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Office of Development

The Office of Development coordinates grants management activities related to programs funded by external sources such as federal, state, local and private organizations. The Office of Development is comprised of two Assistant Directors of Grants and Contracts, the Grants Compliance Officer and the Associate Vice Chancellor of Development.

The Development staff takes a comprehensive approach to grants management and engages in the award life cycle from the time a funding source is identified through the close out of a grant or award. We provide an overall support structure to assist faculty members in a variety of ways from funding source identification to proposal development assistance, and budget development to proposal processing and submission. The Office of Development coordinates with the Primary Investigators/Project Directors, and key departments (Grants Accounting, and The Office of the General Counsel), to ensure that grants are accepted, agreements approved, and budgets loaded for spending/tracking.

The Office of Development also serves as a comprehensive resource for CCC’s faculty and staff at the seven colleges and District Office. Workshops and webinars are provided throughout the year on topics such as CCC procedures regarding grants management, proposal writing, and submission of grants to funders. The CCC Grants Management Manual, eCivis and other resources are also available to assist with the process of writing and submitting successful grants.
Introduction

The City Colleges of Chicago encourages faculty and staff to seek external funding to support projects related to the City College’s mission and goals. Grant funding can increase institutional capacity to deliver effective instruction and services, provide students with additional opportunities, further faculty development, secure equipment, improve classroom infrastructure, and otherwise provide additional resources.

Your willingness to engage in grant-funded projects is important to the colleges and the district, and the time and effort spent on these endeavors is appreciated. It is important to know that, Principal Investigators (PIs) assumes primary duties and responsibilities related to the implementation and management of the project.

The Office of Development is responsible for supporting faculty and staff as they seek, are awarded and manage grant funds. Early and ongoing communication with the Development Office will ensure that maximum support is provided. The Development Office supports all CCC personnel in grant-related matters including finding funding, proposal writing and submission (pre-award), and facilitating the post-award process.

General Information

The process of funding begins with the identification of a concept and runs through the implementation and management of the project. Included in this process are the identification of resources needed, search for potential funding sources, initial contacts with agencies, development of proposals, and administration of the funded project.

This manual will help City Colleges of Chicago faculty and staff understand the process of submitting proposals for grant funding and implementing grant funded projects. This manual presents a brief overview of how to develop a proposal for funding and provides a series of procedures, regulations and other pertinent information for staff members who intend to write and submit proposals for grant funding.

Keys to successful grant funded programs:

- INNOVATION and CREATIVITY
- ORGANIZATION and MANAGEMENT
- FISCAL INTEGRITY
- COST-EFFECTIVENESS and PRODUCTIVITY
- DOCUMENTATION and EVALUATION
Principal Investigator (PI)

Roles and Responsibilities
A Principal Investigator (PI) has the primary responsibility to be informed of all matters contained in this training document, to ask questions, request assistance, and effectively train and supervise project personnel. It is the PI’s duty to continuously exercise responsible judgment in the administration of their grant project.

PI’s are also responsible for the technical and programmatic content and management of the project, including the work of collaborators and sub-recipients, managing the budget, and ensuring that the project goals and objectives are accomplished. They assure that contractual/award terms and conditions are met, and make certain that the project stays within budget. PI’s responsibilities includes:

Pre-Award
- Prepares Proposal/Application
- Forwards completed proposal/application to Office of Development at least five (5) days prior to deadline
- Completes and Submits Board Report Submission Form to Office of Development

Post-Award
- Notifies Grants Budget Analyst, President, Office of Development, Business Office Staff and Co-Principal Investigator of receipt of award
- Forwards all grant agreements to Office of Development who will initiate legal review process.
- Works with Human Resources to begin hiring process (if applicable).
- Reviews final budget and if changes are needed, revises and re-submits to Program Officer for approval
- Coordinates with Grants Budget Analyst to upload Funder Approved Budget into PeopleSoft

Grants Management
- Adhere to specific funder regulations and CCC policies and regulations regarding changes to key personnel, scope of work, objectives
- Monitors budget including all sub-awards
- Follow CCC policies on purchasing and expenditures
- Monitor achievement of grant objectives, including sub-awardees
- Prepares all Program Reports
- Provides Grants Analyst with all supporting documentation
- Communicates and negotiates directly with funder if budget modification is needed
- Prepares Award Modifications: Budget Adjustments, No-Cost Extensions, Transfer of Awards, Terminations
Idea stage: Before You Submit a Proposal

Develop your program idea

This is the time to clarify what you want to do. Some questions to answer are:

- What problem are you trying to solve?
- What services will be provided or activity will take place?
- Who will be served?
- What are the time constraints?
- Who will provide the service?
- Why is the service needed?
- Approximately how much will it cost?

What to consider before developing the idea into a proposal

- What is the need?
- How will this program benefit City Colleges of Chicago?
- How many people will be served?
- What is the benefit to CCC students?
- What would funds be used for?
- Does the project appear to be more appropriate for public or private funding? For example, is the project serving a special population such as students with disabilities or specific program?
- Are the outcomes transferrable to other populations?
- Can the project be a prototype for other projects?
- How will the project continue at the end of the award period?
- Do you have support/buy in from leadership?

Developing an idea into a viable program

Now that you have an idea and want to write a grant the next step is to complete an Intent to Submit a Proposal (ISP) form.

