

GRANTS MANAGEMENT MANUAL 2021

Office of Institutional Advancement

September 2021

*Procedures
for Grant
Agreements,
Proposals,
and
Contracts*

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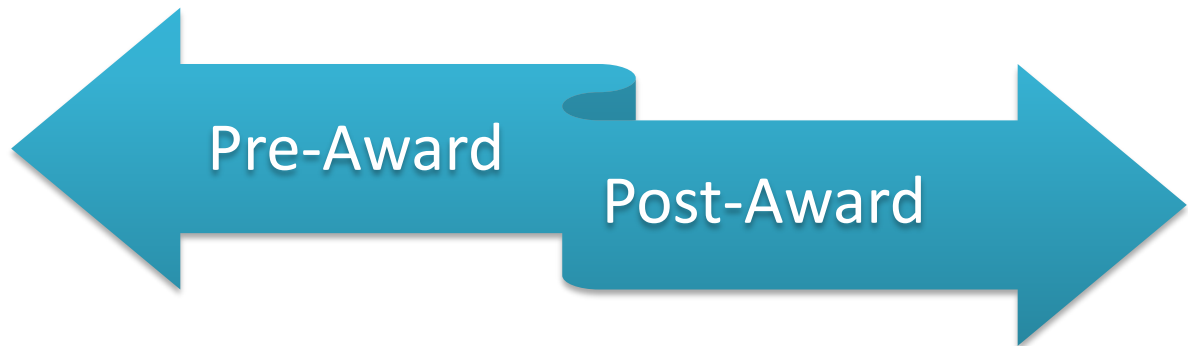
I. Introduction

The Grants Management Team within the Office of Institutional Advancement (OIA) supports Faculty and Staff as they seek external funding for projects related to the City Colleges of Chicago's mission, vision, and goals. This guide was developed to help faculty and staff understand the comprehensive nature of public and private grants research, cultivation, solicitation, stewardship and contract management. The process of agreements, proposals, and contracts 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. Early and ongoing communication with the grants team will ensure that maximum support is provided. Please note that updates will be made to this manual on a consistent basis.

II. THE GRANTS MANAGEMENT PROCESS FLOW

With the Grants Management Team within the Office of Institutional Advancement (OIA), we have customized a step-by-step process in understanding the grants management process flow. In the next several pages, you will learn and understand how to be successful in this process and help fellow colleagues along the way.

If we simplify the grants management process in two phases, it would be pre-award and post-award.

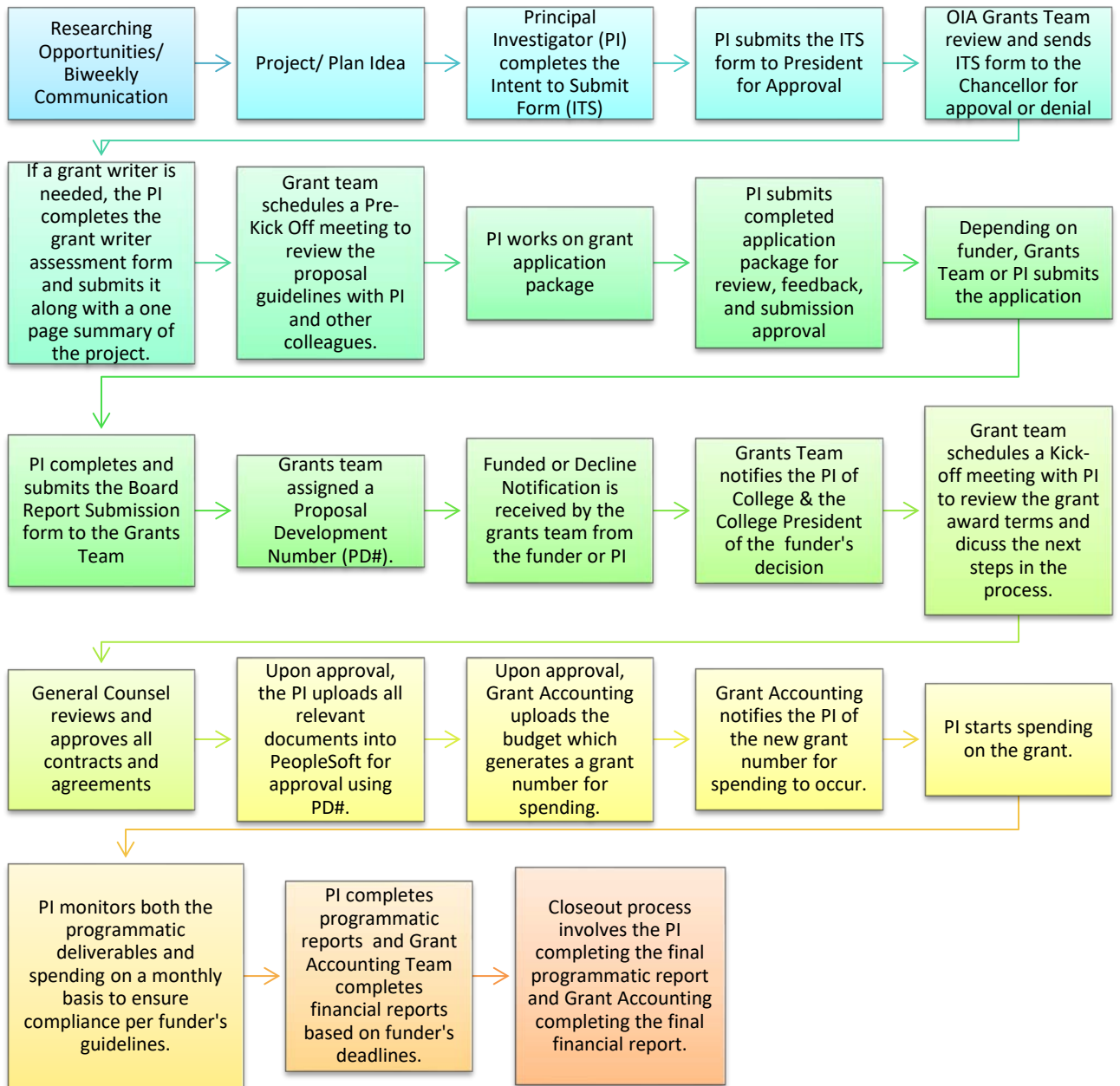


- Pre-Planning Stage
- Research potential opportunities
- Writing a proposal
- Developing budgets
- Submitting the application
- Status update: Funded or Not
- Award Negotiation and Acceptance
- Award monitoring and compliance
- Implementing the program
- Reporting on progress and financials
- Closing out the award

The goal of this manual is to create infrastructure around the ask. This includes planning, writing, submission, reporting, and short and long-term coordination with a team. The goal is to build a strong culture of philanthropy at City Colleges of Chicago. As we journey forward, please keep the following elements in mind for successful grant-funded programs:

- *INNOVATION and CREATIVITY*
- *ORGANIZATION and MANAGEMENT*
- *FISCAL INTEGRITY*
- *COST-EFFECTIVENESS and PRODUCTIVITY*
- *DOCUMENTATION and EVALUATION*

Grants Management Process Flow for CCC Private & Public Grants

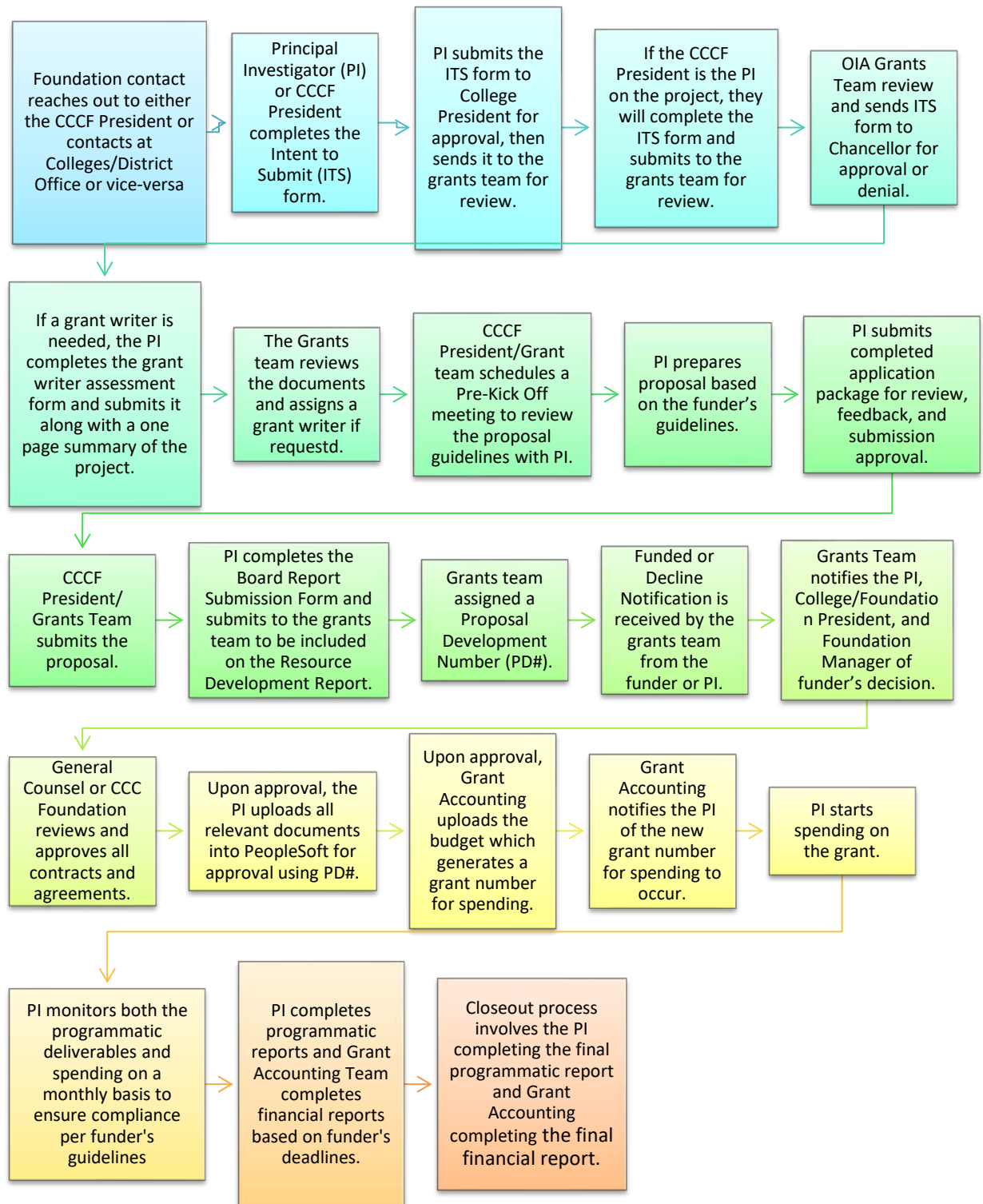


Notes:

As a resource, Grant Accounting will provide an At-Risk/Grant Spending Report on or around the 20th of every month. This report will highlight the amount spent (not spent), both monetarily and by percentage, for all awarded grants per campus as well as District Office.

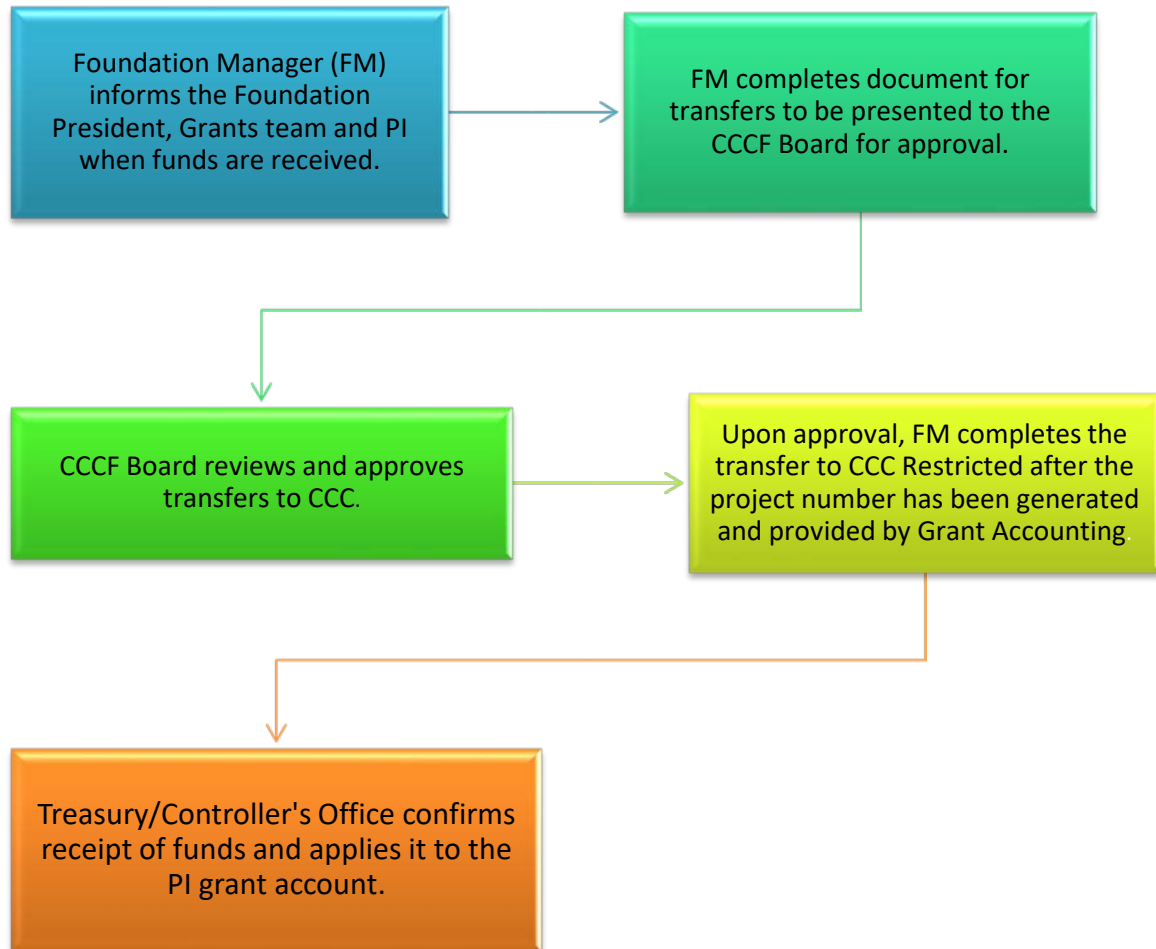
Intergovernmental Agreements (IGAs) - Resolutions will follow the same process as the other grants with the exception that, in these cases, PD#s will be provided by General Accounting rather than OIA.

