



ADMINISTRATIVE PROCEDURE

CATEGORY: **General Administration,
Special Programs/Projects**

SUBJECT: **Grants/Projects Supported by Outside
Funding Sources**

A. PURPOSE AND SCOPE

1. To outline administrative procedures governing initiation, approval, and administration of supplemental projects and grant programs sponsored by private foundations or governmental agencies, including all new federal and state programs that require filing special applications. This procedure includes, but is not limited to, projects supported by the following:
 - a. Grants from state and federal government agencies. This can include revenue contracts. For definition of “grant” see Definitions Section C.2, page 2.
 - b. Private foundations.
 - c. Corporations.
 - d. Elementary and Secondary Education Act of 1965 as reauthorized by the *No Child Left Behind (NCLB) Act of 2001 (Public Law 107-110)*.
 - e. Carl D. Perkins Vocational and Technical Act of 1998, Public Law 105-332.
 - f. All other acts or laws of similar nature enacted by state or federal government.
2. This procedure does *not* cover:
 - a. Programs for which the state reimburses excess cost, such as educable mentally and physically challenged students.
 - b. Research projects and limitations (Procedure 4930).
 - c. District-financed pilot programs and courses (Procedure 4060).
 - d. Extensions and amendments that do not significantly alter the purpose or financing of existing programs.
 - e. Fundraising by parent and student groups (Procedure 9325)
 - f. Donations from individuals or entities where it is not required to report back and expend on predefined specific line items.

3. **Related Procedures:**

District contracts	1570
Pilot programs (K-6) and pilot courses (7-12)	4060
Administrative Circular No. 105 (yearly distribution) due approximately June 12 each year.	
Conflict of Interest Code.....	7040
District Research Conducted by Candidates for advanced degrees and by professional researchers	4930

B. LEGAL AND POLICY BASIS

1. **Reference:** Board Policy D-3000; OMB A-87; Education Code 52853

C. GENERAL

1. **Originating Office:** Suggestions or questions concerning this procedure should be directed to Finance and Business Services, Office of the Chief Financial Officer.
2. **Definitions:**
 - a. **Project:** A specific educational task or effort for a limited length of time.
 - b. **Grant:** Funding that is awarded based on approval of an application, submitted to the funding agency outlining how the funds will be used and requiring reporting of fund use and program goal achievement.
 - c. **Grant-supported projects:** Supplemental projects or programs in which the district is the beneficiary of funds from outside agencies such as private foundations or governmental agencies, including federal and state programs, that require the filing of a special application which may become a contract when approved.
 - d. **Request for Proposal/Application (RFP/RFA):** The announcement from a funding agency that a grant is available and the agency is requesting proposals/applications that meet the agency's funding requirements. The RFP or RFA usually includes application guidelines, forms, and timelines that are needed for an applicant to develop a proposal.
 - e. **Request to Develop a Proposal (RDP):** The district form used by an applicant to communicate grant application activity to district leadership; also required for

participation in a project funded by a grant submitted by a non-district agency. The RDP describes the purpose of the grant, its support for improving student achievement, amount of funding requested, partners involved and matching funds or sustainability requirements.

- f. **Board Information:** The Board of Education shall receive for information a list of grants applied for, grants awarded and received on a monthly basis.
 - g. **Assurances/legal assurances:** The terms and conditions specified by the funding agency that describe the contractual relationship established with the district upon acceptance of the grant. The terms and conditions may be subject to audit up to four (4) years following the final date of the grant. NSF Grants will require support of terms and conditions of the grant for five (5) years.
 - h. **Fiscal agent:** The agency that will receive and account for the grant funds if the grant application is successful.
 - i. **Grant award letter:** The official legal notification from a funding agency that an application was approved and a grant is to be awarded. It lists the name of the grantee, usually an award number, the grant amount, the grant period (beginning and ending dates), reporting date(s), and the terms and conditions required for accepting the grant. The grant award letter is usually a form, accompanied by legal assurances, or it may be a letter, especially from a private foundation.
 - j. **Grant Monitor [Principal Investigator (PI)]:** Person designated to coordinate implementation of project operations.
 - k. **Applicant:** Person who applies for the grant, generally this is the same person as the Grant Monitor or Principal Investigator.
3. **Need:** Projects are considered when they meet specific educational needs resulting in new programs or improvements in existing programs and align with the district mission and goals. Anyone may initiate a request to apply for a grant.
4. **Organization for Projects:** To avoid duplication of functions and staffing, all grant applications that are funded must be implemented through existing district organizations (divisions) and procedures unless specifically excepted by the Superintendent.

