to increase your request by up to 10%. Contact a central purchasing agent if this is necessary.

4. Write the PO number and the received PO (Y number) on the *College Business/Contractual Travel Payment Request* form and submit this package, which now includes three forms: *Request for Travel for College Business* form, *Travel Expense Voucher,* and *College Business/Contractual Travel Payment Request* form, and documentation, to the Central Office of Business and Financial Affairs.

Considerations
1. Travel is considered college business travel when the employee has been asked to participate by the college. All travel sponsored by grant funds is college business

travel. If approved, there is no dollar limit for the conference. All requests must be approved by the college president. Every attempt should be made to minimize expenses, such as using the least expensive mode of transportation.

2. When traveling on college business a college car may be used if prior approval has been granted.

3. Reimbursement for overnight stays in New York City, Nassau or Suffolk County will be granted at the discretion of the President. If permission has not been granted, employees will be required to commute to conferences in these locations.

4. Meals within Suffolk County cannot be reimbursed.

5. For travel in New York State, a tax exempt form (ST-121; https://www.tax.ny.gov/pdf/current_forms/st/st121_fill_in.pdf) should be secured. The College is exempt from paying NYS sales tax, which will not be reimbursed. The College is not exempt from the hotel occupancy tax which will be reimbursed.

6. Books and other materials that may be purchased at a conference will not be covered. They must be purchased using other means (e.g. college purchase order, direct claim, petty cash, etc.)

Travel Expenses that Are Not Reimbursable. (Please note that this list is not all-inclusive.)

- Alcoholic beverages
- Spouse or family member's travel costs
- Telephone calls, or internet usage which are not business-related
- Lost/stolen cash or personal property
- Personal items and services, e.g., toiletries, luggage, clothes, haircuts, shoe shines, etc.
- Expenses which are not college business related
- Laundry, cleaning, pressing costs for trips of three days or less
- Avoidable expenses for non-business-related activities, such as sightseeing tours, etc.
- Traffic citations, parking tickets and other fines
- Additional charges incurred for personal reasons involving vehicle rentals
- Locksmith charges for vehicles, except when vehicles experience mechanical problems
- Parking costs at the assigned workplace
- Repairs, towing service, etc., for personal vehicles
- Meals included in the cost of airfare or registration fees
- Pay per view movies in hotel/motel room
- Personal entertainment
- Extra costs for additional person(s) in room
- Additional charges for late checkout or non-canceled reservations (unless justified)
- Lodging cost at unlicensed facilities unless there is a substantial cost benefit to the college
- Lodging within 50 miles of your duty station (unless properly justified and approved)
- Tips and Gratuities without written documentation showing that it was an obligatory charge.

D. Unallowable Costs

You, the project director, are primarily responsible for properly charging costs to your sponsored program according to the policies and requirements of your sponsoring agency and the college. To be charged to a grant fund, an expense must be reasonable and necessary, allocable, consistently treated, and allowable.

Reasonable and necessary: the cost reflects actions a prudent person would have taken under the prevailing circumstances. Can you explain why the expense is necessary to achieve the goals of the grant-funded program?

Allocable: the cost must clearly be assigned to the grant-funded project. If a grant pays for 100% of a box of instructional supplies, 100% of those supplies must be consumed by participants in the grant-funded program.

Consistently treated: the same procedures must be followed when incurring grant-funded expenses as those followed when incurring expenses paid using college funds.

Unallowable: expenses that are not allowed by law, regulation, terms, or conditions are termed unallowable. An allowable cost must meet the conditions of 2 CFR Part 200 as well as state and local laws and regulations. Any grant may have specific expenses that are defined as unallowable in the grant contract. The following list of expenses is generally unallowable on federal grants. Please familiarize yourself with the list and consult OGD, the college purchasing department, and/or the college personnel department before charging expenses on this list to grant accounts. There are exceptions, but these must be documented when the charge is made.

For more details regarding specific expenses, please see:
http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=6&SID=bbfcf08dbcece481af3283050375768a&ty=HTML&h=L&n=pt2.1.200&r=PART#sg2.1.200_1419.sg16

Unallowable expenses are excluded from both direct and indirect charges on grants, and are not included in the college's indirect cost rate for grants.