The Intent to Submit a Proposal form should state how your project/program aligns with CCC Performance and/or Organizational Health goals. It must be signed by your Campus President or Vice-Chancellor prior to submitting to the Office of Development.

Note: All grants that plan to expend more than $24,999 for construction, will need approval from the District Capital Planning Office.
Finding a Funding Source

Prospecting

Development can provide information about available grants and help research prospective public or private funding sources. Types of funders include:

- Government
  - Federal
  - State
- Municipal
- Private Foundations
- Corporate Giving Programs

City Colleges of Chicago and the Office of Development have entered into an agreement with eCivis, a web-based all-inclusive grants management system. eCivis provides CCC with tools and resources for grant prospecting, grants management, evaluation and educational components. Training is available through online training modules, and the Development staff is available to assist with questions. eCivis can also be used to track your proposals through the development phase.

Specialized funding can sometimes be obtained from special private foundations. Local businesses may also be interested in funding projects which improve the local community.

- The Foundation Directory is an important source of information about the largest private foundations.
- The Donor's Forum of Chicago is an organization which helps identify sources of funding. RFP's or Requests for Proposals are published by government agencies which are preparing to give grants or contracts for special projects.
- The Catalog of Federal Domestic Assistance is a document which outlines virtually all federal domestic spending.
- The Federal Register publishes information about programs which are being considered or have been approved by Congress, including rules and regulations. These sources provide primary information to proposal writers who are searching for funding.
Writing Your Grant Proposal

The Office of Development can provide a variety of services to support your proposal writing efforts. In addition to providing necessary data and information about the colleges, identification numbers, fringe benefit rates and indirect cost rates, the Office of Development has well-qualified grant writers that can assist you with your grant writing needs.

Keys to a Successful Proposal

- Carefully review the funder’s guidelines:
- Determine eligibility criteria/funding levels;
- Follow all directions – both content and format;
- Address funder interest;
- Use current data to support the case/need;
- Proofread/edit/check for accuracy/formatting.

The most important aspect of any proposal is that it provides exactly the required information in a clear and well organized format. Some agencies specify the exact parts of the proposal, in sequence, with a page limitation for each. Other agencies allow greater flexibility and variability in the format and nature of the proposal that is being submitted.

A good proposal must accomplish the following tasks:

- Summarize the project;
- Identify the problem that is being addressed and provide pertinent background information;
- Demonstrate the need for the project;
- Explicitly list objectives, goals and activities for which funding is requested;
- Give a time sequence of activities showing staff responsibilities;
- Identify key staff members and their qualifications;
- Describe an evaluation plan for the project;
- Present the detailed budget and budget justification or narrative.
Pre-Award

Submitting Your Proposal
Electronic Submission of Proposals is required by most federal and state agencies today. The Office of Development processes electronic submissions of proposals. It is imperative that all grant proposals are forwarded to the Office of Development (5) five days prior to the application deadline to ensure a timely submission.

Authorized Authority
The Vice Chancellor of Institutional Advancement is the current signing authority for all grants and approves and submits proposals on behalf of the colleges and the District. The approval of the College President or head of the appropriate District administrative unit is required prior to the submission of a proposal. This approval is secured with the completion of an Intent to Submit a Proposal form.

Board Report Submission Form
The Office of Development created a “Board Report Submission” form. The purpose of this form is to ensure that the Board of Trustees is aware of your proposal and approves acceptance of funds, if awarded.

This form should be forwarded to Development at the time the proposal is submitted to prevent a two–three month delay in loading your budget. Once you submit this form, you will be assigned a proposal development number (PD).

Again, all proposals must be submitted to the Office of Development prior to submission for funding. Any proposal submitted directly to the funder may result in a program delay or cancellation.

The Office of Development is responsible for processing grant documents, Intent to Submit a Proposal forms, and developing the monthly 3.00 Section of the Board report. We issue proposal development numbers (PD) for proposals and/or awards, obtain legal reviews of contracts and agreement, official signatures, and maintain files for audit and record keeping purposes.

Section 7.1.1 of the Board Rules, Grants and Gifts
Acceptance of grants, bequests, contributions, and scholarships, are subject to notification of the Board within 60 days of said acceptance and the Chancellor, or designee, is authorized to accept the grants, bequests, contributions or scholarships. Any such funds received shall be governed by the specific restrictions and limitations placed on the Board by the grantors and shall not be expended for any other purpose.

Section 7.1.2 Gifts
The Board may accept, on behalf of the District, any gift, contribution, bequest, devise or grant for general or special purposes of the Board, the District, or the Colleges.
Post-Award

Grant Award Notifications
Once the award notification (i.e., grant award, agreement or contract, purchase order, or letter of intent) is received, it must be reviewed by the Development Office prior to beginning work on the project. Grant award notifications are usually sent directly to the P.I. via email or regular mail depending on the funder. In some instances the funder will submit a check along with a letter notifying you of your award. This should be immediately forwarded to the District Office of Grant Accounting.

Executing Your Contracts and Sub awards
The execution of grant agreements, contracts and sub award agreements must involve the Development Office and the Law Department. The funder will most likely submit agreements, contracts and sub-award agreements to the grant PI. It is the responsibility of the PI to forward these documents to the Office of Development. Development will ensure that all contracts and agreements are submitted to the Law Department for legal review. Please take into consideration the 21-day turn around for all items for review/approval by General Counsel. Once the approval has been completed by the General Counsel the agreements, contracts and/or sub award agreements will be signed by the Vice Chancellor or designee, then sent to the funder for full execution.