Grants Management Process Flow for CCCF Private Foundation Grants



Notes: As a resource, Grant Accounting will provide an At-Risk/Grant Spending Report on or around the 20th of every month. This report will highlight the amount spent (not spent), both monetarily and by percentage, for all awarded grants per campus as well as District Office.

Process Flow for CCCF Foundation Grants Funds Received

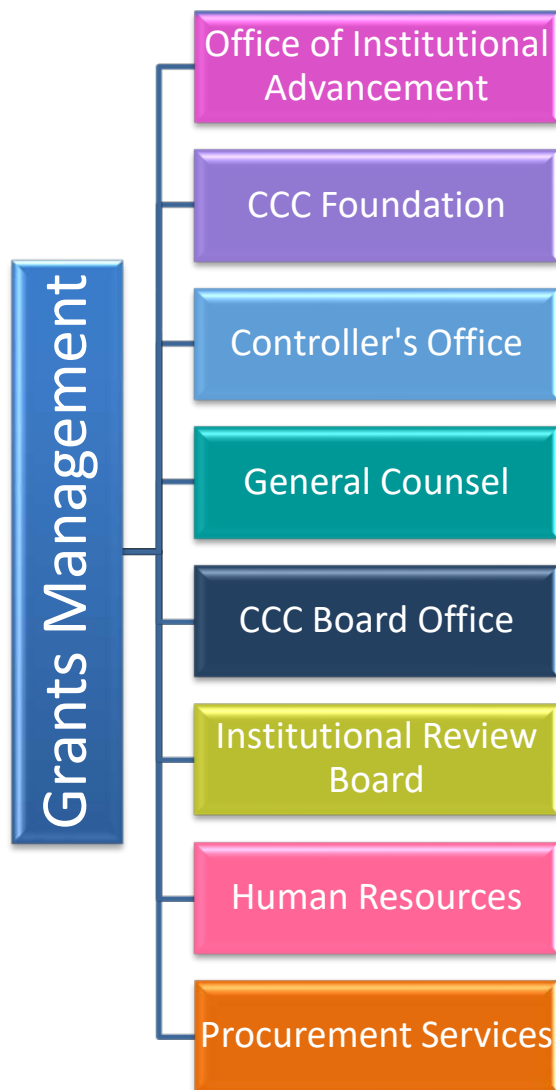


Note:

The CCCF Board of Trustees meets 2 to 3 times a year. Spending can occur prior to funds being received as long as an award letter or executed grant agreement has been received.

III. Collaborative Effort

The Grants Management process is a team effort in which several CCC departments play a key role in ensuring the success of each funded project that is received on behalf of CCC. These departments include Office of Institutional Advancement's Grant Management Staff, Controller's Office which is Grants Accounting, CCC Board Office, and General Counsel, reviews agreements and contracts. Also, based on the project the following offices maybe also be involved: Institutional Review Board, (if human subjects are involved in your research project), Human Resources, (any hiring or changes in staff related to project), Procurement Services, (outside vender services are required and supplies or equipment needs to be purchased and City Colleges of Chicago Foundation, (is use when the funder can only make awards through a 501(c)(3)).



IV. Definitions

*Please note that the information provided below were found using the online definitions.

Abstract

To present the essential meaning of the proposal, the abstract should summarize the significance (need) of the work, the hypothesis and major objectives of the project, the procedures to be followed to accomplish the objectives, and the potential impact of the work.

Allowable Cost

A charge that the funding agency will reimburse under the terms of the grant or contract being awarded.

Amendment

A modification to the scope or finances of a previously approved grant application.

Appropriation

Legislation which establishes a federal activity and determines the limits on the amount of money which can be set aside for the activity.

Authorized Representative

Signature authority for grant forms, letters commitment, submission of proposals, formal agreement between the City Colleges of Chicago and other entities acting as partners for a grant or other project. At CCC, the Vice Chancellor-Institutional Advancement serves as the authorized representative (AR). This position is also known as the Authorized Organizational Representative (AOR) and the Signing Official (SO).

Award Letter

The written notification sent by the funding agency announcing that the project has been funded, the amount of the award, and the performance period including the start/end dates.

Block Grants

These are grants allocated by the federal government to state agencies and which are based on a formula, not a competition.

Boiler Plate

Parts of a proposal which are standard and acquired from the Grants Management Office, Research and Evaluation, the affirmative action statement, institutional profiles, equal opportunity statement, etc.

Budget

A categorical list of anticipated project costs that represent the Principal Investigator's best estimate of the funds needed to support the work described in a proposal. A budget consists of all direct costs, facilities and administrative costs, and cost sharing commitments proposed.

Budget Justification

The budget justification is a categorical description of the proposed costs. Generally, it explains staffing and supply/service consumption patterns, the methods used to

estimate/calculate (including escalation or inflation factors) and other details such as lists of items that make up the total costs for a category.

Catalog of Federal Domestic Assistance (CFDA) Number

The five-digit number assigned in the awarding document to most grants and cooperative agreements funded by the Federal government.

Competitive Grant

A process of proposal selection that is based on an evaluation by a reviewer or team of reviewers. Proposals are given scores based on how well they meet stated guidelines and are competitively ranked. Those with the highest scores are generally funded.

Concept Paper

A brief two pages, three at most with just enough detail to lay out the basics of the grant proposal.

Consortium:

A group of organizations sharing in the finances and/or administration of a grant.

Continuation Grant

An extension or renewal of existing program funding for one or more additional budget period(s) that would otherwise expire. Continuation grants are typically available to existing recipients of discretionary, multi-year projects; however, new applicants may be considered.

Contract

A legally binding document in which the parties make promises to deliver a product or service in exchange for consideration (usually money).

Cooperative Agreement

It provides for substantial involvement between the Federal awarding agency or pass-through entity and the non-Federal entity in carrying out the activity contemplated by the Federal award.

Cost-Reimbursement

Subcontractor is reimbursed for actual costs up to the maximum consideration allowed in this Contract.

Cost-Sharing

The portion of project costs not paid by federal funds (unless authorized by federal statute). It can be either be required by a sponsor as a condition of the award (Mandatory Committed) or it can be voluntarily pledged (Voluntary Committed) when it's not a sponsor requirement.

Deadline

The due date of a proposal set by the funder and non-negotiable.

Direct Costs

Cost associated with expenses that directly go into producing goods or providing services.

Donation

A donation is a gift for charity, humanitarian aid, or to benefit a cause.

DUNS Number

A unique nine-character number used to identify your organization. The federal government uses the DUNS number to track how federal money is allocated. The district and each college have their own DUNS number. This number is on the Institutional Profile sheet located in the share folder under the individual college and district folder.

Earned Income

Revenue that is generated through the collection of fees or other payments. If these funds are collected for activities supported by a grant this income must be used to expand and/or enhance the grant related functions described in the proposal.

Effort Certifications or Reporting

The mechanism used to provide assurance to federal or other external sponsors that salaries charged, or cost shared to sponsored awards are reasonable in relation to the work performed.

Electronic Code of Federal Regulations (e-CFR)

The codification of the general and permanent rules published in the **Federal Register** by the executive departments and agencies of the **Federal Government**. It is divided into 50 titles that represent broad areas subject to **Federal regulation**. A link is provided below for more information.
https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

Electronic Submission of Proposals

Electronic submission is required by most Federal and many state programs today. The Office of Grants and Contracts processes electronic submissions of proposals to the National Science Foundation (using [Fastlane](#)), other U.S. agencies (using [grants.gov](#)) and using other electronic methods required by other agencies. By contacting the Office, a faculty or staff member can be given access to begin loading the proposal on the appropriate site and can be trained on its use for both proposal and report submission. In general, final submission of any proposal is completed by the District's Authorized Representative.

Employer Identification Number (EIN)

A unique nine-digit number that identifies the organization for tax purposes; the City Colleges of Chicago EIN is 36-2606236.

Evaluation

The plan/process for determining if the project objectives and performance outcomes are accomplished as well as the methods for achieving those outcomes.

Facilities & Administrative Costs (F&A)

Those costs which are not readily identifiable with a particular project or activity, but which are necessary to the general operation of the organization and to complete the activities of the grant. (See Indirect Costs.)

Fiscal Period

Refers to the time period for financial operations of the awarded funds. Grants awarded by the state of Illinois usually have a July 1-June 30 Fiscal Year. Federal grants' periods of operation vary, but the Federal government's normal Fiscal Year runs from October 1 to September 30.

Formative Evaluation

Method of identifying areas for improvement as the project is in planning stage or being implemented.

Fiscal Management

The process of planning, directing and controlling financial resources. PIs are expected to know and adhere to the sponsor's specific regulations and follow all other rules and regulations that govern the conduct of projects operating under the legal auspices of the Foundation. The Grants Management team will assist Principal Investigator in learning and interpreting fiscal and other compliance regulations that pertain to each project. They are available to meet with all PIs for a "Start-up" meeting at the beginning of each project and to meet as needed during the life of the award.

Foundation

A nonprofit corporation or a charitable trust that makes grants to organizations, institutions, or individual for charitable purposes such as science, education, culture, and religion. The City Colleges of Chicago Foundation is a legally separate organization, with its own Board, policies, and procedures.

Fringe Benefits

Benefits that are paid in addition to salary, i.e. life & health insurance, retirement, unemployment compensation. Fringe benefits are calculated annually by CCC and grant writers should contact the Office of Grants and Contracts for the latest fringe benefits rate.

Funding Agency

The external source that proposals are submitted to in hopes of securing additional revenue. These can also be referred to as the grantor, or funder.

Funding Criteria

These entail the evaluation standards employed by the funder when deciding which projects to fund. These will be used to measure the quality of the proposal and need to be addressed in a proposal.

Funding Opportunity Announcement (FOA)

FOA, also known as a Request for Application (RFA), Program Announcement (PA), and Request for Proposal (RFP) is the document all federal agencies use to announce the availability of grant funds to the public.

Fundraising

The process of soliciting and gathering voluntary contributions as money or other resources, by requesting donations from individuals, businesses, charitable foundations, or governmental agencies.

Guidelines

The procedures established by the funding agency that grant seekers and grantees must follow. These guidelines would include both the application process and the implementation and management of funded projects.

Goals

This definition is provided in the context of completing a grant application. For this purpose, goals are broad-based statements of your ultimate expected result of the project being undertaken.

Grant Agreement

A written agreement between the funder and a grantee memorializing the terms and conditions of an Award granted pursuant to the Plan.

Grantee

The recipient and administrator of a grant.

Grant Management

The processes and methods organizations go through to oversee grants. It encompasses every part of a grant's lifecycle, from pre-award research through post-award grant close-out process. Management is expected to be handled at multiple levels (program level, college-level, and district-level). For more information, please email grant-management@ccc.edu.

Grantor

The agency or funding source awarding the funds to carry out a project.

Grant Renewal

Initial request for additional funding for a period subsequent to that provided by a current award.

Grant Revision

A request for an increase in support in a current budget period for expansion of the project's approved scope or research protocol.

Grants

Non-repayable funds or products disbursed or given by one party, often a government department, corporation, foundation or trust, to a recipient, often a nonprofit entity, educational institution, business or an individual.

Grant Writer

The grant writer is the individual (or team) from the institution who is seeking funds in support of a proposed project. The grant writer is responsible for all phases of the proposal development and, if funded, manages the project.

Indirect Cost

Cost associate with general business expenses that keep you operating. CCC uses a Negotiated Indirect Cost Rate Agreement (NICRA). A copy can be found in the Addendum and on the SharePoint Site under the District and College Folders.

In-Kind Contribution

A non-monetary contribution of equipment, supplies, space, etc. provided by the grantee to meet cost-sharing requirements. The amount of in-kind may be limited by

the funding source and these costs are auditable.

Intergovernmental Agreements (IGAs)

Any agreement that involves or is made between two or more governments in cooperation to solve problems of mutual concern. It can be made between or among a broad range of governmental or quasi-governmental entities.

Institutional Review Board

The IRB is an administrative body established to protect the rights and welfare of human research subjects recruited to participate in research activities conducted under the support of the institution with which it is affiliated. The CCC Institutional Review Board is required by federal law to review all proposals for research that involve human participants and publication. For more information, please email irb@ccc.edu.

Letters of Commitment

Demonstrate your partners' involvement and identify the specific contributions they will make to ensure the project's success.

Letter of Intent

A LOI is a preliminary, non-binding indication of an organization's intent to apply.

Letter of Support

Articulated general support for the grant request. The letter should describe the author's involvement with your organization and/or the community as well as explain how the funding will help address a need or solve a problem. A sample of a letter of support is in the Addendum.

Logic Model

The diagram or chart depicting your organization's planned work and intended results for a given project. It is composed of the inputs, activities, outputs, short- to long-term outcomes, and impacts of the project. Sample Logic Models can be found as an attachment in the Addendum or at the link below:

https://headwaterslab.files.wordpress.com/2018/01/logicmodel_kellogg.pdf

Matching Funds

Funds that are set to be paid in proportion to funds available from other sources. The payments usually arise in situation of charity or public good. Anyone seeking a grant opportunity that requires a match should consult with Leadership either at the Colleges or District.

Memorandum of Understanding

It is an agreement between two or more parties outlined in a formal document. It is not legally binding but signals the willingness of the parties to move forward with a contract.

Modified Total Direct Cost (MTDC)

All direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of

each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

Multi-year grants

A project or initiative being support over a period of two or more years.

Need Statement

Describes the problem area or need that the proposed project will address. To make a compelling case as to why this program or project is needed, use statistical, testimonial, or other evidence that shows that the proposed plan is essential. Also called the Problem Statement.

Non-Competitive Grant

Federal or state dollars allocated on the basis of a formula which is generally attached to a socioeconomic standard. Receipt of funds may or may not require submission of a proposal. These grants are also known as formula grants.

No-cost extension

It extends the project period beyond the original award end date. The term “no cost” means no additional funding will be forthcoming, but the extension will allow additional time to spend down existing funds and ensure that all deliverables can be met.

Non-Federal Entity (NFE)

A State, local government, Indian tribe, Institution of Higher Education (IHE), or nonprofit organization that carries out a Federal award as a recipient or subrecipient.

Notice of Award (NOA)

An official legally binding award document that notifies the recipient of the award; contains or references all the terms and conditions; and provides the basis for recording the obligation of funds in the agencies' accounting systems. This is also known as a Grant Anticipation Note (GAN) in federal grants.