Examples of Unallowable Expenses

- Advertising and public relations (except to recruit a grant-funded position or to promote the grant-funded program's activities);
- Alcoholic beverages;
- Alumni/ae activities;
- Bad debt;
- Capital expenditures (>$5,000) not pre-approved by federal agency;
- Commencement and convocation costs;
- Contingency provisions;
- Contributions or donations, including cash, property, or services;
- Costs incurred in connection with any criminal, civil, or administrative proceedings;
- Entertainment costs (even on business trips);
- Fines and penalties;
- Food (except for program participants or for meals when traveling on program business and that follow college travel and meal policies);
- Fund raising and investment costs;
- Goods or services for personal use;
- Housing and personal living expenses;
- Institutionally furnished automobiles or other vehicles;
- Lobbying costs, at any level of government;
- Losses on other sponsored agreements or contracts (note: it is never allowable to cover an over-expenditure on one grant by using funds from another);
- Memberships and subscriptions (except when necessitated by the grant);
- Office supplies (non-instructional, unless for a large printing project or mailing necessitated by the grant);
- Payroll for university employees not engaged in the grant's activities;
- Payroll in disproportionate amounts to the work performed on the grant;
- Payroll at a rate of compensation above Institutional Base Salary (except winter or summer session teaching assignments for 10-month faculty);
- Postage (unless an unusually large mailing is necessitated by the grant)
- Professional service costs when work could be performed by qualified university personnel;
- Proposal costs, including payroll for personnel working on the proposal;
- Publication and printing costs (aka "page charges", except when a research paper reports work sponsored by the federal government);
- Recruitment and relocation costs for employees not working on the grant (allowable for grant-funded employees; however, if employee resigns within 12 months of hire, recruitment and relocation expenses must be refunded to the grant);
- Selling and marketing costs;
- Student activity costs (unless specifically provided for in the grant award);
- Telephone--local charges (included in F&A, long distance charges for specific purposes of the grant are allowable);
- Tuition & fees (except for program participants).

8. Install and Maintain Equipment

If you included major equipment in your grant budget, you should have already consulted with the appropriate departments, such as IT or Plant Operations, who must be involved in the installation of the equipment. Now that the grant or contract has been funded, you must follow up with these respective offices as soon as possible to arrange for their services. Additional considerations:

- Grant-funded equipment (items costing more than $5,000) must be tagged and inventoried. The PD/PI is responsible for maintaining a record of each item's location and condition.

- Sponsors vary regarding the disposition of equipment after the project is completed. The PD/PI is responsible for determining steps to be taken at project closeout regarding equipment disposition.

9. File Project Reports

The grant contract specifies reporting requirements. Most grants require annual or interim reports as well as a final program report and final fiscal/financial report. The PD/PI is responsible for preparing the narrative portions of all interim and final reports as well as preparing parts of all financial reports in collaboration with the grants accountant in the Office of Business and Financial Affairs.

At least one month prior to your reporting deadline, contact the grants accountant for assistance in submitting each financial report. <u>The grants accountant must approve submission of all financial or fiscal reports on behalf of the college</u>. In addition, you may also find it helpful to consult OGD to help ensure that all of the funding agency's requirements have been met and that your project budget has been properly reconciled with the grant's Banner account.

A. Interim Program Reports
Review the guidelines and contract to make sure you address every goal, objective, and activity you specified in the proposal. If there were unanticipated changes or goals were not fully attained, exceptions to the plan must be clearly explained. The funding agency may also have specific questions to be answered in the report.

B. Fiscal Reports
Fiscal reports generally consist of a spreadsheet displaying the approved budget alongside the expended budget. Sometimes, difficulties arise when attempting to reconcile the differences between the grant budget approved by the funding agency and various college budget line items. As the PD/PI, you will need to be available to assist the grants accountant to review specific transactions.

Remember that fiscal reports will likely require the approvals and signatures of the chief financial officer and often the president. It is essential that you collaborate with the grants accountant, and prepare your financial or fiscal reports on the funding agency's required

reporting forms. Allow sufficient time to compile and write the financial reports; it is best to begin at least one month before the due date.

10. Project Close-Out and Audit Preparation

A. Timely Budget Expenditures

For all grant and contract projects, unless otherwise specified by the funding agency, all expenditures must be completed within the grant project budget period or inclusive timeframe of the grant project. For example, the Education Department General Administration Regulations (EDGAR) Section 80.23 (b) stipulates that all funds must be obligated (encumbered and delivered) by June 30 and liquidated (paid) by September 30, for a grant project that operates between July 1 and June 30. For other purchasing requirements, consult your grant project contract or the purchasing office.