HR/Hiring For Your Grant Position
Once you receive notification of your grant award it is imperative that you immediately set up a meeting with Human Resources. HR professionals can provide guidance on the details related to successful management of personnel matters; this, in turn will help you expend grant dollars for personnel in a timely and effective manner.

To prepare for your meeting, make sure to have a working budget prepared to present a clear picture of all personnel required for your grant project. You should bring a copy of the award letter and approved budget to the meeting with you.
Loading Your Grant
The manager of a grant project is often, but not always, the author of the original proposal that was submitted to the funding agency. In some cases, particularly those involving research, the Principal Investigator (the term which refers to the individual who is responsible for the management of a funded project) will be specified in the proposal and cannot be changed by the College or District without the funding agency's approval. This individual is responsible for all aspects of the project and can be held accountable for specific grant operation concerns.

The PI should ensure that all contracts and documents have been received from the funder prior to submitting a load packet to your campus business office or grants analyst. Please note that only the PI and representatives from the Office of Development can communicate with the funding agency.

Please refer to the attached “Grant Load Packet Checklist” for the items that you should include in your grant load. Keep in mind, Grant Accounting will not be able to generate an award for your grant until the grant load packet has been reviewed for accuracy.

PI’s should also be aware that overspending and underspending are indications of poor grant management. Overspending costs the District, and these are funds that had not been anticipated for this project; makes the grant project a financial liability. Underspending usually results in returning unspent funds to the funding agency. This means that either the project objectives were not accomplished or the project was not properly planned. In the case of underspending funds will be sent back to the grantor at the end of their performance period. The funding agency will often reject future based on past performance results.

Each PI has responsibility for the management of his/her project. This responsibility cannot be delegated. This duty encompasses all aspects of the project: fiscal, program and general compliance requirements.
Grants Budget Analyst

Roles and Responsibilities
A Grants Budget Analyst has the primary responsibility of monitoring all grant transactions for the college by collecting, examining, and compiling financial grant data; creating spreadsheets and entering the financial data accordingly; making calculations; developing reports and/or charts; adjusting records; and other miscellaneous requests made by the supervisor, President, or any of the assigned Program Directors.

Pre-Award
- Assist in preparation of proposal budget for submission to funder.

Post-Award
- Uploads new grant budgets into PeopleSoft.

Grants Management
- Collects, reviews and compiles financial data on all grant transactions.
- Sends Purchase Orders to vendor and follows-up on invoices.
- Creates receipts in PeopleSoft to pay invoices.
- Prepares Direct Vouchers for payment.
- Processes budget transfers.
- Provides PIs with financial documentation.
- Verifies accuracy of Time & Effort Reports.
- Enters Requisitions into PeopleSoft.
- Verifies payroll and ensures charges are made to the appropriate accounts.
- Communicates to PIs any financial transaction errors.
- Reconciles all grant errors and financial management issues.
Reporting

PI’s are responsible for timely submission of all required reports, deliverables or other information required by the terms and conditions of the award. The PI is responsible for providing the Development Office and the District Grant Accounting department with any information required to complete financial reports. Evidence that reports have been submitted to the funding agency (e.g., cover page, online verification, or email confirmation) must be forwarded to the Development Office for the project file.

The reports that a PI will be responsible for submitting to the funder include:

**Program Reports**
The funder will always require progress reports, and the PI is responsible for the timely submission of all program reports to the funder. Meeting project benchmarks will ensure that the project stays in good standing with the funder. In the event that program reports need to be certified, it is imperative that reports are submitted to the Development Office well in advance of reporting due dates. This will ensure the timely review by the Development Office to ensure that all programmatic objectives have been met during the grant period.

**Financial Reports**
The District uses PeopleSoft for financial transactions and accounting. The Project Director should be prepared to access PeopleSoft for the management of the project. If necessary, the PI should reach out to their campus Business Office, Grants Analyst and/or the District Grant Accounting for assistance.

**Time and Effort**
As a recipient of grant funds, the City Colleges of Chicago must comply with the Office of Management and Budget (OMB) Circular A-133 (Cost Principles for Educational Institutions Part 200).

**Property and Equipment Management**
PI’s must ensure that all equipment purchased using grant funds are used solely for authorized purposes. The following requirements must be met in order to meet the Federal guidelines for property management:

- Maintaining property records
- Maintaining inventory every 2 years
- System in place to prevent loss and the safeguarding of all equipment (asset tags)
- Maintenance records

*Source: Cost Principles for Educational Institutions Part 203.13*
Grant Close-Out

Grant Accounting Department
According to the Cost Principles for Educational Institutions,

“Closeout means the process by which the Federal awarding agency or pass-through entity determines that all applicable administrative actions and all required work of the Federal award have been completed and takes actions as described in § 200.343 Closeout”.

Source: Cost Principles for Educational Institutions Part 200.16

End of project tasks must be planned several months before the end of the funding period. These tasks might include:

• Processing final project expenditures and obtaining budget transfer approvals;

• Providing official notification of staff terminations;

• Arranging for audits and writing final reports.
Addendum 1 - Grants Finance Quick Guide
Grant Accounting

The District uses PeopleSoft for financial transactions and accounting; The Principle Investigator (PI) should be prepared to access PeopleSoft for the management of the project. If necessary, the PI should reach out to the campus business office, grants analyst and/or the Grant Accounting department for assistance.