Objectives

Statements about expected outcomes that tell who is going to be doing what, when, and how much will be done. Measurable objectives become the criteria used to judge the impact of the project on the target audience and/or to determine organization effectiveness.

OMB (Office of Management and Budget)

The Federal office that issues instructions and regulations governing a grant. The agency puts out circulars that govern a project and will prevent a grant project director from committing acts of Federal fraud, making unauthorized purchases and payments, and provide guidance on daily activities conduct.

- Cost Principles for Educational Institutions ([OMB Circular A-21](#))
- Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations ([OMB Circular A-110](#))
- Audits of States, Local Governments, and Non-Profit Organizations ([OMB Circular A-133](#)).

Pass-through grants

Awards passed through another agency. A prime recipient (agency) receives a grant directly from the awarding federal or state agency. Some awards allow those funds to be passed-through the prime recipient to a subrecipient. For example, the City Colleges of Chicago Foundation is a pass-through organization from external funders to the Colleges and District Office.

PeopleSoft

A databased used by the City Colleges of Chicago for financial, human resource, supply chain, customer relationship, enterprise performance, and campus solutions.

Performance-Based Contract

An agreement that includes a statement of the required services in terms of output; a measurable performance standard for the output; and an allowable error rate. Defined units of service have an associated cost, and the grantee is reimbursed based on the number of documented units performed during a specific period.

Post-Award

A significant amount of work over the duration of the award dates, which includes implementing the grant, reporting progress, and completing the closeout requirements.

Pre-Award

The beginning of the grant lifecycle which includes announcing opportunities, reviewing and submitting applications.

Principal Investigator (PI)/Project Director (PD)

The individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or another sponsored project. At City Colleges of Chicago, we use PI to describe the person who is oversee a project. A PI has the responsibility to understand his or her role within a project, ask questions, request assistance from the Grants Management team, effectively train and supervise project personnel about those matters that are appropriate for each employee to know and follow. It is the PI 's duty to continuously exercise responsible judgment in the administration of their grant project. They have primary responsibility for the technical or programmatic conduct and management of the project. They assure that contractual/award terms and conditions are met and make certain that the project stays within its budget. Cost overruns or deficits in grant accounts are ultimately the responsibility of the PI's college or district administrative unit.

Problem Statement

The section of the formal proposal used to identify the specific purpose of the proposed project and convince the funding source of the critical need for the project. The problem must relate to the purposes and goals of the funding source and be supported by appropriate statistical evidence, research and expert statements. Similar to the Need Statement.

Process Evaluation

Assessment that is used to give direction or to explain behavior. This evaluation answers questions about how the project operates and documents the procedures and activities undertaken in service delivery. Such evaluations help to identify problems faced in delivering services and strategies for overcoming these problems.

Project Management

The process of leading the work of a team to achieve goals and meet success criteria at a specified time. The primary challenge of project management is to achieve all the project goals within the given constraints. PIs are responsible for overseeing the conduct of the project, including the work of collaborators and sub-recipients, managing the budget, and ensuring that the project goals and objectives are accomplished.

Project Period or Performance Period

The period authorized by the funding agency in which the proposed activities take place. This can range from less than one year to multi-year projects.

Proposal

A very clear, direct document written to a particular organization or funding agency with the purpose of persuading the reviewers to provide you with support because: (1) you have an important and fully considered plan to advance a valuable cause, and (2) you are responsible and capable of realizing that plan.

Proposal Narrative

All the details of the project, including a detailed statement of problem, research objectives or goals, hypotheses, methods, procedures, outcomes or deliverables, and evaluation and dissemination of the research. Most funders publish guidelines that outline the information they want in a proposal. Some guidelines are very specific while others are quite general, but most request the same basic information. When you write a grant proposal, you will draw heavily on information you have already gathered about your organization and your proposed project.

Reasonable Allowable

Costs that are reasonable for an award if the goods or services involved can be directly charged to the Award based on the benefit provided. A link to the Code of Federal Regulations (CFR) can be found here: <https://www.ecfr.gov/cgi-bin/ECFR?page=browse>

Record Retention

The term applied to the safeguarding of important records that document decisions, policies, financial activities and internal controls.

Request for Proposal

Generated by an agency who is interested in seeking proposals or applications that will accomplish the specific purposes outlined in the request guidelines.

Renewal Proposal

A request for additional funding for a support period subsequent to that provided by a standard or continuing grant. A renewal proposal competes with all other proposals and

must be developed as fully as though the proposer is applying for the first time.

Single Year Grant

A project or initiative being supported for a one-year period.

Sponsors

An activity that is sponsored, or funded, by an external organization, such as a federal, state, or private organization or agency.

Subaward

An award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of an award received by the pass-through entity. An example would be a 4-year partnering with a college to provide a subaward, or a college partnering with a community-based organization for a sub-award. Everyone is responsible for doing their due diligence on the award from the primary awardee to the subgrantee.

Subcontract

Funds received from a primary grant recipient to support the costs associated with carrying out a portion of the grant project. It is not necessary to submit a proposal to receive a subcontract, although submission of a budget is usually required. The primary grant recipient and/or the funding source generally requires a Memorandum of Agreement/Understanding (MOA/U) which describes the specific agreement (including outcome measures, etc.) in detail.

Subrecipient

A third-party organization performing a portion of a grant project. The terms of the relationship are documented in a Memorandum of Agreement/ Understanding (MOA/U). The funder holds the grant awardee responsible for all actions taken by both the awardee and the Subrecipient.

Substantial Approval

An award level from the funder, which guarantees the dollar amount and fiscal year of the grant award. This serves as an emergency measure to assure that funding will not be interrupted between the grant's fiscal years.

Summative Evaluation

Method of looking at the results of a project at the end of the project to determine if it met its objectives and was successful. The focus on this evaluation method is on the outcomes.

Unique Entity Identifier (UEI)

The official name of the "new, non-proprietary identifier" that will replace the Data Universal Numbering System (DUNS) number, according to the General Services Administration (GSA). The UEI will be requested in, and assigned by, the System for Award Management (SAM.gov).

Unsolicited Proposals

Foundations and Corporations may indicate in their guidelines that they do not accept unsolicited proposals. Those seeking funding should contact the funder to determine if they would be willing to accept a letter of inquiry or a full proposal for consideration. The actual unsolicited proposal would be the written document for

funding of a project once they invite a submission.

Vendor

A contractor for goods or services that are a part of the grant and that have the expenditures accounted for in the budget.

V. Research/Prospecting

The first step before we enter the grant's management cycle is the research/prospecting stage. Senior leadership and the Development Council develop ideas that aligns with the City Colleges' Strategic Framework and Plans.

VI. Pre-Proposal

The second step in the grant's management cycle is the pre-proposal stage. During this stage, the Principal Investigator develops an idea, researches various funding search engines, and completes internal forms in order to notify the grants management team of a potential proposal in the works.

IDEA

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?
- Will this proposal budget help meet the overall programmatic goals for the project? If not, how will the overall program goals be funded?
- 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?
- What colleges, consultants, or external vendors will you be collaborating with on this proposal?
- Will you be using any human subjects in your research?

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?

FUNDING SOURCES

The Office of Institutional Advancement (OIA) can provide information about available grants and help research prospective public or private funding sources. At times, the Principal Investigator may receive opportunities as well through various connections.

Types of funders include:

- Federal <https://www.grants.gov/>
- State <https://www.iccb.org/iccb/>
- City
- Local
- Foundation
- Corporate
- Private
- Other

The grants team within the Office of Institutional Advancement (OIA) is currently researching a grant database to pursue opportunities. Information on this research assistance is forthcoming.

INTENT TO SUBMIT

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 needs to be completed for any grant opportunity that you are interested in pursuing along with a link to the grant guidelines. This includes subawards, letter of inquiry, concept paper, amendments, and contracts. The Grants Management team is requesting this form to be submitted to us in 30 days once the opportunity is identified. We understand that this does not apply to all opportunities that come up. To ensure that a grant writer can be assigned if needed, the more notice that we receive advance the better to assist in the application process. Please note, anything less than 30 days there's no guarantee of a grant writer. You should state how your project/program aligns with CCC's Strategic Framework and/or the goals stated in each college's Strategic Plan, Strategic Enrollment Management Plan, or the Equity Plans.

It must be signed by your Campus President or Vice-Chancellor prior to submitting to the Office of Institutional Advancement (OIA). The Principle Investigator (PI) completes the **Intent to Submit** form and routes it to our grant-management@ccc.edu email address. An email notification is received by the Grants Management team and they review the form to determine what resources are needed such as a grant writer.

GRANT WRITER ASSESSMENT

If a grant writer is requested, the grants team send the **Grant Writer Assessment** form to the PI to complete. The PI completes the form and sends

it back to grant-management@ccc.edu along with a one-page concept pager of what the proposal will be about. The Intent to Submit form is then routed to the Director of Special Projects to obtain the Vice-Chancellor (EVC) signature. Once the signature is obtained, the Director of Special Projects send the form to the grants team for filing in SharePoint under the designated College or District folder. This form can be found in the addendum.

VII. PRE-AWARD

The third step in the grant's management cycle is the pre-award stage. During this stage, a pre-proposal kick-off meeting is scheduled to review the grant guidelines and eligibility requirements based on what was submitted on the Intent to Submit form; the proposal, budget, and budget justifications are developed; the grant application is submitted; the Board Report Submission form is completed; and the application is reviewed by the funder and a decision is made in terms of award acceptance or decline.

Pre-Proposal Kick Off Meeting

Once the grants team receives the intent to submit form, they will contact the Principal Investigator to review the proposal guidelines to ensure that we are eligible to apply for the grant and determine what a grant writer will be assigned to do if applicable.

Develop Proposal

The Office of Institutional Advancement (OIA) 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. We currently have 5 grant writer consultants that can assist you with your grant writing needs. A Grant Writer Assessment Form will need to be completed along with a one-page summary of the proposed project. This form can be found in the addendum.

Keys to a Successful Proposal

- Review the funder's guidelines carefully in order to determine what is needed for the proposal
- Develop a checklist based on the funder's guidelines to ensure that all aspects of the proposal are addressed.
- Utilize the project management thought process by working backwards from the application due date for planning purposes.
- Determine eligibility criteria/funding levels.
- Remember to be honest, specific, allow time to write, and follow all directions regarding 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 in abstract.
- Identify the problem that is being addressed and provide pertinent background information.
- Demonstrate the need for the project.
- Provide a detailed description the project plan so that the funder knows what you plan to do and how you plan to do it.
- Explicitly list objectives, goals and activities for which funding is requested.
- Give a time sequence of activities showing staff responsibilities.
- Develop a Management Plan for who will be responsible for each part of the project.
- Craft a Sustainability Plan after the project ends and provide that in the proposal. Funders want to see how the project will continue to work even after funding ends.
- Describe the Evaluation Plan in order to measure the overall progress of the project.
- Identify key staff members and their qualifications.
- Create a realistic budget and budget justification for the project.

Budget and Budget Justification

In developing your budget and budget justification, it is important that you present a realistic picture of what you plan to do. Key aspects that you need to factor into your budget are personnel, fringe benefit rates, purchase services, supplies/materials, and travel. The more descriptive your budget justification is, the less likely you will be questioned by reviewers. A copy of the CCC Fringe Benefit and Indirect Cost Rates can be found in the addendum. Please include the SURS rate when calculating the fringe benefits.

Cost Share (Match)

Cost share represents the portion of the costs of conducting a sponsored project contributed by parties other than the prime sponsor. Contributors may include the district or college, third-party entities, and individuals. It shares can be in the form of cash or in-kind. Cost share that is described and quantified in the narrative of a proposal, even though it is not included in the budget, becomes a requirement of the award, and must be documented.

PIs are responsible for securing all required cost share and submitting documentation to the Development Office and Grant Accounting for verification and audit. Mandatory cost share that is not valid or properly documented can result in cost disallowances that become the responsibility of the PI's home administrative unit.

Internal Reviewing Process

All grant agreements, contracts, proposals, and subawards will need to be reviewed by the **Grants Management Team within the Office of Institute of Advancement 5 days prior to the due date.** This will allow for any additional

edits that may need to be done prior to finalizing the documents. With electronic submissions, this will allow OIA enough time to complete the validation process prior to submission along with meeting the deadline if any issues occur in the portal.

Submit Proposal

Electronic submission of proposals is required by most federal and state agencies today. The Office of Institutional Advancement (OIA) processes electronic submissions of proposals. It is imperative that all grant proposals are forwarded to the Office of Institutional Advancement (OIA) 5 days prior to the deadline date to ensure a timely submission. There are a few funders in which the Principal Investigators can submit the proposal on behalf of their respective institutions. One example is the Illinois Community College Board (ICCB). All PIs must submit their final proposal and supporting documents to OIA prior to the submission.

Authorized Authority

The Chancellor, Vice Chancellor of Institutional Advancement, Chief of Staff, and the 7 College Presidents are the current signing authority for all grants and approve and submit 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.

Board Report Submission Form

OIA created a "Board Report Submission" form to ensure that the Chancellor and CCC Board of Trustees are aware and informed of all grant related projects that are being submitted from the 7 Colleges and District. When completing this form, remember to be as specific as possible. We need to remember that our Board and the general public don't know your work. The more detail that you can provide in our Board Report Submission Forms, the less questions we will receive from the Board Secretary. This form needs to be submitted **48 hours** after the grant submission and forwarded to grant-management@ccc.edu. Once the grants management team receives the form, it will be reviewed and entered on the Resource Development page for the upcoming CCC Board Report. The Board Report Submission form can be found in the Addendum. **Please note that you don't wait until award notification to complete and submit the board report submission. The PD# is critical to loading your grant into PeopleSoft.**

Proposal Development Number (PD#)

A proposal development number (PD#) is generated after a Board Report Submission form is submitted to the Grants Team in OIA. The Grants Associate creates the number based on the month that the grant will be presented to the City Colleges of Chicago Board of Trustees. The number is communicated back to the PI for his/her records. The PD# is an important element when the proposal is approved because it is used to upload key documents into PeopleSoft.

Intergovernmental Agreements (PD#s)

Intergovernmental Agreements are handled by General Counsel (legal) and the Board Office. The Associate Controller in General Accounting (Controller's Office) will generate the PD# for this type of agreement.