5. **Responsibilities:** All grant applications designed to support projects in which the district will participate, regardless of whether the district is the fiscal agent, sole contractor, or participant, must be approved by the Superintendent and/or Deputy Superintendent.
- a. **Applicant:**
- (1) Comply with all items set forth in this procedure, including contacting the Grants and Development Office to indicate interest in developing a grant application, obtain approval to develop application and submit application, by department head, principal and division head.
 - (2) Notify the Grants and Development Office when the school/department wishes to participate in a grant application where the district is not the fiscal agent; that is, a non-district agency will receive the grant funds.
- b. **Grants and Development Office, District Relations Division, Office of the Chief District Relations Officer (*Pre-Award Grant Activity*):**
- (1) Assist grant applicants in the application process. This includes coordinating the application development, Request to Develop a Proposal (RDP) development, obtaining required signatures (Superintendent and others), supply administrative codes, figures and statistical information related to the district, e.g., County District School codes, California Basic Educational Data System enrollment, free/reduced lunches percentages, federal I.D. number, and Data Universal Numbering System number.
 - (2) Ensure that grant applications and RDPs are processed through the district and funding sources, including readjustment of projects before continuation or renewal. Coordinate all reports with the Finance and Business Services Division to assess financial implications of grant, including amount of indirect costs and matching funds, if required.
 - (3) Assist in determining if project evaluation is to be conducted prior to submission of the grant application. The Grants and Development Office, Standards, Assessment and Accountability Department and the Grant Monitor who would have responsibility for project implementation shall jointly make this determination, including amount of funds required for evaluation.

- (4) Suggest and/or provide information about potential funding sources to grant applicants at their request.
- (5) Keep district instructional offices and schools informed about available funding opportunities.
- (6) Represent the district and develop appropriate work relationships with external funding authorities; review and advise on sources of special funds to assist in meeting district educational needs and goals.
- (7) Develop positive and cooperative relationships with all district instructional departments and schools, and keep them informed regarding grant sources and opportunities.
- (8) Coordinate record-keeping and reporting systems with Finance and Business Services, Resource Development, to facilitate grants management and control; maintain data on grant status; assist project administrator/coordinator, as necessary, in preparation for any required reports for the Superintendent and the Board of Education.
- (9) May coordinate contract approval activities related to the grant, as needed.
- (10) May assist in the district's internal monitoring and review process during project implementation period.
- (11) May participate in the budget monitoring process.
- (12) Ensure that project reports, non-financial, are prepared and submitted as required.
- (13) Prepare and distribute monthly report of grant application activity to Board of Education, Superintendent, Deputy Superintendent, Finance and Business Services and other district leaders.
- (14) Maintain files on legislation and grant guidelines.
- (15) Maintain files on awarded grants for the pre-funding stage including the RFA, RDP, completed applications, award letters and all grant pre-award communication.

c. **Resource Development, Financial Planning Department:**

- (1) Coordinate maintenance of files of awarded grants, including award letter and required financial reports.
- (2) Coordinate record-keeping and reporting systems with the Grants and Development Office to facilitate grants management and control; maintain data on grant status.
- (3) Prepare and distribute monthly grant award report to Board of Education, Superintendent, Deputy Superintendent, Finance and Business Services and other district leaders.
- (4) Facilitate communication between all levels of Finance and Business Services including distributing award notices to financial reporting team (Financial Accountants and Budget Analysts.)
- (5) Ensure compliance of grant funded programs via financial reporting.

d. **Budget Analyst:**

- (1) Assist in the development of a grant application to provide budget information and in identifying and reporting to management any matching funds requirements.
- (2) Identify participant support costs in the accounting records to ensure that the correct indirect cost rates are used and applied to the correct allocation base in all grants.
- (3) Ensure manual journal entries will be documented, fully supported, and maintained.

e. **Grant Monitor [Principal Investigator (PI)]:** As delegated by the district, can have decision-making authority and line authority over staff involved in project operations; reports to division head, Superintendent, or Board; and has budget and personnel responsibility for implementation of grant activity.

- (1) Submit Request to Develop a Proposal form.

- (2) Coordinate development of grant application after approval by the Deputy Superintendent.
 - (3) Consult with Financial Planning Department Budget Analyst to prepare grant budget in cooperation with the Grants and Development Office.
 - (4) Arrange for community involvement, as appropriate.
 - (5) Coordinate project operations in accordance with legal assurances and/or contract provisions; maintain operational records.
 - (6) Provide information on status of projects to the Grants and Development Office and Finance and Business Services, if requested.
 - (7) Coordinate with the Finance and Business Services all changes that require state, federal, or other approval.
 - (8) Prepare operational reports as required, including evaluation as specified in assurances or contract.
 - (9) Keep documentation in accordance with the district's record retention policy.
 - (10) Ensure all cost expenditures are submitted and/or encumbered into the accounting system and work with the Budget Analyst to monitor grant budget and actuals.
- e. School Site **Principal, Division, or Department Head**: (If school is submitting the grant application or participating in the grant-funded project.)
- (1) Perform role of the Grant Monitor if necessary.
 - (2) Participate in project design; assume responsibility for application contents and accuracy.
 - (3) If project is funded, implement project in accordance with contract and district procedures.