This guide provides you with the rules and regulations for allowable and unallowable costs and well as the instructions on completing:

- ACM$ drawdowns (Federal Payment Request Preparation Procedure)
- Budget revisions
- Cost/Budget transfers
- Project Related Costs
- Budget and Expenditure Monitoring

Unallowable Costs
Below is a list of unallowable costs. While not comprehensive, this covers the most common types of unallowable costs.

- Alcoholic Beverages
- Bad Debts
- Contingency Provisions
- Defense and Prosecution of criminal and civil proceedings, claims, appeals, and patent infringement
- Donations and Contributions (to other entities)
- Donated Property
- Donated Services
- Entertainment
- Fines and Penalties
- Fundraising and investment management costs
- Gains and Losses on depreciable assets
- Goods or Services for personal use
- Housing and Personal living expenses
- Interest
- Lobbying
- Losses on other sponsored agreements or contracts
- Selling and Marketing

The above unallowable costs are consistent with CFR 230 (A-122) cost principles for non-profit organizations.
**Reasonable, Allocable, and Allowable Costs**

The Principal Investigator and Business Department personnel must ensure all costs associated with a federally funded program are necessary for the overall operation of the program. The costs of goods and services must have comparable market prices for the Midwest area. Costs must also benefit the federal program and students involved in the program. The costs of goods and services must be necessary and reasonable for the performance of the federal award and in accordance with generally accepted accounting principles (GAAP). Costs must be adequately documented in PeopleSoft Grant Module. All costs must be allowable and adhere to the PART 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

City Colleges of Chicago has a workflow process in place so unallowable costs are not charged to any restricted grant or unrestricted program. The process begins with a clerical staff person initiating a Purchase Requisition in the PeopleSoft Module. Once entered, the Requisition is forwarded to the Principle Investigator (PI) associated with administering the grant program. The PI will check the approved budget to verify whether the requisition falls within the scope of services. If so, the requisition is then routed to the Executive Director (ED) of the College Business Dept. for approval. The ED will have the Grant Analyst pull the approved budget for a second verification that the requisition is for a purchase of goods or services that are within the scope of the approved budget. The Requisition is then forwarded to the College President and then to City Colleges of Chicago District Office for final approval by a Vice Chancellor.

The above workflow prevents City Colleges of Chicago to order and remit payment for goods and services that unallowable for direct and indirect costs related to restricted or unrestricted programs.

**Budget Revisions**

Budget revisions are normally initiated by the Principal Investigator (PI). The revised budget worksheet is forwarded to the College’s Business Department for Department Head approval and signature. Once completed, the budget revision is forwarded to Grant Accounting for review. During the review process, the staff accountant will check the contract to insure the revision is within the terms of the contract. If so, the staff accountant will sign-off and forward the budget revision to the senior accountant for posting.

**Cost/Budget Transfers**

Cost / Budget Transfers are normally initiated by the Principal Investigator (PI). The Request for Budget Transfer form is then forwarded to the College’s Business Department for Department Head approval and signature. Once approved, the budget transfer is entered into PeopleSoft by the grant analyst. A hard copy with supporting documentation is forwarded to Grant Accounting for review. During the review process, the staff accountant will check the contract to ensure the transfer is within the terms of
the contract. If so, the staff accountant will sign-off and forward the budget revision to the senior accountant for posting.

**Project Related Costs**
Departmental Personnel initiate a requisition for goods and services needed for a restricted program. The requisition is forwarded to the Dean and or Principal Investigator of the respective program. Once approved, the requisition is forwarded to the Program Director. The Program Director will check the grant budget to ensure the goods and services are within the scope of the approved budget from the Funder. The Program Director also ensures the goods and services are not part of a list of unallowable costs that are consistent PART 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. The requisition, if approved, will be entered into PeopleSoft and routed via workflow to various personnel before being generated into a Purchase Order.

**Federal Payment Request Preparation Procedure**
The Grant Accounting Department prepares a drawdown after the Payroll and Accounts Payable transactions have been posted from the previous month. The bullets listed below are the step by step procedure the Grant Accounting Department performs on a monthly basis to request payment from Federal Agencies.

- Staff accountant runs Trial Balance.
- Staff accountant prepares fringe benefit and indirect cost calculation.
- Fringe benefit and indirect cost journal entry is prepared by staff accountant based on calculation.
- Fringe benefit and indirect cost journal entry is forwarded to senior accountant with support for review and posting.
- Once all fringe benefit and indirect cost expenses have been posted, staff accountant runs a second Trial Balance.
- Staff Accountant prepares journal entry to record revenue based on payroll, non-payroll, fringe benefit and indirect costs that were incurred for the current month. The offset to the revenue entry is accounts receivable.
- Revenue/Accounts Receivable entry is forwarded to senior accountant with support for review and posting.
- Once Revenue/Accounts Receivable entry is posted, staff accountant runs a final trial balance.
- Final Trial balance is forwarded to Senior Accountant.
- Senior Accountant prepares a draw-down spreadsheet that consists of the following: Federal award#, CCC project grant#, award amount (authorized amount), cumulative amount for prior month or quarter, net disbursement amount, and unobligated balance.
- Once the draw down spreadsheet is complete, senior accountant verifies that the award amount, cumulative amount, and unobligated balance agree to the FFR Attachment.
- Once the FFR attachment and draw down spreadsheet are tied out and agree, the senior accountant forwards all applicable documentation to associate controller for final review.
• The associate controller reviews spreadsheet, support, and FFR attachment for accuracy.
• The associate controller initials the draw-down spreadsheet, if all information is accurate and concise, forwards all applicable documentation to senior accountant.
• Senior accountant will then forward all applicable documentation to general accounting’s senior accountant who will access federal website for online submission of payment request.