Automation Update

The grants team is currently working with Office of Information Technology (OIT) on a smoother process by incorporating our internal forms (Intent to Submit, Grant Writer Assessment, and Board Report Submission Forms) into the PeopleSoft database. This will allow Principal Investigators (PIs) to have a central location to submit their documents to one database. The process should be rolled out before December 2021 if not sooner. The manual will be updated once the process is completed.

VIII. AWARD

The fourth step in the grant's management cycle is the award stage. During this stage, the Principal Investigator and the grants team finds out if the proposal was either awarded or denied; negotiations; institutional award acceptance; award kick-off meeting to review the program goals, objectives, and budget; follow-up with key offices to ensure that personnel, procurement, and IRB if applicable are completed, and key grant information is uploaded into PeopleSoft so the financial compliance and monitoring can occur.

Award Notifications (Acceptance or Decline)

Grant award notifications are usually sent directly to the P.I. or the point of contact within Office of Institutional Advancement 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 Associate Controller with Grant Accounting. Once the award notification (i.e., grant award, agreement or contract, purchase order, or letter of intent) is received, it must be reviewed by OIA prior to beginning work on the project. All execution of grant agreements, contracts, and/or subawards must be submitted to the grant-management@ccc.edu. The OIA's grants management team will ensure the board report is updated and that legal reviews the appropriate documents after the necessary signatures are obtained for routing.

General Counsel Review and Acceptance

The execution of grant agreements, contracts and sub award agreements must involve the Office of Institutional Advancement and General Counsel. 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 Institutional Advancement (OIA). The grants team will ensure that all contracts and agreements are submitted to legal for review. The turnaround time will vary based on when the internal documents are received by the Grants Management team and submitted to legal. Once the paperwork is submitted to legal, it takes a minimum of 21 days for the review/approval process. 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.

Award Acceptance Kick Off Meeting

PIs are expected to know and adhere to the sponsor's specific regulations

and follow all other rules and regulations that govern the conduct of projects operating under the legal auspices of the grant. The Grants Management team will assist PIs in learning and interpreting fiscal and other compliance regulations that pertain to each project. We are available to meet with all PIs for a "Start-up" meeting at the beginning of each project and to meet as needed during the life of the award.

Please note, it is important for the Principal Investigators to begin paperwork related to hiring, reassigned time/summer stipends, purchasing services and purchasing commodities immediately. This will give you time to work with Human Resources, your Business Office, Procurement Services, General Counsel, and others in order ensure timely accomplishment of tasks and expenditure of grant funds.

Project Changes

If a Principal Investigator finds that changes are necessary during the conduct of a funded project, including budget, cost share, scope of work, key personnel and/or language changes, OIA must be contacted. A change in PI on a funded project constitutes a change in key personnel and requires sponsor and campus approvals. Most funding agencies require prior written approval for amendments. Please review the grant agreement and contact grant-management@ccc.edu if you have any additional questions.

Institutional Review Board (IRB)

Is your project Research? Does it involve Human Subjects? Then you will need to complete the following steps in order to get your IRB approved.

- PI sends a copy of the proposal and guidelines via email to irb@ccc.edu informing them of a grant that requires IRB approval.
- IRB Administrator to review and schedule to call with PI
- PI to submit a Research Proposal, Human Subjects Research Protocol, and a CCC Research Application Form
- Assign protocol number and classify as exempt, expedited, or full review
- IRB Evaluation of Research Protocol
 - Exempt or Expedited will be reviewed by IRB Administrator
 - Full Review will be analyzed by the IRB
- Protocol and decision will be communicated to the PI
- Meeting Minutes and Protocol Abstract will be posted on the CCC IRB webpage after each meeting.

Additional information can be found at the following website:

<https://www.ccc.edu/departments/Pages/Institutional-Review-Board.aspx>

PeopleSoft- Grant Loaded

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

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.

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 Grants Management team within Institutional Advancement (OIA) can communicate with the funding agency.

What steps do I take when the Principal Investigator (PI) is not available within the Grant Module?

1. Email the Grants Management team the following information:
 - Employee ID number
 - Employee name and
 - Employee Title
2. The Grants Management Team will determine if the PI is eligible and will proceed to enter the PI
3. Grants Management Team will contact the requester once the information has been entered the PeopleSoft Grant Module.

What steps do I take when the Sponsor/Agency is not available within the Grant Module?

1. Obtain the Sponsor or Agency's
 - correct name
 - address
 - email address
 - contact name and phone number
 - the award letter (if available) will have the required information and can be provided as a supporting documentation
2. Email the Grants Accounting team the above information along and a copy of the Award Letter.
3. Grants Accounting will assign a sponsor /agency id # and email the requester this information once processed.

To get your grant budget loaded, you need the following:

- Grants Cover Sheet
- Grant Budget Worksheet
- Grant Startup Checklist
- Award letter or Award Notification
- Any other documents related to the grant

If you need assistance in getting information for the Grant Startup Checklist, please contact your business office or the Office of Institutional Advancement. The Grantor's Contract Number is generally on your grant award notification document, along with the grant period.

If you need assistance with the Budget Sheet, contact your Business Office or the OIA. Review the Budget Item list included in the Appendix section of this

document. Use the six-digit numbers in the budget Item column to fill in the Account column on the budget sheet. The program and class number also must be included on the Budget Sheet.

You will receive email notifications as the project budget progresses through the system and your budget becomes available for spending.

You will then be able to run an initial Budget Status Report that shows the budget lines and numbers (Grant/Project #, Class #, Account #, Dept #, Fund #) you will need to spend against the grant budget. Your Business Office/Grant Analyst, Development Office and/or Grant Accounting will be able to assist you with obtaining the initial Status Report.

Please refer to the attached "Grant Startup 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 awards 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.

City Colleges of Chicago Foundation-Funds Transfer

The Foundation Manager (FM) informs the Foundation President, Grants team, and PI when funds are received. FM completes the document for transfers to be presented to the CCCF Board for approval. CCCF Board reviews and approves transfers to CCC. Upon approval, FM completes the transfer to CCC Restricted after the project number has been generated and provided by Grant Accounting. Treasury/Controller's Office confirms receipt of funds and applies it to the PI grant account.

HR/Hiring for Your Grant Position, if applicable

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.

New Hires

Please Contact Human Resources at your college or the district for assistance in determining the appropriate job title and salary range for the position. For each new hire, use these two documents: Justification for Position and Request for Position. You need to contact HR to obtain these forms. A newly created position requires board approval and extensive review (roughly 1 year) and should not be anticipated for a grant. Also, full-time hires must be board-approved before they can begin, which can be delayed since the Board does not meet in September or January.

They may also be accessed by going from the Employee Portal to the Human Resources department to the Recruitment page. Fill out both documents and request that the position be posted. For Full Time hires, work with an HR administrator to ensure that the top three candidates are interviewed by District HR and a representative from a related district department. Interview qualified candidates. Send the selected candidate's resume to the district's HR Compensation staff for a salary recommendation. After the candidate accepts, fill out a Personnel Action form. Submit with the candidate's resume to the HR administrator, who will contact the candidate for pre-employment testing.

It may also be accessed by going from the Employee Portal to the Human Resources department to the Staffing page. A new employee can be hired only upon completion of pre-employment testing. Full-time employees can be hired after Board approval.

IX. POST-AWARD

The fifth step in the grant's management cycle is the post-award stage. During this stage, the Principal Investigator works with key offices in regard to the financial compliance and monitoring in terms of spending in accordance to the approved grant agreement: Grant Accounting, Human Resources, Procurement, and General Counsel.

Financial Monitoring & Compliance

PIs are responsible for monitoring their project monthly. Request a Grant Status Report from your Business Office. When submitting expenditures against projects, PIs are responsible for ensuring that the costs are allocable to the project charged and are allowable and reasonable. PIs should contact the Grants Management team for additional information and assistance.

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

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. If program reports need to be certified, it is imperative that reports are submitted to the OIA well in advance of reporting due dates. This will ensure that the report is reviewed in a timely fashion while making sure that all programmatic objectives have been met during the grant period.

In order to stay on track, you should always review the proposal, taking special note of tasks to be completed, benchmark dates for accomplishing tasks, objectives, methods, and performance indicators. Put benchmark dates on the project calendar and use them to monitor task/activity accomplishment. This will ensure the project stays on track. The funder will require progress reports, and meeting project benchmarks will ensure that the project stays in good standing with the funder.

Financial

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). Grant projects are subject to audits and monitoring by funders. One of the most common sources of audit findings is failure to document personnel time charged to grants. The absence of proper documentation for hours worked can be the basis for auditors questioning costs and for funders disallowing costs claimed by the grantee. It is the responsibility of the PI to ensure that all key personnel are tracking their time for each grant project. Please use the Time and Effort Certification form that is included in the Addendum. Also remember that the total should not exceed 100%. The form can be found in the appendix section.

Reasonable, Allocable, and Allowable Costs

Reasonable – Defined as within the scope of the grant as mandated by the contract with only slight deviation possible with funder approval.

Allocable – Defined as having the necessary budget to provide for the expense.

Allowable – Defined as being an expense that the contract is aligned with (allowed by the funder).

The Principal Investigator and the College 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 to ensure and prevent unallowable cost being charged to a restricted grant or unrestricted program. This 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.

However, if it is discovered that an unallowable cost has been charged to the project in error, the cost is transferred out and move to that entity's Operating Budget.

Budget Revisions

Budget revisions are normally initiated by the Principal Investigator (PI) due to a change in the original approved budget. The request can range from reallocating funds from a cost category leading to an increase or decrease in another line item. The PI informs the funder of his/her budget revision request. The Funder will decide if the request is feasible and request documentation noting the change with a revised budget and justification. The PI submits the revised budget and justification for approval.

Once the funder issues approval, the Grant Analyst completes a budget transfer form. The transfer form is forwarded to the College's Business Department for Department Head approval and signature. Once signed, the transfer is entered PeopleSoft and the budget transfer hard copy is forwarded to Grant Accounting for review. During the review process, the Senior Accountant will check the grant agreement and/or contract to ensure the revision is within the terms of the project. Once verified, the Senior Accountant will sign-off and forward the budget revision to the Grant Accounting Supervisor to post on the General Ledger.

Cost/Budget Transfers

The City Colleges of Chicago has updated their policy for processing of cost/budget transfers to comply with the requirements of Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards ("Uniform Guidance") and federal agency policies and procedures. In accordance with OMB, it is necessary to explain and

justify transfers of charges onto federally funded awards, when the original expense was a charged to a CCC's departmental General Ledger and classified as requiring institutional approval before it can be posted to the General Ledger. Timeliness and completeness of the explanation of the transfer are important factors in supporting allowability and allocability in accordance with federal requirements. Colleagues from the District and all 7 Colleges along with the Satellite Offices are involved with the administration and conduct of federally funded sponsored awards must comply with this policy.

A cost transfer request for an expense that is **90 calendar days** or more from the original posting date requires approval along with additional documentation to abide by with federal cost principals including, allowable, allocable, and reasonableness. Please note that cost transfers are for correcting errors and are not to be used as a means of managing available cash balances. Project fund are not interchangeable, and the integrity of each grant account must be maintained.

At CCC, cost/budget transfers are normally initiated by the Principal Investigator (PI) through reconciling their grant expense reports. The PI informs the Grant Analyst of an error made to his/her account. The Grant Analyst completes a Budget Journal Entry form and forwards to the document to the College's Business Department for Department Head approval and signature. Once approved, Grant Analyst receives the form and enters the corrected entry into PeopleSoft. The Grant Analyst submits a hard copy of the budget journal entry form, budget status report to ensure funds are available for transfer, any corresponding invoices, and an explanation as to why the transfer is needed to the Grant Accounting Office. During the review process, the Senior Accountant will check the entry to ensure the transfer is within the terms of the grant agreement and/or contract. If the entry is within the 90-day period, the Senior Accountant will sign-off on the document and forward it to the Grant Accounting Supervisor to post the approved transaction to the GL. This entire process can take anywhere from 24-48 hours to post.

If the expense is ever in question, the Principal Investigator will follow-up with the funder and obtain approval.

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 monthly 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.

Internal Budget and Expenditure Reports (At-Risk Reports)

Budget and expenditure reports (At-Risk Reports) are distributed to each College and District Office that have any restricted funded programs. The reports are remitted monthly 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.

Financial and Audit Reports

CCC financial and audit reports can be found at the following link covering years 2012 to present:

<https://www.ccc.edu/departments/Pages/Annual-Finance-and-Budget-Reports-.aspx>

NO-COST EXTENSION

The PI will need to seek written approval from the funder. The request should include why the extension is needed and the updated performance period. The funder's written approval must be received prior to any changes being implemented.

PROCUREMENT SERVICES

Your proposal may call for the purchase of goods and services, hiring staff and/or sub awarding funds to a third party. The following information will help you to expend your grant funds in a timely fashion.

The following purchasing dollar thresholds provide the requirements that are approved by the Board of Trustees:

- Purchases of less than \$2,500: Competitive bidding is not required. Such items may be purchased from any vendor offering the required goods or services at a reasonable price. Price comparison is highly recommended.
- Purchases of \$2,500 and up to \$25,000 require three price quotations in writing. The quotations must be summarized on the bid recapitulation sheet and attached to the requisition form. A copy of the bid recapitulation form is provided below. At least one of the three vendors must be a certified MBE/WBE vendor.
- Purchases in excess of \$25,000 formal competitive bidding is required. Formal competitive bidding requires that the initiating department prepare written specifications describing the required goods or services. The specifications must be submitted via e-mail to the Department of Procurement Services (procurementservices@ccc.edu) and with copy to the College Executive Director of Business Operations to ensure that the specifications are complete and in the proper form. Specifications shall be prepared as objectively as possible, so that the advantage provided to any vendor is based on the appropriateness of that vendor's product.

MBE/WBE Contract Compliance

Bid Recapitulation requirements:

1. One quote from a certified MBE or WBE firm;
2. "Certified" means the firm is certified by one of the 5 agencies recognized by City Colleges <http://www.ccc.edu/services/Pages/MWBE-Information-and-Forms.aspx>;
3. When requesting the quote, ask the firm to include their certification letter;

If you do not have a quote from an MBE/WBE, you must request a waiver from the requirement including justification and backup, e.g. Searched databases and no MBE/WBE firms were listed, item is a sole source.