- (4) Ensure all cost expenditures are submitted and/or encumbered into the accounting system and work with the Budget Analyst to monitor grant budget and actuals.

D. NATIONAL SCIENCE FOUNDATION

1. Responsibilities:

- a. All National Science Foundation (NSF) grant applications designed to support projects in which the district will participate, regardless of whether the district is the fiscal agent, sole contractor, or participant, must be approved by the Deputy Superintendent. The district and the relevant employees shall comply with all laws and regulations related to the receipt of NSF awards and sub-awards. District employees are subject to disciplinary procedures for failing to meet the terms and conditions of NSF awards and sub-awards.
 - b. All Responsibilities and Definitions outlined in this procedure should be followed for NSF grant activity.
 - c. Training of NSF grant staff, as required by any Compliance Program that the district has entered into, shall occur annually or as required by the Compliance Program.
 - d. Conflicts of interest must be reported and addressed in accordance with district policy.
 - e. The Chief Financial Officer or his designee shall serve as Compliance Officer.
2. **NSF Grants Records Retention:** The District has responsibility to file and maintain records on all funded grants for five (5) years from the submission date of the final report. Records include application approvals by the Deputy Superintendent, RFA/RFP, RDP, completed application, grant award letter, and any related reports or amendments to the grant operation.

E. IMPLEMENTATION

1. **Grant Development:** Persons interested in applying for a grant must contact the Grants and Development Office and the Financial Planning Department before approaching a funding source to confirm they are not applying for funds in competition with other offices, departments, programs, schools, or executive officers of the district.

2. **Grant Approval:**

- a. **Applicant** completes “Request to Develop a Proposal” (RDP) form as soon as possible, obtains written approval from appropriate assistant superintendent or division head, and submits it to the Grants and Development Office with a copy of “Request for Application” (RFA) form. Grants and Development Office can review RDP form prior to submission to the Deputy Superintendent to assure alignment with district goals.
 - b. **All grants applied for and awarded** in the San Diego Unified School District must be provided to the Grants and Development Office and to the Financial Planning Department. These offices coordinate the approval process for applicant schools, including writing and submitting related documents, and appropriate review of budget and financial impact to the district.
 - c. **Grants and Development Office routes RDP** to the Deputy Superintendent and other district leaders for review and approval/disapproval and informs applicant and Financial Planning Department of RDP approval. Applicant continues to develop grant application and is responsible for meeting submission deadline.
3. **Grant Submission:** A grant deadline is the last date the application can be *received* at the funding agency, or the last date the application can be *postmarked*. This information can be found in the RFA, along with the address and number of copies needed.
- a. **For received dates, overnight courier services may be used** to comply with grant deadlines. Cost of overnight courier service will be assumed by applicant.
 - b. **Postmark deadlines enable applicants to use U.S. mail services**, since they provide a postmark acceptable to the funding agencies.
 - c. **Grant applications submitted to the state or federal education departments** have deadlines that must be observed.
 - d. **A copy of all grant applications submitted** must be provided to the Grants and Development Office, electronic format preferred. Grants and Development Office may work with the applicant school/department to ensure that the application is submitted on or before the deadline.

4. **Notification of Funding:** Grant award letters must be submitted to Grants and Development Office. Grants and Development Office forwards grant award letters to Finance and Business Services for distribution to the relevant financial reporting staff.
5. **End of Grant Period:** Funding agencies request final report be submitted following the end of the grant term (end date). Any of the following reports may be requested by the funding agency:
 - a. **End-of-grant report narrative** describes the accomplishments during the grant period, as related to the project illustrated in the grant application; this report explains the achievement objectives.
 - b. **Evaluation report provides data** and describes accomplishments, in accordance with approved grant proposal.
 - c. **Expenditure report is provided** by Finance and Business Services, to report categories and amounts of expenditures during the grant period.
6. **Grant Records Retention:** The District has responsibility to file and maintain records on all funded grants for five (5) years from the submission date of the final report. Records include application approvals by the Deputy Superintendent, RFA/RFP, RDP, completed application, grant award letter, and any related reports or amendments to the grant operation.

F. FORMS AND AUXILIARY REFERENCES

1. "Request to Develop a Proposal" forms for approval of specific grant may be obtained from the Grants and Development Office or downloaded from the Grants and Development Office link on the district web site, <http://www.sandi.net/depts/grants/index.htm>.

G. REPORTS AND RECORDS

1. Records of official financial expenditure reports filed are retained in Finance and Business Services as required under specific law.
2. Departments must adhere to the districts record retention policy for their respective areas.

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H. **APPROVED BY**

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General Counsel, Legal Services