**Budget and Expenditure Monitoring**

Budget and expenditure reports (At-Risk Reports) are distributed to each College that has any restricted funded programs. The reports are remitted on a monthly basis and are sent to the Principal Investigator, Program Director and Business Office personnel. The following criteria are included in the monthly Budget and expenditure reports:

• Grant Name
• Expense Category
• Performance period
• Name of Principal Investigator
• Total award amount
• Total Obligations
• Total Expense
• Remaining balance
• Percentage of Days elapsed, award spent, remaining days, and remaining award
• Bar Graph of award amount compared to obligations and total expense

The At-Risk reports are also sent twice a year (November and April) to each College President. Campus visits are also conducted annually to discuss the status of each grant.
Addendum 2 – CCC Travel and Reimbursement Policy
WHEREAS, the Illinois Public Community College Act, as amended, lists the powers and duties of community college districts in the State of Illinois, and states in 110 ILCS 850/3-30, that:

“The Board of any Community College District has the powers...that may be requisite or proper for the maintenance, operation and development of any college or colleges under the jurisdiction of the Board.”

WHEREAS, the City Colleges of Chicago Employee Reimbursement and Travel Allowance Policy has been developed to address the employee reimbursement process, including employee travel;

WHEREAS, Section 4.3 of the Board Bylaws of City Colleges of Chicago provides for the adoption of policies and states that:

“The Board may adopt, from time to time, policy statements, guidelines, procedures, regulations, collective bargaining agreements, codes of conduct or similar documents issued for the governance of the Board, the District and the Colleges.”

WHEREAS, the Employee Reimbursement and Travel Allowance Policy has been revised to include reimbursement guidelines for travel within and outside the local area, including local mileage reimbursement eligibility and vehicle allowance criteria (attached as Exhibit A); and

WHEREAS, the Officers of the District support the new policy revisions to the Employee Reimbursement and Travel Allowance Policy that are being recommended by the Chancellor;

NOW, THEREFORE, BE IT RESOLVED, that the revisions to the Employee Reimbursement and Travel Allowance Policy be adopted by the Board of Trustees effective February 6, 2014, and posted to the City Colleges of Chicago website.

February 6, 2014 - Office of Finance
EMPLOYEE REIMBURSEMENT AND TRAVEL ALLOWANCE POLICY

Revised Feb 2014
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I. General Information

A. Purpose
The primary means of purchasing goods and services necessary for conducting City Colleges of Chicago (CCC) business is the procurement process and not the employee reimbursement process. This policy addresses the employee reimbursement process, including employee travel. Employees must comply with the following protocols and related procedures; however, they are not intended to address every situation.

B. Effective date
This Policy is effective February 6, 2014, and replaces the former Employee Reimbursement Policy and the Local Mileage Reimbursement and Other Local Transportation Policy.

C. Acknowledgement Agreement
Upon hiring, employees are required to sign an Acknowledgement Agreement indicating that they accept the terms of this Employee Reimbursement Policy. Failure to comply with this Policy and the related procedures may result in the employee being held financially accountable for all prohibited expenditures and subject to disciplinary action up to and including termination of employment. Should the employee need to travel by personal or rental car for CCC business, the Mileage Acknowledgement form must also be signed in advance of travel.

D. Allowable/Unallowable Types of Expenditures

Allowable: Employees may incur reimbursable expenses in the course of doing CCC business, which may include taxi fare for times when public transportation is not available; travel expenses for pre-approved conferences; mileage, etc., that are allowed as detailed under this travel policy.

Unallowable: Below is a listing of expenditures that are not considered appropriate when conducting CCC business. This listing is not intended to be an exhaustive listing of all unallowable expenditures. If in doubt about a potential expenditure, the employee should discuss with his/her manager or the Chief Financial Officer (CFO). If a CCC college or department believes that a certain type of expenditure is absolutely critical, prior written approval from the CFO will be required and is to be included with the supporting documentation for reimbursement.

Unallowable/Restricted Expenditure Types

- Local Business Meals (within the 50-mile Chicago Metropolitan Area), except where contractually obligated per bargaining agreement or when an Officer of the District (OD) conducts an important business meeting with a current or potential business partner, as long as request for reimbursement is properly documented.
- Refreshments/Food (for meetings), except for student-related events and CCC-wide faculty and staff professional development events
- Food, Supplies or Other Costs (for employee events/holiday parties/birthdays)
- Gifts/Flowers/Gift Cards
- Alcoholic Beverages/Tobacco Products/Controlled Substances
- Personal Items
- Sponsorships/Donations
- Entertainment/Recreational Activities
EXHIBIT A
CITY COLLEGES OF CHICAGO
EMPLOYEE REIMBURSEMENT AND TRAVEL ALLOWANCE POLICY

- Appliances (e.g., microwaves, refrigerators, coffee makers)
- Kitchen Textiles (e.g., napkins, cups, utensils used in break rooms)
- Office Decor Items
- Traffic Citations/Parking Violations/ Fines and Penalties
- Sporting Goods
- Personal Car Washes or car washes for company vehicles done outside of CCC’s approved contracts
- Cash Advances except those provided for student related activities and those provided to coaches per the athletic policy/guidelines
- Capital Equipment/Construction Office Supplies
- Software and Related Licensing Agreements
- Professional or Trade Licenses Required for Employment (unless expressly stated in bargaining agreement or approved in advance by the CFO)
- Supplies and Materials for which CCC has a contract to purchase
- Any other item deemed inappropriate/unnecessary for conducting CCC business.