MBE/WBE vendors can be found on the following websites:

City of Chicago's website:

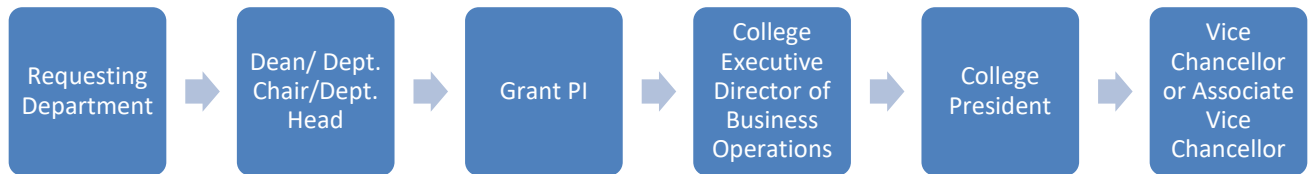
<https://chicago.mwdbe.com/>

Central Management Service-State of Illinois (CMS)

<https://cms.diversitycompliance.com/>

For additional questions/assistance you may contact mwbecompliance@ccc.edu.

Requisition Approval Workflow-College



Vendors

- All vendors are entered into the PeopleSoft database by Procurement Services. Please allow a minimum of 10 business days for entry.
- All new vendors who will provide goods and services must complete a vendor packet. Which includes the following:
 - **Vendor's List Application Form**
 - **IRS W-9 Form**
 - **Purchase Order Terms and Conditions (Conditions of Purchase)**
 - **Acknowledgement of the District's CCC Ethics Orientation for Contractors/Vendors**
 - **NIGP Commodity Codes Selection**
- To update existing vendors the Vendor Form must be completed and supporting documentation must be attached i.e. Vendor address change notice, etc.
- Hotels and Membership organizations are only required to submit the IRS W-9 Form and Vendor Form (include telephone and fax numbers).
- To verify if your vendor of choice is in PeopleSoft, check with your College Business Office or District Office Business Managers who have vendor inquiry access.

The vendor forms are available from the internet via

<http://www.ccc.edu/services/Pages/Become-a-Vendor.aspx>

District-Wide Term Agreements

Colleges benefit from increased savings through combined purchasing volume using Board approved vendors, procurement consortiums, and other sister agency contracts for District-wide purchases.

Examples of Board Approved Vendors:

- Building and Maintenance Repair
- Scavenger Services
- Nursing Supplies
- Bus Transportation
- Uniforms
- Text (“Educational”) Books
- Promotional Items
- Cafeteria and Vending Services
- Newspaper Advertising
- Computers and Printers
- Scientific Supplies

Consortium Vendors

- Omnia Partners (formerly National IPA and US Communities Purchasing Alliance) <https://www.omniapartners.com/publicsector/contracts>
- Illinois Higher Public Education Cooperative (IPHEC) – <https://www.procure.stateuniv.state.il.us>
- Educational and Institutional Cooperative Purchasing (E & I) <https://www.eandi.org>
- Sourcewell (formerly NJPA) <https://www.sourcewell-mn.gov/contract-search>
- Items available to purchase include:
 - Maintenance /Janitorial Supplies
 - Office Supplies
 - Office Furniture
 - Scientific Equipment
 - Medical Supplies

Note:

The consortia contract should be attached to all requisitions in PeopleSoft. The Board report # for utilization is 32583 which should also be attached.

Sole Source Purchases

- **Definition** - item(s) procurable only from a single/one source (i.e., manufacturer, authorized dealer/distributor, own patent or copyrights).
- All Sole Source purchases over \$25,000 requires Board Approval.
- User Department submits sole source justification package
 - Blank package on Procurement Services Web Page
 - Submit to the email box – procurementservices@ccc.edu
- Sole Source Request Must Be Publicly Posted
 - Bid Solicitations Web Page
 - Minimum of three weeks
 - Results reported to the NCRC
- Non-Competitive Review Committee (NCRC)
 - Meets third Wednesday of each month
 - Members: Procurement, Finance, Academic and Student Affairs, User Department Rep.
 - User to present sole source justification
 - Any public objections will be considered
 - Committee to determine sole source viability

- Should viable multiple sources emerge, the product/service will be publicly bid

Formal Bid Participants/Roles

- **User Department** – The User Department is responsible for the preparing an accurate and complete scope of services for the solicitation, serving on the Evaluation Committee, preparing the final recommendation for vendor selection, and preparing the Board report for review and approval by the Board of Trustees.
- **Procurement Services Buyer** – Facilitates the bidding process. Prepares the bid document from the scope provided by the user department.
- **Associate Director of Procurement Services** – Oversees the timely completion of the process.
- **Risk Management** – Provides the appropriate insurance language for the bid project.
- **MBE/WBE Compliance** – Reviews the submitted proposals for a commitment to adhere to our board approved compliance plan.
- **District Director of Procurement Services** – Approves the selection of the recommended vendor.

Formal Bid Timeline

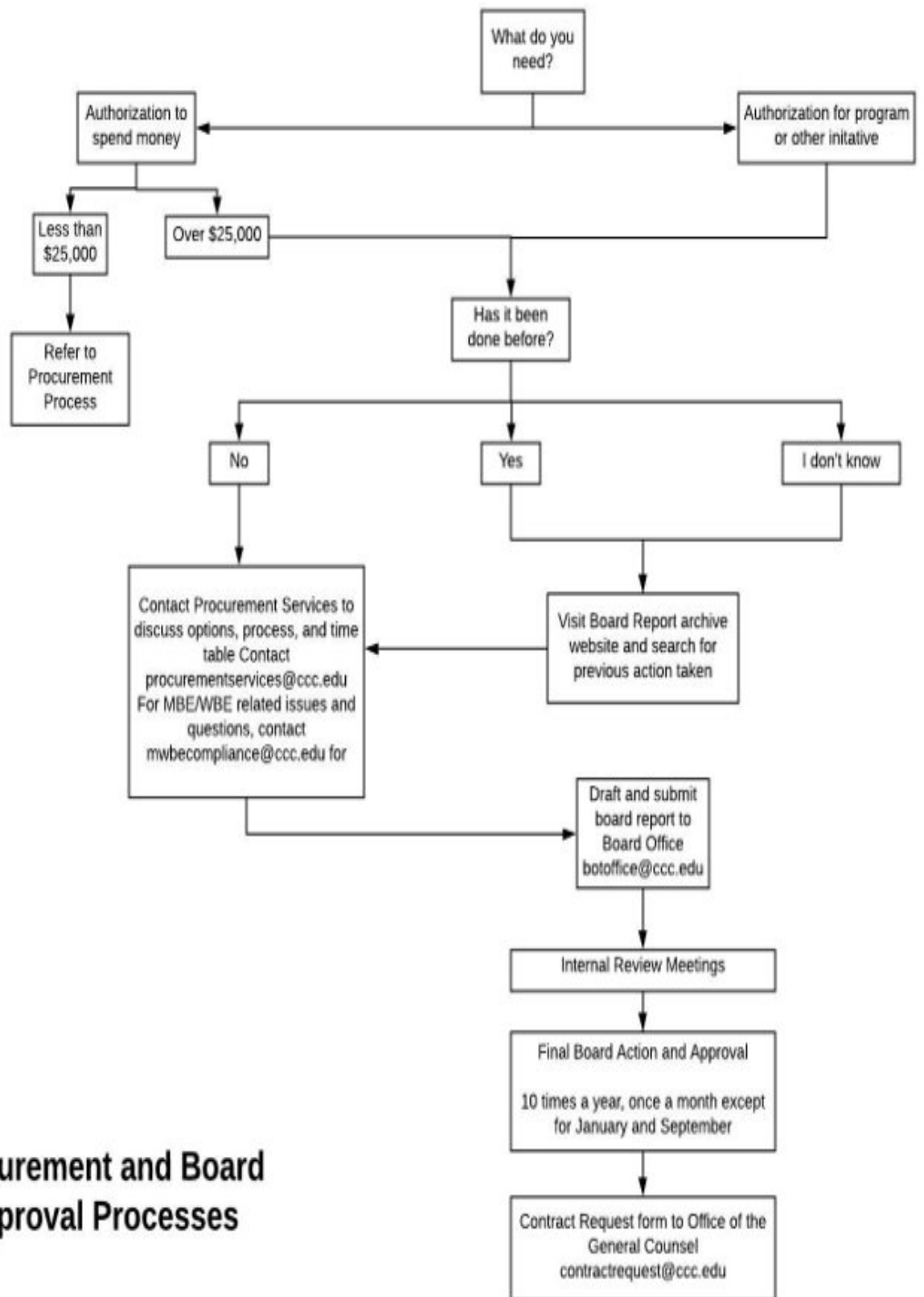
Sealed Bids (Goods only):

- At a minimum, **one** month to draft and advertise Specifications.
- **Two** months for Board Approval process.
- Total of **three** months to plan and complete requests for goods, products, or equipment.

Note: Timing is based on the user departments readiness with scope of work.

Request for Proposal (“RFP”):

- At a minimum, **one** month to draft and advertise RFP, and complete the Pre-bid conference.
- **Two** weeks for proposal evaluation process.
- **Two** weeks if oral presentations are needed.
- **Two** months for Board Approval process.
- Total of **two and half - three months** to plan and complete request for services.
- An additional **21 days**, at minimum, for contract preparation and execution after board approval is obtained.
- Non-Competitive/Sole Source Request
 - Please factor 4-8 additional weeks
 - Public Posting
 - Committee Review



Procurement and Board Approval Processes

General Council (Legal)

See Appendix for Complete Procedures & Guidelines

***A new online system has been implemented in regard to the contract process using the Agiloft system which replaces the paper form that was used previously. A user guidance can be found in the appendix section.**

Types of Agreements

- Professional Services Agreement (when fee \geq \$1000)
- Training Agreement
- Subcontractor (Training) Agreement
- Software License
- Facilities Use Permit
- Internship Agreement/Clinical Agreement
- Memorandum of Understanding

Scope of Services

It should include the following: who, what, when, where, why, and how. What did you and the other party agree to during negotiations?

Board Report Approval

When do I need to have an approved Board Report?

- Contracts with a value over \$25,000
- Contracts with a vendor who will receive over \$25,000 in a fiscal year via multiple contracts
- Intergovernmental agreements
- Grants

Independent Contractors

- IRS 20 Factors and 3 Categories of Control (to be submitted to the OGC)
- Other Proof that individual is self-employed may be required later for inspection (but do not submit these to the OGC)
- Vetting by Human Resources **(IC section on form is to be signed by Human Resources ONLY)**

Contract Signature Authority

\$5,000 College President

\$5,001 - \$25,000 Chancellor

> \$25,000 Board Chair with approval by Board of Trustees

Signature Authority

- Remember to obtain the signature of the other party on all two (2) originals.
- Return a fully executed original to the Office of the General Counsel.

X. CLOSEOUT

The fifth step in the grant's management cycle is closeout. The closeout step is when the grant process ends. The final programmatic and final reports are due to the funder. Also, records are kept for a five-year period.

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.

XI. CONCLUSION

The Grants Management team is here to help everyone achieve the maximum success in this process. This manual will be updated on a consistent basis. For any questions, please email us at grant-management@ccc.edu

INTENT TO SUBMIT A PROPOSAL FORM

This form needs to be completed for any grant opportunity that you are interested in pursuing. Please note that this form won't be accepted unless it is approved and signed by your College President or District Leadership. This form is due a minimum of 30 days before the grant application deadline if a grant writer is needed. This will allow the grants team to allocated proper resources while ensuring a successful proposal. Please send the completed form to grant-management@ccc.edu.

Today's Date		Name of Staff/Faculty Completing Form	
College		Department	
Principal Investigator Name & Title		Co-Investigator (s) Name & Title	

Funding Agency		Proposal website for guidelines	
-----------------------	--	--	--

Grant/Program Name/Title	
---------------------------------	--

FUNDER/DONOR	<input type="checkbox"/> FEDERAL	<input type="checkbox"/> STATE	<input type="checkbox"/> CITY	<input type="checkbox"/> LOCAL	<input type="checkbox"/> FOUNDATION
	<input type="checkbox"/> CORPORATE	<input type="checkbox"/> PRIVATE	<input type="checkbox"/> OTHER		

GRANT TYPE	<input type="checkbox"/> NEW	<input type="checkbox"/> CONTINUATION	<input type="checkbox"/> REVISION	<input type="checkbox"/> RENEWAL	<input type="checkbox"/> AGREEMENT
<input type="checkbox"/> AMENDMENT	<input type="checkbox"/> CONCEPT PAPER	<input type="checkbox"/> CONTRACT	<input type="checkbox"/> LETTER OF INQUIRY	<input type="checkbox"/> SUBAWARD	<input type="checkbox"/> OTHER

Potential Award Amount		<input type="checkbox"/> SINGLE YEAR	<input type="checkbox"/> MULTI-YEAR	Application Deadline	
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Performance Period	
---------------------------	--

What is the funding opportunity about? Please provide a brief summary.	
---	--

How does this opportunity relate to your program concept?	
--	--



What are you planning to use these funds for? Please be descriptive in your response.	
--	--

Will there be any collaboration with other CCC Colleges, District, or externally? If so, please provide the name of the college or external entity.	
--	--

How will this proposal benefit CCC as a whole?	
---	--

Fund Match/Cost Sharing	<input type="checkbox"/> YES	<input type="checkbox"/> NO	Grant Writer Needed	<input type="checkbox"/> YES	<input type="checkbox"/> NO
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Contact Person		Phone		Email	
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College President/ Vice Chancellor/Approval <i>(Please Type Full Name or Obtain Signature)</i>		Date	
Chancellor Signature/Approval		Date	

Below for Use by Office of Institutional Advancement

Pass-through Money Yes No

	<input type="checkbox"/>	<input type="checkbox"/>		
<i>Date Received</i>	PURSUE	DO NOT PURSUE	<i>Signed by</i>	<i>Date Reviewed</i>

GRANT WRITER ASSESSMENT FORM

This form needs to be completed in order to determine what part of the proposal the grant writer will be assigned to work on. A one-page summary describing the proposal will need to be submitted along with this form.

Today's Date			
Principal Investigator			
College		Department	
Program Title			

Grant Funder	<input type="checkbox"/> FEDERAL	<input type="checkbox"/> STATE	<input type="checkbox"/> CITY	<input type="checkbox"/> LOCAL
	<input type="checkbox"/> FOUNDATION	<input type="checkbox"/> CORP	<input type="checkbox"/> PRIVATE	<input type="checkbox"/> OTHER
Grant Type	<input type="checkbox"/> NEW	<input type="checkbox"/> CONTINUATION	<input type="checkbox"/> RENEWAL	<input type="checkbox"/> OTHER

Project Period		Budget Amount	
----------------	--	---------------	--

Funding Agency		Proposal Website for Guidelines	
----------------	--	---------------------------------	--

Please check all that apply and answer all following questions.