B. Close-out Procedures

To ensure that all of the grant requirements you described in your grant proposal as well as those in the contract have been met, you should review your project's progress between two and three months prior to the end of the grant. Before the conclusion of the project, you must ensure that:

- All activities were conducted, and your project goal(s) and objectives were achieved or are on target for completion;

- All equipment, supplies and materials purchases have been completed, i.e., received, installed, and paid;

- All major equipment items have been inventoried and tagged with SCCC equipment identification numbers;

- All personnel time has been documented by filing time & effort documentation forms and the staff have been or are being paid;

- All of the components of the project evaluation have been planned and completed;

- The institution's in-kind contributions and/or match have been completed and documented; and

- The final project report and final financial report has been completed, and certified by the grants accountant in the Office of Business and Financial Affairs.

11. Other Requirements

A. Financial Conflict of Interest Training and Disclosure

As of 2012, requirements are in place instituted for project directors and senior personnel overseeing federally grant-funded programs. These requirements apply to a limited but

ever-broadening list of Federal awarding agencies and non-profits. To remain compliant if you have received a grant from one of these agencies, you must complete training in Research Financial Conflict of Interest once every four years, and you must report "Significant Financial Interests" at least once per year.

OGD has developed a self-guided Research Financial Conflict of Interest training module which includes online material from the National Institutes of Health Office of Extramural Research. OGD will contact you if you are required to undergo the training. If you have completed this training though another institution, please forward to OGD.

As of this edition of this manual, the agencies requiring Financial Conflict of Interest training and declaration include:

All PHS Agencies:	Other Federal	Private
AHRQ, ATSDR	NSF	American Heart Assoc.
ASPR, CDC	US Dept. of Energy	American Cancer Soc.
FDA		Alliance for Lupus Res.
HRSA		Arthritis Fdn.
IHS		American Lung Assoc.
NIH		CA Breast Cancer Res.
OG, OASH		Cure PSP
SAMHSA		JDRF
USDA		Lupus Fdn. of America
		PCORI
		Susan G. Komen Fdn.

B. Foreign Influence Disclosure

Recipients of grants from US ED, NSF, NIH, and other federal sponsors are required to disclose any potential source of foreign influence on their sponsored program. Section 117 of the Higher Education Act of 1965 requires disclosure of gifts or contracts valued at $250,000 per year or more. NSF, NIH and many other federal agencies require gifts, contracts, or any other resource or support of any value to be disclosed. If you have any form of foreign support, especially in the form of gifts, contracts, or grants, contact OGD before you complete your proposal. If you receive such support while you are a federal grant recipient, you must also disclose to OGD and your funding agency immediately. Such support is generally disclosed in your grant proposal biographical sketch section, current and pending support section, and other support budget and budget justification sections.

The following links provide further information regarding what and how your may be required to disclose:
- NSF: https://www.nsf.gov/bfa/dias/policy/disclosures_table.jsp
- NIH: https://grants.nih.gov/grants/forms/NIH-Disclosures-Table.pdf

C. Export Controls

If you plan to travel internationally or have contact with foreign nationals, you need to be aware that the US Department of Commerce, Department of, and the Department of Treasury regulations may apply to you. These regulations, known as Export Administration Regulations (EAR), State International Traffic in Arms Regulations (ITAR), and Office of Foreign Assets Control (OFAC), place restrictions on specific technologies and intellectual property that limit sharing. Please contact the Office of Grants Development if you have a grant-funded program to which export controls may apply.

ATTACHMENT 1
Online Grants Administration Resources

EDGAR Education Department General Administrative Regulations:
http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html

Guidance and Other Information New York Department of Education:
https://www.oms.nysed.gov//cafe/guidance/

Proposal and Award Policies and Procedures Guide National Science Foundation
(policies & procedures to guide, manage and monitor NSF grant awards)
https://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp

2 CFR PART 200—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS
http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=6&SID=bbfcf08dbcece481af3283050375768a&ty=HTML&h=L&n=pt2.1.200&r=PART

ATTACHMENT 2

USEFUL FORMS AND RESOURCES

Grants Forms:

- Grant Submission Form
- Time and Effort Certification Form (https://www.sunysuffolk.edu/about-suffolk/administration/institutional-advancement/documents/TimeEffortForms2.docx and attached at end)

The Webpages of the Office of Grants Development:

http://www.sunysuffolk.edu/about-suffolk/administration/institutional-advancement/grants.jsp

The College's Institutional Review Board:

http://www.sunysuffolk.edu/about-suffolk/office-of-planning-and-institutional-effectiveness/institutional-review-board.jsp

College Forms:

https://my.sunysuffolk.edu/web/home-community/employee-forms

College Purchasing and SharkMart:

https://my.sunysuffolk.edu/web/home-community/purchasing

SUFFOLK COUNTY COMMUNITY COLLEGE
TIME & EFFORT DOCUMENTATION FORM

This form must be signed and submitted for any time period during which the employee has worked on grant-related activities.