II. Employee Reimbursement Policy and Procedures

A. Expenditure Limits for an Individual Purchase
No individual purchases are allowed without pre-approval by the employee's department head, the CCC CFO or the appropriate Officer of the District.

B. Funding Authorization
Expense Reimbursement Form must include the appropriate funding codes. It is the responsibility of the employee, approver, manager, and department head to verify available funding levels prior to submitting to either CCC’s Office of Finance or the college business office for reimbursement.

C. Supporting Documentation
Employees must submit a completed signed Expense Reimbursement Form along with supporting documentation for the allowable business expenditures within 15 business days of purchase or last day of travel to his/her manager (first line approver) for approval. All expenditures must be substantiated by the following supporting documentation:

- Reason and purpose of the purchase, as well as why the item was not purchased via the normal purchase order/procurement process.
- Original receipts with proof of payment, which include vendor name, date of purchase, individual items itemized with exact dollar amounts.
- Additional supporting documentation (packing slips, etc.) must also be original. This would include documentation of any pre-approval for expenditures.
- In case of cash advance, if authorized reimbursement request and supporting documentation is not submitted in 30 days, the advance may be deducted from employee’s payroll check.

If original receipts and/or supporting documentation are unavailable the employee must provide a written explanation and signed certification stating the reason the original is unavailable.

D. Review and Approval
The Expense Reimbursement Form must be approved by the employee's manager or department head (first-line approver), the appropriate Officer of the District and then the Finance Department prior to reimbursement.
• The Approvers’ signatures must be original - copies/stamped approvals are not acceptable. Approval authority may be delegated on a limited basis with prior written approval from the Chief Operating Officer or Chancellor.
• Approvers cannot approve their own expenditures. If an Approver is part of combined group expenditure, the highest-ranking employee in the group will submit the expenditure for approval to his/her manager.
• Expenditures of executive management of CCC are to be reviewed/approved by the CFO. Approval authority may be delegated on a limited basis with prior written approval from the COO or Chancellor.
• CCC’s Finance Department will review reimbursement for policy compliance and will deny all or part of any reimbursement that fails to comply with CCC Policy.

It is the responsibility of the first-line approver to ensure that an employee's Expense Reimbursement Form is properly completed and that adequate documentation has been provided to support that the expenditure is a valid CCC business expense (and to deny reimbursement requests that do not comply). The reimbursement form will be returned to the first line approver if not complete per the requirements below. The first-line approver needs to review for the following:

• Timely submission of reimbursement request (within 15 days from purchase)
• Proper forms/documentation and reasons for purchase;
• Mathematical accuracy;
• Original receipts with proof of payment;
• Recording cash advance, if applicable and submission of check for monies due CCC;
• Documentation of the pre-approval for expenditures;
• Signed Reimbursement Form;
• Available budget funds to pay for the reimbursement;
• Proper allocation of expense according to budget procedures and to the proper budget account string

When the first-line review and approval is complete, the Approver submits the reimbursement request and documentation to the next approver for signature, who will then forward the request to the Finance Business Services Department. This process needs to be completed within 10 business days from the time that the employee submits the Expense Reimbursement Form to the first line approver.

E. Reimbursement/Payment Process
The expenditure is processed for payment after the supporting documentation has been properly reviewed and approved by the Finance Department.

Noncompliance - CCC will deny reimbursement for expenditures which do not comply with CCC policy. Unreasonable, exorbitant, improper, or unsubstantiated charges will be denied.

Fraud - An employee who knowingly misrepresents the facts concerning reimbursements of official CCC business or who files or signs any reimbursement forms which contain deliberate false statements given with intent to defraud CCC may be subject to both administrative and/or disciplinary action, including the possibility of termination and criminal action.
F. Petty Cash Policy
Petty Cash funds (including Contingency funds) are not allowed.

G. Procurement Card Policy and Procedures
CCC does not permit the use of Procurement (credit) cards.

H. Monitoring/Audit Policy
A Monitoring/Audit process is employed by CCC to ensure compliance with the Employee Reimbursement Policy and that expenditures are being properly processed and paid/reimbursed accurately. The monitoring and analytical review of expenditures and individuals are also important controls.

I. Recurring Expenditures
Frequently recurring expenditures, such as office supplies, building materials and “big box” store purchases, that are being consistently procured individually and not through a contracted purchasing agreement or the normal procurement procedures need to be reviewed to determine if there is an existing purchasing agreement for them. If not, purchasing agreements should be put in place in order to ensure that CCC is obtaining these expenditures as economically as possible. If a purchasing agreement is in place and these types of purchases continue to be made through the Reimbursement process, reimbursement for the expenditures will be denied.

J. Training
Employees of CCC shall undergo training regarding the CCC Employee Reimbursement Policy at the time of implementation of the new Policy, or upon hiring for new employees. Additionally, for individuals whose jobs frequently require them to submit or manage expense reimbursements, refresher training should be considered on a yearly basis.