GRANT WRITING ASSISTANCE NEEDED	<input type="checkbox"/> IDENTIFYING NEW FUNDING SOURCES
	<input type="checkbox"/> PROGRAM DEVELOPMENT
	<input type="checkbox"/> PREPARING GRANT APPLICATION
	<input type="checkbox"/> EDITING PROPOSAL NARRATIVE
	<input type="checkbox"/> COMPLETING ATTACHMENT FORMS
	<input type="checkbox"/> FULL GRANT PROPOSAL WRITING
	<input type="checkbox"/> PARTIAL GRANT PROPOSAL WRITING
	<input type="checkbox"/> RESEARCH

Please answer the following questions.

1. Does the College have the bandwidth and resources to implement the proposed program?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<i>*If you answered no, you are ineligible.</i>
2. Does the College have any history with the identified funding organization, including <i>*current funded projects?</i>	<input type="checkbox"/> YES	<input type="checkbox"/> NO	

3. Can the Colleges provide its existing list of community partners?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	
4. Does the College meet all the mandatory requirements of the proposed grant?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<i>*If you answered no, you are ineligible.</i>
5. Is this project sustainable beyond the grant-funding period?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	

PROPOSED PROJECT QUESTIONS

1. What is the **need** that the proposed project will address?

2. What are the **goals and objectives** of the project? Please include the **project activities**.

3. Specifically, how will the **funds be used**?

4. Who will **implement/management the proposed project**? Please identify staff and faculty's role.

5. What is the **project timeframe**?



Office of Institutional Advancement
 Foundation, Alumni, Grants & Contracts
 180 North Wabash Avenue #200
 Chicago, Illinois 60601
grant-management@ccc.edu

6. What are the **current resources** available?

7. Who are the **community partners** or identified community partners?

CONTACT PERSON		PHONE		EMAIL	
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Below For Use by Office of Institutional Advancement

	<input type="checkbox"/>	<input type="checkbox"/>		
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Date Received Pursue Do Not Pursue Signed By Date Reviewed

Please submit the completed form to grant-management@ccc.edu

BOARD REPORT SUBMISSION FORM

This form needs to be completed for any grant opportunity that you have applied for. The Board of Trustee must be aware of all grant related projects. Please note that this form won't be accepted unless it is approved and signed by your College President or District Leadership. This form must be submitted 48 hours after the grant submission.

Today's Date		Name of Staff/Faculty Completing Form	
College		Department	
Principal Investigator Name & Title		Co-Investigator (s) Name & Title	

Funding Agency		Proposal website for guidelines	
----------------	--	---------------------------------	--

Proposal Title	
----------------	--

Potential Award Amount		<input type="checkbox"/> SINGLE YEAR	<input type="checkbox"/> MULTI-YEAR	Application Submission Date	
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District Wide Proposal	<input type="checkbox"/> YES	PLEASE LIST THE COLLEGES ARE PART OF THE CONSORTIUMS:	<input type="checkbox"/> NO
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Period of Performance	
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Alignment with City Colleges' Strategic Framework and Plans

(Please select from one or more of the levers and goals identified in City Colleges' Strategic Framework and College Strategic Plans.)

<input type="checkbox"/>	STUDENT EXPERIENCE: We promise that every experience with City Colleges, from pre-admissions to completion, will be exceptional. Every student will be able to maximize their learning inside and outside the classroom, navigate our institution with ease, make significant progress towards their goals, and feel welcome and supported by all City Colleges employees.
<input type="checkbox"/>	EQUITY: We will become a "student-ready" and equitable institution that is designed for all students to thrive—especially those from historically and present-day marginalized communities. We will equip students with the support and resources they need to succeed in the classroom and beyond.
<input type="checkbox"/>	ECONOMIC RESPONSIVENESS: We will be forward-looking and agile in developing pathways and forging partnerships that unlock transformational career opportunities for City Colleges students and fuel the Chicago workforce with talent that is prepared to meet the needs of the economy.
<input type="checkbox"/>	EXCELLENCE: We will build a culture of excellence that inspires everyone to become the 'best in class' for our students and community. We hold ourselves accountable to delivering academics, experiences,

	and services of the highest quality. Our faculty and staff will continue to receive professional development across the district to continuously improve their practices.
<input type="checkbox"/>	COLLABORATION: We will create a more collaborative and connected ecosystem to foster coordination and communication that supports student success. At each college and across the district, we will implement people, data, and technology solutions to create holistic best practices with an inclusive approach to problem solving
<input type="checkbox"/>	INSTITUTIONAL HEALTH: We will develop, monitor, and improve critical institutional health metrics that ensure financial sustainability and the well-being of our institution.

For the section below, please provide a detailed description to each of the questions. We need to remember that our Board and the general public don't know your work. The more detail that you can provide us in the beginning, the less questions we will receive from the Board Secretary. Lastly, do not use acronyms, please spell out each word.

Is this a new, renewal, or a continuation of an existing project?	
Are the deliverables and budget realistic to the overall scope of the project?	
What are the goals and deliverables for this project?	
What is the funding going to be used for? Students? Staffing? Scholarship? Consultants? Outside Vendors? Be Specific.	
Has any information changed that you provided on the Intent to Submit form changed? If yes, please specify those changes.	
What departments will be involved with the project?	
Who is accountable for overseeing the project? Please provide the position versus a person's name.	
Who will be impacted in achieving the overall project deliverables?	
How many students will be impacted by this project?	



What tools will be used to measure the overall success of this project?	
Why is the project so important to the college or District?	
Are there any subawards on this grant? If so, please state the name of the entity.	
Where will most of the work be performed?	
How does this proposal benefit CCC as a whole?	

Contact Person		Phone		Email	
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College President/ Vice Chancellor/Approval <i>(Please Type Full Name or Obtain Signature)</i>		Date	
Chancellor Signature/Approval		Date	

Below for Use by Office of Institutional Advancement

Pass-through Money Yes No

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<i>Date Received</i>	<i>PURSUE</i>	<i>DO NOT PURSUE</i>	<i>Signed by</i>	<i>Date Reviewed</i>

CITY COLLEGES OF CHICAGO

Donation Acceptance Form

Please provide detailed information about the item(s) that has been donated/received by your college to ensure that all items are placed on the appropriate board agenda for acceptance/approval.

Date Donation Received	Item(s) Donated (purpose)	Donated To	Donated By	Value of Donation (estimate or actual)	Donation Type (cash or in-kind)	College (specify) or District
------------------------	---------------------------	------------	------------	--	---------------------------------	-------------------------------

Please provide your contact information in the event that any questions may arise regarding the above-listed donation(s).

NAME: SIGNATURE: DATE:

TITLE: EMAIL: PHONE:

Please work with the Office of Institutional Advancement to ensure that a thank you letter is sent to the donor and placed on file.

SIGNATURE/APPROVAL OF COLLEGE PRESIDENT OR VICE CHANCELLOR

DATE

SIGNATURE/APPROVAL OF EXECUTIVE VICE CHANCELLOR

DATE



VERSION DATE: 6/1/2020

Office of Institutional Advancement
Foundation, Alumni, Grants & Contracts
180 North Wabash Avenue - 312-553-2595



FY 2021 Fringe Benefits Rates*
Effective July 1, 2020 through June 30, 2021

	<u>Full-Time</u>	<u>Part-Time (eligible)</u>	<u>Part-Time (ineligible)</u>
Medical Insurance	17.89%	0.00%	0.00%
Dental and Vision Insurance	1.53%	0.00%	0.00%
Total Medical Insurance	<u>19.42%</u>	<u>0.00%</u>	<u>0.00%</u>
Life Insurance	0.46%	0.00%	0.00%
Workers' Compensation	0.26%	0.26%	0.26%
Unemployment Compensation	0.51%	0.51%	0.51%
	<u>0.77%</u>	<u>0.77%</u>	<u>0.77%</u>
Medicare	1.45%	1.45%	1.45%
FICA	0.00%	0.00%	6.20%
Total Medicare and FICA	<u>1.45%</u>	<u>1.45%</u>	<u>7.65%</u>
Total Fringe Benefits	<u>22.09%</u>	<u>2.22%</u>	<u>8.42%</u>
SURS employer normal cost	12.70%	12.70%	0.00%
Fringe Benefits plus SURS	<u>34.79%</u>	<u>14.92%</u>	<u>8.42%</u>
Administrative Overhead Remaining percentage available that can be used for Administrative Overhead (non-benefit related qualified expenses, such as utilities, etc.).	<u>15.71%</u>	<u>35.58%</u>	<u>42.08%</u>
Provisional Indirect Cost Rate from the federal government allowing City Colleges to use this rate until amended (see letter dated 11/15/2016)	<u>50.50%</u>	<u>50.50%</u>	<u>50.50%</u>

*Calculation based on final Fiscal Year 2019 actual benefit costs and salaries paid.



FY 2022 Fringe Benefits Rates*
Effective July 1, 2021 through June 30, 2022

	<u>Full-Time</u>	<u>Part-Time (eligible)</u>	<u>Part-Time (ineligible)</u>
Medical Insurance	15.39%	0.00%	0.00%
Dental and Vision Insurance	1.21%	0.00%	0.00%
Total Medical Insurance	<u>16.60%</u>	<u>0.00%</u>	<u>0.00%</u>
Life Insurance	0.75%	0.00%	0.00%
Workers' Compensation	0.26%	0.26%	0.26%
Unemployment Compensation	0.23%	0.23%	0.23%
	<u>0.49%</u>	<u>0.49%</u>	<u>0.49%</u>
Medicare	1.45%	1.45%	1.45%
FICA	0.00%	0.00%	6.20%
Total Medicare and FICA	<u>1.45%</u>	<u>1.45%</u>	<u>7.65%</u>
Total Fringe Benefits	<u>19.29%</u>	<u>1.94%</u>	<u>8.14%</u>
SURS employer normal cost	<u>12.32%</u>	<u>12.32%</u>	<u>0.00%</u>
Fringe Benefits plus SURS	<u>31.61%</u>	<u>14.26%</u>	<u>8.14%</u>
Administrative Overhead Remaining percentage available that can be used for Administrative Overhead (non-benefit related qualified expenses, such as utilities, etc.).	<u>21.39%</u>	<u>38.74%</u>	<u>44.86%</u>
Provisional Indirect Cost Rate from the federal government allowing City Colleges to use this rate through June 30, 2024.	<u>53.00%</u>	<u>53.00%</u>	<u>53.00%</u>

*Calculation based on final Fiscal Year 2020 actual benefit costs and salaries paid.

ORIGINAL

COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN: 1362606236A1

DATE:11/15/2016

ORGANIZATION:

FILING REF.: The preceding agreement was dated 01/24/2011

City Colleges of Chicago
226 West Jackson Boulevard
Room 1324
Chicago, IL 60606-6998

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

SECTION I: Facilities And Administrative Cost Rates

RATE TYPES: FIXED FINAL PROV. (PROVISIONAL) PRED. (PREDETERMINED)

EFFECTIVE PERIOD

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE (%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PRED.	07/01/2015	06/30/2019	50.50	On Campus	All Programs
PROV.	07/01/2019	Until Amended			Use same rates and conditions as those cited for fiscal year ending June 30, 2019.

*BASE

Direct salaries and wages including vacation, holiday, sick pay and other paid absences but excluding all other fringe benefits.

ORGANIZATION: City Colleges of Chicago

AGREEMENT DATE: 11/15/2016

SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

The fringe benefits are charged using a rate(s). Over/under recoveries from actual costs are adjusted in current or future periods. The directly claimed fringe benefits are listed below.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

Equipment Definition -

Equipment means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

FRINGE BENEFITS:

FICA

Retirement

Disability Insurance

Worker's Compensation

Unemployment Insurance

Health Insurance

Dental Insurance

Life Insurance

Per 2 CFR 200.414(g) - A rate extension has been granted.

Next Proposal Due -

Your next proposal based on actual costs for the fiscal year ending 06/30/18 is due in our office by 12/31/18.

ORGANIZATION: City Colleges of Chicago

AGREEMENT DATE: 11/15/2016

SECTION III: GENERAL

A. LIMITATIONS:

The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its facilities and administrative cost pools as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as facilities and administrative costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

B. ACCOUNTING CHANGES:

This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from facilities and administrative to direct. Failure to obtain approval may result in cost disallowances.

C. FIXED RATES:

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the difference between the costs used to establish the fixed rate and actual costs.

D. USE BY OTHER FEDERAL AGENCIES:

The rates in this Agreement were approved in accordance with the authority in Title 2 of the Code of Federal Regulations, Part 200 (2 CFR 200), and should be applied to grants, contracts and other agreements covered by 2 CFR 200, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

E. OTHER:

If any Federal contract, grant or other agreement is reimbursing facilities and administrative costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of facilities and administrative costs allocable to these programs.