EMPLOYEE NAME: _____

POSITION TITLE: _____

GRANT TITLE: _____

DEPT.: _____ CAMPUS: _____ GRANT BUDGET #: _____

I have performed the duties, as listed on my position description and/or per the grant obligation, for the following two-week pay period(s):

Pay Period (Start – End Dates)	# Hrs Worked on Grant Project			Total # Hrs Worked
TOTAL				

_____   _____
Signature−Employee   Date Signed   Signature− Project Director (PD)/Supervisor

_____   _____
Print Employee's Name   Print Name of Project Director/Supervisor

(The project director should retain 1 copy of this completed form for his/her files for at least 7 years after the grant is completed and closed out.)

SUFFOLK COUNTY COMMUNITY COLLEGE

TIME & EFFORT DOCUMENTATION FORM

This form must be signed and submitted for any time period (preferably once per semester) during which the employee has worked on grant-related activities.

EMPLOYEE NAME: _____ REPORTING SEMESTER: _____
POSITION TITLE: _____ SUPERVISOR: _____
DEPT.: _____ CAMPUS: _____

I have performed the duties, as listed on my position description and/or per the grant obligation, for the following period(s):

Sponsored Activities

Grant Programs	Org Code	Job Title	% Direct Charge	% Cost Share	% Total Effort
Total % Sponsored:					

Non-sponsored Activities

Department or Office	Job Title	% Direct Charge	% Cost Share	% Total Effort
Total % Non-sponsored:				

TOTAL EFFORT:			100%

_____ _____ _____
Signature–Employee   Date Signed   Signature– Project Director (PD)/Supervisor

(The project director should retain on file 1 copy of this completed form for at least 7 years after the grant is completed.)

SUFFOLK COUNTY COMMUNITY COLLEGE

Time and Effort Reporting Instructions

A Time & Effort Documentation form is required for all college personnel who are fully or partially funded by one or more grants. The form must document that the grant-funded employee worked the time for which the grant compensated that employee.

A supervisor cognizant of how the grant-funded employee spent the time must countersign on the form. Forms should be completed and signed once for fall, spring, and summer semesters (winter session may be accounted for in either the fall or spring form, or may be reported on a fourth form if the PD/PI desires).

The PD/PI is responsible for securing all completed and signed forms and maintaining them on file. The PD/PI may be asked to forward copies of time and effort documentation to the Office of Grants Development. Errors in Time & Effort documentation discovered after certification must be corrected by recertifying and providing an explanation of how the error occurred and what can be done to prevent its reoccurrence.

The first form may be completed by employees **funded 100% by a single** grant.

The second form must be completed by employees who are **funded by a grant and at least one other funding source**, such as another grant or the college. The second form reports only the percent of the employee's compensated time that is funded by each source. These percentages must match the percentages paid by each source, and all sources must add to 100% of the employee's total Institutional Base Rate (IBR) compensation.

SUFFOLK COUNTY COMMUNITY COLLEGE

Example

TIME & EFFORT DOCUMENTATION FORM

This form must be signed and submitted for any time period during which the employee has worked on grant-related activities.

EMPLOYEE NAME: _____   REPORTING SEMESTER: *Fall 2016*
POSITION TITLE: *PA* _____   SUPERVISOR: _____
DEPT.: _____   CAMPUS: _____

I have performed the duties, as listed on my position description and/or per the grant obligation, for the following period(s):

Sponsored Activities

Grant Programs	Org Code	Job Title	% Direct Charge	% Cost Share	% Total Effort
CTEA ME3 JSS	GU4916	Professional Asst.	78%	—	78%
SUNY iPROMOTE	GC8316	" "	22%	—	22%
		Total % Sponsored:	100%	0%	100%

Non-sponsored Activities

Department or Office	Job Title	% Direct Charge	% Cost Share	% Total Effort
	Total % Non-sponsored:	—	—	—

		% Direct Charge		% Total Effort
	TOTAL EFFORT:	100%		100%

X _____   _____   X _____
Signature–Employee   Date Signed   Signature– Project Director (PD)/Supervisor

(The Project Director should retain on file 1 copy of this completed form for at least 3 years after the grant is completed.)