K. Transparency
CCC uploads individual employee reimbursement information to its website on a monthly basis. Proactive transparency increases disclosure of and accountability for CCC expenditures.

L. Exceptions/Exemptions
Any potential exception/exemption from any component of this Policy must be discussed with and submitted to the CFO for consideration. Any approved exception/exemption will be considered part of the Policy and will be retained as part of the Policy.

III. Travel outside Chicago region
When an employee is traveling on behalf of and for the benefit of CCC, the employee is expected to exercise good judgment in managing travel costs and make every effort to ensure that the cost of travel arrangements is as economical as possible. Employees are expected to follow the Reimbursement process outlined in Section IV below.

a. Conferences
i. Employees attending conferences must fill out the conference leave form at least 30 days prior to travel. Upon return, the employee then submits the Reimbursement form to receive reimbursement.
ii. Payment of registration fees should be made through the purchase order process, and must be done as far ahead of time as possible to ensure lowest fee.
iii. Hotel stays within the Chicago area are not permitted.

b. Hotels (outside Chicago region only)
i. CCC employees must stay at the most economical accommodations feasible.

ii. Reimbursement will be for a standard single room only; employees should inquire about discounted government rates, if available.

iii. Hotel stays must match the conference or related event. When personal travel is combined with business travel, CCC will only reimburse for the business portion of the trip, and personal expenses must be excluded from reimbursement requests.

c. Airfare
   i. Airfare should be purchased as far in advance as possible.
   ii. Coach fare only will be reimbursed.
   iii. Standard baggage charges for each leg of airline travel are allowed.
   iv. No amenities such as upgrades, beverages, etc. will be reimbursed.

d. Meals during travel (outside Chicago region only unless a permitted exception)
   i. Governmental rates are set by the federal government each year. The rate depends on the employee’s destination; more expensive areas of the country have a higher per diem allowance.
   ii. To look up the allowance regarding a specific travel destination, go to http:///www.gsa.gov/perdiem
   iii. The maximum that may be reimbursed for breakfast, lunch and dinner for a large urban area is $12, $18 and $36 respectively, for 2014. Please note that these rates will be updated annually and travelers will only be reimbursed at the current year rates.
   iv. A gratuity of 15% is reimbursable.
   v. Employees must not seek reimbursement for meals when they are already included in the cost of a conference or event.

IV. Mileage Reimbursement and Travel Allowance Policy & Procedures

Although public transportation is the preferred method of local transportation for CCC employees, it is recognized that there are times when this mode of transportation may not be feasible due to location, timing, equipment/materials, and/or security reasons.

Employees who utilize their personal vehicles to conduct CCC business are eligible to request reimbursement for local mileage. Local mileage reimbursement is for local transportation related to the performance of an employee's regular job duties (and for occasional local travel for required meetings and/or professional conferences within the city). Employees are prohibited from seeking reimbursement for miles traveled between home and the employee’s regular work site or for personal mileage.

It is important for CCC employees to understand that inappropriate and/or excessive mileage reimbursement constitutes the inappropriate use of taxpayer dollars.

A. Employees Eligible for Mileage Reimbursement for Local Transportation

• Must be a full-time or part-time CCC employee. Employees who are assigned a CCC-owned vehicle are not eligible for mileage reimbursement.

• Must have prior authorization from the appropriate Officer of the District or Department Head on an annual basis to use a personal vehicle while performing business on behalf of the
• Employees must have a valid driver's license and follow all state laws including seatbelt usage, vehicle insurance requirements, phone usage while driving etc.

• For personal vehicles, reimbursement will be for the per mile rate as established by the IRS each year (for 2014, the rate is .56 per mile for business miles driven). This includes the cost of gasoline (i.e., an employee will not be reimbursed for both mileage and fuel expense).

• Employees are ineligible to receive additional reimbursement for other vehicle-related expenses, such as gas, oil, car washes, maintenance, repairs, insurance or stipends.

• Responsible for all parking/red light violations and moving violations incurred while driving.

• Independent consultants and contractors are not eligible for mileage reimbursement.

B. Supporting Documentation Required for Mileage Reimbursement

Employees must submit a completed and signed Mileage Reimbursement Form and the supporting documentation for mileage within 15 days of each month-end to their supervisor for approval prior to submission for payment. Failure to complete and submit the Mileage Reimbursement Form within 15 days may result in forfeiture of the employee's mileage reimbursement claim.

The monthly mileage amount shall be substantiated by a completed Mileage Reimbursement Form containing the following required information:

• Employee Information

• Dates vehicle was used during the month.

• Origination and destination locations- attach copy of MapQuest/Google/Yahoo map indicating start and end addresses and mileage for each segment of travel (except for travel between CCC locations for which standard mileage is employed).

• Reason and purpose of each segment of the travel, as well as why public transportation could not be used.

• Requested mileage per day. This is the number of miles traveled for CCC business and not for commuting and/or minimum/maximum threshold purposes.

• Calculated mileage reimbursement. Reimbursement will be calculated using the "per mile" rate set by the Internal Revenue Service.

• Employee signature and date, which acknowledges the business appropriateness of the requested mileage reimbursement.

• Appropriate approval signatures.