BY THE INSTITUTION:

City Colleges of Chicago

(INSTITUTION)



(SIGNATURE)

James T. Frankenthal

(NAME)

Chief Operating Officer

(TITLE)

3-2-17

(DATE)

APPROVED AS TO LEGAL FORM

By: E. L. Munin 2/13/17

Eugene L. Munin, General Counsel
City Colleges of Chicago

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

Arif M. Karim -A

Digitally signed by Arif M. Karim -A
DN: c=US, o=U.S. Government, ou=HHS, ou=PSC,
ou=People, cn=Arif M. Karim -A,
0.9.2342.19200300.100.1.1=2000212895
Date: 2016.11.24 14:29:31 -06'00'

(SIGNATURE)

Arif Karim

(NAME)

Director, Cost Allocation Services

(TITLE)

11/15/2016

(DATE)

5002

HHS REPRESENTATIVE:

Matthew Dito

Telephone:

(214) 767-3261

NO SURS by Pay Group and Job Family

Pay Group	Job Family	Description	
119	351	Continuing Ed Lecturers	*
118	373	Substitute Adult Educators	*
111	611	Student Employees	
112	621	College Work Study	
111	626	Part Time Temporary	
111	627	Part Time Temporary - Exempt	
111	699	Summer Youth Intern	
116	812	Janitors - Temporary	

* FICA no SURS since Mar 2008 (new employees)

NO SURS Earn Codes

Earn Code	Status	Descr	SURS
AFL	A	Adjust Floating Holiday	#N/A
AFX	A	Faculty-Excused Absnc-TL	#N/A
APP	A	AFSCME Paper Pay	#N/A
APR	A	Adjust Personal Time	#N/A
ARN	A	Not for Payroll Use Arrears	#N/A
ARP	A	Not for payroll use Arrears	#N/A
ASK	A	Adjust Sick Time	#N/A
AUT	A	Auto Ins Reimbursement	#N/A
AVC	A	Adjust Vacation Time	#N/A
AWD	A	Awards Pay	#N/A
BNS	A	ADED Bonus	#N/A
CAN	A	Cancellation Fee Classes	#N/A
CAR	A	Car Allowance	#N/A
CEL	A	Cellular Phone Allowance	#N/A
CRG	A	Don'tUse - Paygroup Def Only	#N/A
DEG	A	Advance Degree Pay	#N/A
EEM	A	FERPA Training Payment	#N/A
FFD	A	Funeral Friend Day-Days	#N/A
FFF	A	Faculty-Funeral Friend	#N/A
FHA	A	Floating Holiday Adjust-Hours	#N/A
FHD	A	Hrly-Floating Holiday-Day	#N/A
FLD	A	Floating Holiday - Day	#N/A
FSK	A	Faculty Sick Day	#N/A
FSP	A	Faculty Summer Personal	#N/A
FSS	A	FACULTY SUMMER SICK	#N/A
GRB	A	Chapter 13 bankruptcy Refund	#N/A

GRC	A	Child Support Refund	#N/A
GRS	A	Student Loan Refund	#N/A
GRT	A	Tax levy Refund	#N/A
GRW	A	15% Garnishment Refund	#N/A
HAP	A	Housing Assistance Program	#N/A
HOM	A	Home Ins Reimbursement	#N/A
KSA	A	5% Salary Increase Pay	#N/A
LEG	A	Settlements (No SURS)	#N/A
MDA	A	Medical Reimbursement Active	#N/A
MDO	A	Medical Reimbursements Other	#N/A
MDR	A	Medical Reimbursement Retired	#N/A
MRN	A	Moving Relocation - Taxable	#N/A
NA	A	Time Attend - NA	#N/A
NHL	A	NoHoliday-Paygroup Def	#N/A
OTP	A	Don't Use - Paygroup Only	#N/A
PAL	A	Payroll Transition Advance	#N/A
PHD	A	Hrly Personal Day	#N/A
PRD	A	Personal Day	#N/A
PRK	A	Parking	#N/A
PSD	A	Personal (Sick)-Days	#N/A
PSF	A	Fac-Personal(Sick)	#N/A
PSX	A	Ex Hrly-Personal (Sick)-TL	#N/A
PSY	A	Hrly-Pers (Sick) Day-TL	#N/A
QQQ	A	Refund	#N/A
RAT	A	Recoupment - After Tax	#N/A
RRS	A	Retro Student Workers	#N/A
RRW	A	Retro for FWS	#N/A
RSM	A	Middle 1600 Salary Enhancement	#N/A
RWS	A	Regular Work Study	#N/A
SCC	A	Success Pay Local 1600	#N/A
SCD	A	Sick Day	#N/A
SEV	A	Severance Pay	#N/A
SKD	A	Sick Pay-Day	#N/A
TMD	A	Term with Medicare	#N/A
TRB	A	Tuition Reimbursement Bargain	#N/A
TRM	A	Term Benefits	#N/A
TRN	A	Tuition Reimbursement NBF	#N/A
TRT	A	Tuition Taxable > 5250	#N/A
TSK	A	THIRD PARTY SICK	#N/A
TV2	A	Travel Adjustments OD's	#N/A
TV3	A	Travel Adjustments OD's	#N/A
UNF	A	Faculty-Unpay Faculty	#N/A
UNG	A	Faculty-Unpay Fac Time	#N/A
UNH	A	Hrly-Unpay	#N/A
UNM	A	Middle-Unpaid Hrs Time Sheet	#N/A
UNT	A	ExHrly-Unpaid Hrs Time Sheet	#N/A
UPH	A	Hrly-Unpaid	#N/A

VAD	A	Vacation Day	#N/A
VAX	A	ExHrly-Vacation-TL	#N/A
VHD	A	Hrly-Vacation-Day	#N/A
ZSV	A	Adjust Sick From Vac Rollover	#N/A
ZVM	A	Adjust Vacation Maximum Cap	#N/A

SURS ELIGIB 203

Earn Code	Status	Descr	Spcl Accum	Effect
A01	A	SPAS Assgnmt 01	SUR	A
A02	A	SPAS Assgnmt 02	SUR	A
A03	A	SPAS Assgnmt 03	SUR	A
A04	A	SPAS Assgnmt 04	SUR	A
A05	A	SPAS Assgnmt 05	SUR	A
A06	A	SPAS Assgnmt 06	SUR	A
A07	A	SPAS Assgnmt 07	SUR	A
A08	A	SPAS Assgnmt 08	SUR	A
A09	A	SPAS Assgnmt 09	SUR	A
A10	A	SPAS Assgnmt 10	SUR	A
A11	A	SPAS Assgnmt 11	SUR	A
A12	A	SPAS Assgnmt 12	SUR	A
A13	A	SPAS Assgnmt 13	SUR	A
A14	A	SPAS Assgnmt 14	SUR	A
A15	A	SPAS Assgnmt 15	SUR	A
A16	A	SPAS Assgnmt 16	SUR	A
A17	A	SPAS Assgnmt 17	SUR	A
A18	A	SPAS Assgnmt 18	SUR	A
A19	A	SPAS Assgnmt 19	SUR	A
A20	A	SPAS Assignment 20	SUR	A
A21	A	SPAS Assgnment 21	SUR	A
A22	A	SPAS Assignment 22	SUR	A
A23	A	SPAS Assignment 23	SUR	A
A24	A	SPAS Assignment 24	SUR	A
A25	A	SPAS Assignment 25	SUR	A
A26	A	SPAS Assignment 26	SUR	A
A27	A	SPAS Assignment 27	SUR	A
A28	A	SPAS Assignment 28	SUR	A
A29	A	SPAS Assignments 29	SUR	A
A30	A	SPAS Assignments 30	SUR	A
ABA	A	ExHrly Excused Absence Adjust	SUR	A
ABF	A	Faculty-Excused Absence	SUR	A
ABH	A	Excused absence hourly	SUR	A
ABM	A	MiddleCol-Excused Absence	SUR	A
ABS	A	Excused Absence	SUR	A
ADV	A	Advance Vacation	SUR	A
AT1	A	Transportation Contract 01	SUR	A
AT2	A	Transportation Contract 02	SUR	A
B01	A	B01 earnings code	SUR	A
B02	A	B02 earnings code	SUR	A
B03	A	B03 earnings code	SUR	A
B04	A	B04 earnings code	SUR	A
B05	A	B05 earnings code	SUR	A
B06	A	B06 earnings code	SUR	A
B07	A	B07 earnings code	SUR	A
B08	A	B08 earnings code	SUR	A
B10	A	B10 earnings code	SUR	A
B11	A	B11 earnings code	SUR	A
B12	A	B12 earnings code	SUR	A

B13	A	B13 earnings code	SUR	A
B14	A	B14 earnings code	SUR	A
B15	A	B15 earnings code	SUR	A
B16	A	B16 earnings code	SUR	A
B17	A	B17 earnings code	SUR	A
B18	A	B18 earnings code	SUR	A
B19	A	B19 earnings code	SUR	A
B20	A	B20 earnings code	SUR	A
B21	A	B21 earnings code	SUR	A
B22	A	B22 earnings code	SUR	A
B23	A	B23 earnings code	SUR	A
BEA	A	Bereavement Adjust	SUR	A
BER	A	Bereavement	SUR	A
BRA	A	Bereavement-AFSCME	SUR	A
C01	A	Continuing Education	SUR	A
C02	A	Continuing Education	SUR	A
C08	A	Continuing Education	SUR	A
CEM	A	Compensatory Time Payout	SUR	A
CEN	A	ExHrly-Leave for Conference	SUR	A
CFN	A	Faculty-Leave for Conference	SUR	A
CHF	A	Chair Payment for Faculty	SUR	A
CHL	A	Chair Payment for Librarians	SUR	A
CMM	A	Middle-Compensatory Time	SUR	A
CMU	A	Compensatory Time	SUR	A
CNM	A	Middle-Leave for Conference	SUR	A
CNT	A	Continuous Pay	SUR	A
COL	A	Cost of Living Allowance	SUR	A
COM	A	Compensatory Time	SUR	A
CON	A	Hrly-Leave for Conference	SUR	A
CPC	A	CONTINUOUS PAY	SUR	A
CRT	A	Court Subpeona	SUR	A
DEF	A	Deferred Pay Out	SUR	A
DEI	A	Deferred Earnings Paid In	SUR	A
DER	A	Deferred Earnings Paid InAdj	SUR	A
DEV	A	Professional Development	SUR	A
DLS	A	Final Defer Lump Sum Payout	SUR	A
DRG	A	Regular -Deceased	SUR	A
DSK	A	Sick-Deceased	SUR	A
DVC	A	Vacation-Deceased	SUR	A
ETH	A	Ethics Training Payment	SUR	A
FA1	A	Faculty Other Contract	SUR	A
FA2	A	Faculty Other Contract	SUR	A
FFH	A	Hrly-Funeral Friend	SUR	A
FFM	A	MiddleCol-Funeral Friend	SUR	A
FFN	A	ExHrly-Funeral Friend Day	SUR	A
FLA	A	Floating Holiday Payout	SUR	A
FLH	A	Floating Holiday-Hours	SUR	A
FLT	A	Floating Holiday	SUR	A
FRG	A	Faculty-Regular	SUR	A
FRR	A	Faculty Retros	SUR	A
FSB	A	Faculty Sabbatical 100%	SUR	A

FSE	A	Faculty Salary Enhancement	SUR	A
FSU	A	Faculty Substitute	SUR	A
FUF	A	Faculty-Funeral Day	SUR	A
FUH	A	Hrly-Funeral Day	SUR	A
FUM	A	MiddleCol-Funeral Day	SUR	A
FUN	A	Ex Hrly-Funeral Day	SUR	A
GRV	A	Grievance Pay	SUR	A
GVS	A	Grievance Pay (SURS)	SUR	A
HDH	A	Holiday - Double Time and Half	SUR	A
HDT	A	Holiday - Double Time	SUR	A
HLM	A	Middle Col Holiday	SUR	A
HOH	A	Hrly-Holiday	SUR	A
HOL	A	Ex Hrly-Holiday	SUR	A
HTH	A	Holiday - 1.5	SUR	A
JRF	A	Faculty-Jury Duty	SUR	A
JRH	A	Hrly-Jury Duty	SUR	A
JRM	A	Middle College Jury Duty	SUR	A
JRY	A	ExHrly-Jury Duty	SUR	A
K01	A	Special Assignment	SUR	A
K02	A	Special Assignment	SUR	A
K03	A	Special Assignment	SUR	A
K04	A	Special Assignment	SUR	A
K05	A	Special Assignment	SUR	A
K06	A	Special Assignment	SUR	A
K07	A	Special Assignment 1708 Merit	SUR	A
K10	A	Special Assignment	SUR	A
K11	A	Special Assignment	SUR	A
K12	A	Special Assignment	SUR	A
K13	A	Special Assignment	SUR	A
K14	A	Special Assignment	SUR	A
K15	A	Special Assignment	SUR	A
K16	A	Special Assignment	SUR	A
K17	A	Special Assignment	SUR	A
K18	A	Special Assignment	SUR	A
K19	A	Special Assignment	SUR	A
K20	A	Special Assignment	SUR	A
LGS	A	Settlements (SURS)	SUR	A
MEF	A	Middle Deferred Pay Out	SUR	A
MEI	A	Middle Def Earnings Paid In	SUR	A
MLM	A	Middle Col. Military Leave	SUR	A
NA1	A	NonAcadSubEdLv1	SUR	A
NA2	A	NonAcadSubEdLv2	SUR	A
NA3	A	NonAcadSubEdLv3	SUR	A
NA5	A	AFSCME SubTime Regular Rate	SUR	A
OE1	A	ExHr-Overtime Straight	SUR	A
OE2	A	ExHr-Overtime 1.5	SUR	A
OE3	A	ExHr-Overtime Double	SUR	A
OE4	A	ExHr-Overtime 2.5	SUR	A
OM1	A	Middle Col - Overtime Straight	SUR	A
OM2	A	Middle Col Overtime 1.5	SUR	A
OT1	A	Hrly-Overtime Straight	SUR	A

OT2	A	Hr-Overtime 1.5	SUR	A
OT3	A	Hrly-Overtime Double 2.0	SUR	A
OT4	A	Hr-Overtime 2.5	SUR	A
OT5	A	Hrly-OverTime 3.0	SUR	A
OTA	A	Hourly - Overtime Amount	SUR	A
OVR	A	Over Enrollment	SUR	A
PEH	A	Hrly-Personal	SUR	A
PER	A	Ex Hrly-Personal Day	SUR	A
PES	A	Ex Hrly-Personal (Sick)	SUR	A
PHS	A	Hrly-Personal (Sick)	SUR	A
PRA	A	Ex Hrly-Personal Adjust	SUR	A
PRP	A	Preparation Time	SUR	A
PSM	A	Middle College Personal (Sick)	SUR	A
REC	A	Recoupment	SUR	A
REG	A	Regular	SUR	A
RET	A	Retention Differential	SUR	A
RGE	A	Regular	SUR	A
RGM	A	Reg Earnings - Middle College	SUR	A
RNT	A	Regular Non-Teaching	SUR	A
ROT	A	Retro Overtime	SUR	A
RRA	A	Retro Regular AFSCME	SUR	A
RRF	A	Retro Earnings Faculty	SUR	A
RRG	A	Retro Regular	SUR	A
RRP	A	Retro Earnings Professionals	SUR	A
RSE	A	1600 Pro Salary Enhancement	SUR	A
RSL	A	Regular 2/3 Pay	SUR	A
RSP	A	Reg Salary Paid-Middle College	SUR	A
RT1	A	Retro pay 1	SUR	A
RT2	A	Retro pay 2	SUR	A
SAB	A	Fac-Sabbatical Leave 50%	SUR	A
SCK	A	Sick Hours	SUR	A
SKH	A	Sick Pay-Hours	SUR	A
SKM	A	Middle College Sick Pay	SUR	A
SP1	A	Special Assignment	SUR	A
SP2	A	Special Assignment	SUR	A
SP3	A	Special Assignment	SUR	A
SP4	A	Special Assignment	SUR	A
SP5	A	Special Assignment	SUR	A
SP6	A	Special Assignment	SUR	A
SSL	A	Special Sick Leave	SUR	A
ST2	A	Stipend	SUR	A
STP	A	Orientation	SUR	A
STW	A	Steward Pay	SUR	A
UNP	A	ExHrly-Unpaid Hours	SUR	A
VAC	A	Vacation-Hours	SUR	A
VAH	A	Vacation-Hours	SUR	A
VCM	A	Middle Col Vacation Hours	SUR	A
VHA	A	Vacation Payout	SUR	A
VHM	A	MiddleCol-Vacation Payout	SUR	A
X02	A	Shift Differential @ \$.20	SUR	A
X05	A	Extra Duty @ \$.50	SUR	A