C. Unallowable Miles

Unallowable miles cannot be included in an employee's request for mileage reimbursement. This includes non-chargeable commuting miles between home and the employee's regular work site; the minimum and maximum thresholds for daily and monthly mileage usage; and personal
mileage.

- Mileage between the last destination of the day and home cannot be included for reimbursement unless there is remaining mileage after the regular commuting miles have been deducted. Employees who include unallowable miles in their request for mileage reimbursement will be subject to disciplinary action.

- Mileage will not be reimbursed for requests of 2 miles or less for any segment of a trip (employees should be using public transportation unless they are responding to a security incident outside normal business hours), or for more than 50 miles per day, after commuting miles for the starting and ending segments of the trip have been deducted. Total monthly local mileage should not exceed 1,000 miles.

D. Vehicle Allowance

Certain CCC employees travel frequently as part of their expected CCC duties. For these travelers, frequent travel is part of their core responsibilities on behalf of CCC and to support recruiting and community outreach efforts, as well as to serve as liaison to the state and other agencies. These travelers formerly used the traditional reimbursement process for travel, requiring multiple approvals and documentation that is unnecessary given their job responsibilities and duties. Individuals who receive a vehicle allowance may not submit fuel, parking or mileage for reimbursement.

- The Vice Chancellor of Administrative Services will receive a $500 per month vehicle allowance.
- The College Presidents will receive a $500 per month vehicle allowance.
- For the following titles, the vehicle allowance is a pre-approved amount based on actual reimbursements analyzed over a year period. The following titles will receive a vehicle allowance of $175 per month:
  - Associate Director Legislative Affairs
  - Community Affairs Liaison
  - Community Outreach Worker
  - College Recruiter

V. Other Local Transportation

Reimbursement for Other Local Transportation modes such as taxi cards/coupons; jury duty travel expense; or fuel credit cards are not permitted.

A. Taxi

- Taxi fares may be submitted for payment through the reimbursement process.
- Cab tips are not reimbursable, neither during travel within Chicago nor outside the city or state.

B. Parking Fees

Reimbursement of parking fees is limited to $25 for each segment of travel, with a maximum of two segments per day. Every effort should be made to keep parking fees to a minimum; reimbursement requests with excessive parking fees on a routine basis will be denied.

C. Fuel Credit Cards
Externally-issued (i.e. cards not issued by the City of Chicago) fuel credit cards are not allowed.
Addendum 3 – Forms and Templates
# INTENT TO SUBMIT A PROPOSAL FORM

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## Below For Use by Office of Development

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REV. 03/16
Please complete this form as precisely as possible so that your program/project can be submitted to the Board of Trustees for approval.

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<tr>
<th>PI/ Project Director Name</th>
<th>Title</th>
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Alignment with CCC Reinvention Goals
(Please select from one or more of the CCC performance and/or organizational health goals)

- [ ] Increase the number of students earning college credentials of economic value
- [ ] Increase the rate of transfer to Bachelor’s degree programs following CCC graduation
- [ ] Drastically improve outcomes for students needing remediation
- [ ] Increase number and share of ABE/GED/ESL students who advance to and succeed in college-level courses
- [ ] Strategically align community and special interest programming with community need
- [ ] Increase the quality and effectiveness of student services and support
- [ ] Improve operational discipline with a focus on high performance standards including excellent financial management
- [ ] Ensure safe and secure teaching and learning environments

Rev. 10/16
BOARD REPORT SUBMISSION FORM

Summary of Project Activities (attach a separate sheet if needed)

Is this a new or continuation grant?

How many students will participate/number of students impacted?

What is the benefit to CCC?

Specifically, how will the funds be used?

What are the project outcomes and objectives?

Submitted by
Print ___________________________ Title _______________________
Signature _________________________ Date _______________________

Below to be completed by Office of Grants and Contracts

Rev. 10/16 Assigned PD#_______________ By ________________
Instructions: This form should be completed by the Grant Administrator (PI) per Award Contract.

**Grant Budget Start-up Check List**

Principal Investigator (PI)/Grant Administrator ____________________________

Short Title (Grant Name) ________________________________________________

Sponsor (Grantor) ______________________________________________________

Budget Amount $ ____________________________________________________

Grant Type: New ______ Non-competing Continuation_______

Fringe Amt ______ Indirect cost rate _________________

Grantor’s Contract Number __ _________________

*CFDA Number ____________ Board Report Number ________

PD Number ____________

Grant Purpose: __________ Institutional Support __________ Keywords: __________ Federal

__ Non-Instructional __________ State

__ Instructional __________ Local

__ Operation & Maintenance __________ Other

__ Public Service __________

__ Research

Grant Period  Beginning Date ___________ End Date __________

Liquidation Date ______________

Department (Campus) ____________________________

Department Contact (PI) ____________________________

Department Rep (other than PI) ______________________

Subdivision/Department ____________________________

Reporting: ______ Monthly

____ Quarterly

____ Semi-Annually

____ Annually

____ Special Conditions/Audit

____ Narrative

____________________________________________________________________________

____________________________________________________________________________

 Attachments: Signed Contract, Award Letter, Board Report, Detail Budget; Listing all personnel/salary distribution, and all categories, i.e., supplies; equipment; travel etc.

____________________________________________________________________________

* All Federal Awards are required to have a CFDA No.

____________________________________________________________________________

(PI Signature)

Grants Budget Startup Checklist 05/28/14

City Colleges of Chicago
PeopleSoft Grants