X10

A

Extra Duty Pay @ \$1.00

SUR

A

TO: Chief Financial Officer, VP of Finance, Personnel Directors and Payroll Supervisors
FROM: Tara Myers, Chief Financial Officer
DATE: January 11, 2021
SUBJECT: Fiscal Year 2022 Employer Normal Cost Contribution from Federal/Grant/Trust Funds and Annual Compensation/Contribution Limits

The Board of Trustees of the State Universities Retirement System (SURS) has adopted 12.32% as the employer normal cost for the defined benefit (DB) plan beginning July 1, 2021. This is the employer contribution rate that is to be applied to all SURS covered earnings paid from federal, grant and trust funds and applied to pensionable earnings for each participating member that exceeds the Governor's salary for any pay period ending on or after that date through June 30, 2022. The employer normal cost consists of the following components:

<u>Benefit Type</u>	<u>Employer Normal Cost (DB)</u>
Retirement and Termination Benefits	8.12%
Automatic Annual Increase	3.46%
Death and Survivor Benefits*	(0.22%)
Disability Benefits	0.34%
Administrative Expenses	<u>0.62%</u>
Total Employer Normal Cost DB	12.32%

**Includes normal cost attributable to benefits assumed to be paid to survivors of retired members under the Traditional Plan and survivors of active members. The employee contribution toward death and survivor benefits is calculated as 1.0 percent of total payroll although Portable Plan members do not receive the automatic benefit paid to survivors of retired members.*

<u>Benefit Type</u>	<u>Employer Normal Cost</u>
Retirement Savings Plan (RSP)	7.60%

The annual IRS contribution limit for participants of the defined contribution plan (RSP) will increase to \$58,000 effective January 1, 2021. This limit is calculated on a calendar year basis and includes total employee and employer contributions.

The annual IRS 401(a)17 compensation limit for all SURS participants certified on or after July 1, 1996 will increase to \$290,000 effective for Fiscal Year 2022 (July 1, 2021 – June 30, 2022).

Traditional and Portable members hired on or after January 1, 2011, and who do not have any other eligible Illinois reciprocal system service are considered Tier 2 members and are subject to a compensation cap. The Tier 2 compensation cap increased to \$116,740.42 for Fiscal Year 2022 (July 1, 2021- June 30, 2022). Please refer to the Employer Procedure Manual for further information concerning contribution limits.

TIME & EFFORT CERTIFICATION

This form needs to be completed for any recipient of grant funds. The City Colleges of Chicago must comply with the Office of Management and Budget (OMB) Circular A-21 (Cost Principles for Education Institutions Section J.10).

Today's Date	
---------------------	--

Employee Name		Employee ID	
College		Department	

Quarters	<input type="checkbox"/> Q1	<input type="checkbox"/> Q2	<input type="checkbox"/> Q3	<input type="checkbox"/> Q4
-----------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------

Federally Sponsored Activities					% Time Spent			
PD#	Grant#	Name of Grant	Funder	Principal Investigator	Q1	Q2	Q3	Q4
Non-Federally Sponsored or Departmental Activities					% Time Spent			
PD#	Grant#	Name of Grant	Funder	Principal Investigator	Q1	Q2	Q3	Q4
Total Percentage must total 100%								



Office of Institutional Advancement
Foundation, Alumni, Grants & Contracts
180 North Wabash Avenue, Suite 200
Chicago, Illinois 60601
grant-management@ccc.edu

I certify that the distribution of my time stated above is a reasonably accurate reflection of effort expended for the period indicated.

Employee Signature		Date	
--------------------	--	------	--

Supervisor Name:		Title	
------------------	--	-------	--

Supervisor Signature		Date	
----------------------	--	------	--

This form is used to document the level of effort for individuals who are paid by a grant funded project or listed as an in kind/matching contribution to the project. Copies of this form must be retained by the College or District's business office and by the project director

Bid Recapitulation Form
Purchases from \$2,500.00 to \$25,000.00

Informal Procurement Procedures:

In accordance with City Colleges of Chicago’s Board Policy Section 2.2, purchases between \$2,500.00 and \$25,000.00 must be competitively bid. At least three price quotations must be obtained informally via telephone, fax and/or email and at least one of them must be from a Minority Business Enterprise (MBE) or Women Business Enterprise (WBE) that is currently certified by an agency approved by CCC.

To expedite review & approval of your informal purchase please attach the following:

- A copy of the scope provided to the vendors to ensure all vendors received the same information.
- Copies of the price quotations/proposals on a bid form or on the Vendors’ letterhead.
- Current MBE or WBE certification letters or directory listing.
- Supporting documentation and justification for the following instances:
 - o Documentation that demonstrates an MBE or WBE vendor could not provide a quote or proposal in response to the scope; User must request a waiver of the provision.
 - o The selected vendor does not have the lowest price. User must provide detailed information as to why the lowest bidder does not meet the provided scope.
 - o The goods or services are only available from a sole source. A sole source means that the goods and services are only available from a single provider in the marketplace. The User/Requester must provide justification from the current Fiscal Year that includes market place research results or other due diligence supporting the good or services are only available from one source. A letter from the vendor is insufficient unless it’s from the manufacturer or exclusive distributor.
 - o Search results using relevant key words for the goods or services sought that did not yield a certified MBE or WBE in the commodity area; User must request a waiver of the provision.

*Once the required internal signatures are obtained please send the summary and any supporting documentation to: mwbecompliance@ccc.edu Please make sure **BID RECAP** is in the subject line.*

Brief description of goods/services:	Vendor Name	Price Quote	Selected Vendor	MBE or WBE Vendor*
Requisition #: _____	1.			
	2.			
	3.			
	4.			
	5.			

Department/College: Person obtaining quotes—please include phone number _____ Date _____

Department Head, College/District Office _____ Date _____

Executive Director or Business Manager, College/District Office _____ Date _____

Manager, Contract Administration & Compliance _____ Date _____

Informal Procurement FAQs

Please review thoroughly to ensure that your College or Department receives its goods and services in a timely manner and that the price quotations have been properly evaluated and documented.

Q. How do I find certified Minority-owned Business Enterprises and Women-owned Business Enterprises?

A. [Chicago Certified Firms Directory](#) or [Illinois.gov Vendor Search](#)

Q. Can I add the bid recap to my electronic requisition in the financial management system before the purchase has been approved?

A. No; it must be approved by Purchasing and Contract Administration first.

Q. Are bid recaps required for purchases under \$2,500.00?

A. A bid recap for goods or services is only required for purchases less than \$2,500.00, if the grand total of purchases with the vendor, District-wide, in the fiscal year, is *over* \$2,500.00, yet the requested purchase is for less than \$2,500.00.

Q. Do I need a bid recap for purchases made from a vendor that is part of an approved consortium?

A. No, but a copy of the Board Report approving the specific vendor as a consortium vendor and/or a copy of the approved consortium's contract with the vendor must be referenced in the electronic requisition submission.

Q. Can I only ask one of the vendors for certain items because I know the others probably won't have them?

A. No; a detailed scope of what you need must be distributed to all vendors that you are requesting quotes from. If the selected vendor cannot provide certain line items that information must be included in the cover email from the User.

Q. Can I provide my handwritten notes on a printed web page as a quote?

A. The bid quotation describing the pricing for the requested goods and services must be submitted on a bid form or on the vendor's letterhead even if the initial contact was by telephone or email. Additionally, any notes or comments regarding a quote must be included in a User cover or justification memo.

Q. What information do I need to maintain in my files to support the purchase other than the vendors' quotes?

A. The following will help organize your informal purchase files that may be audited internally or externally:

- Identify the date of the price quotation and the length of time it will be honored.
- Create a log of the bids received including evaluation notes.
- Maintain any communication with questions about the specifications or price quotation.
- Note details regarding warranties, return policies and delivery terms that may impact the purchase (pre and post award)
- Review invoices for accuracy and conformity with price quotation and other terms.
- Document any concerns about the vendor's performance (did they deliver on time, did prices change, were there over charges, etc.)

For questions regarding compliance with informal procurement procedures please contact: mwbecompliance@ccc.edu.



Contract Management Staff User Guide City Colleges of Chicago

Last Updated: August 16, 2021

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Overview

This document describes how to create¹ and process contract requests. The general flow (once the contract has been submitted) from the legal department perspective is:

1. The contract changes to the [Pending Approval state](#) where notifications are sent to the corresponding contract approvers depending on the place of employment of the requester (college or district office).
2. Once the approval process is completed, the contract changes to the [Approved state](#) where a notification is sent to a legal administrator indicating that the contract is ready to be assigned to an attorney.
3. When the legal administrator assigns a contract to an attorney, the contract changes to the [Pending Attorney Review state](#). A notification is sent to the contract requester and the assigned attorney indicating that the contract has been assigned.
4. The assigned attorney reviews the contract record, prepares the agreement, and submits the contract for general counsel signature. The contract changes to the [Pending General Counsel Signature state](#) and a notification is sent to the general counsel that the contract is ready for signature.
5. Once the general counsel has completed the signature process, the contract changes to the [Preparing Leader Signature](#) state where a notification is sent to the legal administrator indicating that the contract is ready for leader signatures.
6. When the legal administrator prepares the agreement for leader signatures, the contract changes to the [Pending Leader Signature state](#). Notifications via DocuSign are sent to the signers.
7. Once the leader signers (College President or the Cabinet Member) have completed the signature process, the contract changes to the [Pending External Signature state](#). A notification is sent to the legal administrator and requester that the contract is ready for external signatures. A copy of the partially executed agreement is attached to the notification.
8. When the contract requester uploads the fully executed agreement in the system, the contract changes to the [Pending Legal Confirmation state](#). A notification is sent to the legal administrator that the contract is pending confirmation.
9. Once the legal administrator reviews the fully executed agreement, he/she will mark the contract as Signed. The contract changes to the Signed state.

¹ For the purpose of this user guide, the create steps are from the staff user's perspective. This is usually done by the end user.

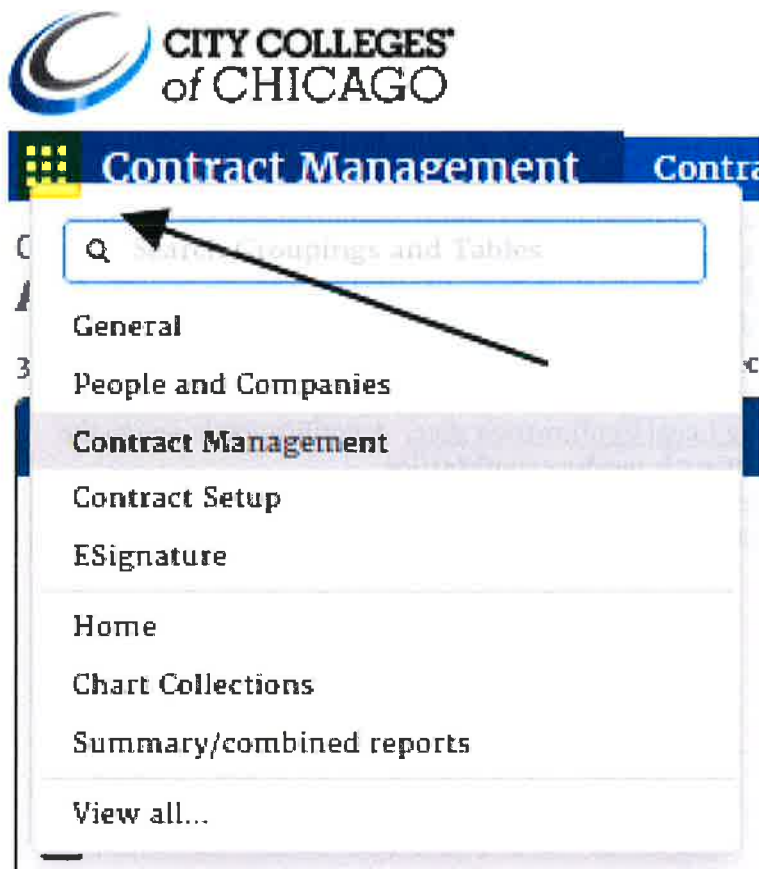
Create a contract

The screenshot shows a web browser window displaying the 'Contract Management' interface. The page title is 'All Contracts'. Below the title is a table with columns: 'Add', 'Contract Type', 'Contract Title', 'Company Name', 'Name', 'Legal Administrator', 'Contract Amount', 'Contract End Date', and 'Level Attachments'. The table contains several rows of contract data.

Add	Contract Type	Contract Title	Company Name	Name	Legal Administrator	Contract Amount	Contract End Date	Level Attachments
137	Contract	Exp		Pending General Counsel Signature	Maria Lewis	\$50,000	May 23 2022	Testing Instructions - Exp Clauses.docx
138	Contract	Gateway Foundation		Pending Attorney Review	Maria Lewis	\$100,000		Gateway Foundation.pdf
139	Contract	Test for support		Pending Attorney Review	Maria Lewis	\$50,000	May 23 2022	Mail to Use (1) May 23 2022.docx
174	Contract	Delta Dental of Illinois Foundation		Pending Attorney Review	Maria Lewis	\$100,000		Delta Dental (1).pdf
175	Contract	Shimadzu		Pending Approval	Maria Lewis	\$7,500		Shimadzu Mail Bag.pdf
177	Contract	Test For Testing Demo - This is a test contract from Applix - Please disregard		Pending Approval	Maria Lewis	\$100		Testing Instructions - Test Clauses.docx
181	Contract	The BKS Group, LLC		Rejected	Maria Lewis	\$1,000		Consultation Order T20.pdf

Go to the Contracts table and click on New.

*Note – If you do not see the Contracts table, please navigate to the Contract Management menu group by clicking on the navigation icon on the far left of the toolbar.



Record Layout

All records in the system have a similar layout structure: tabs at the top allow you to switch between different sections within the same record, the top half of the record consists of a common area containing important information that stays even when you switch between tabs, and the bottom half consists of the fields specific to that tab.

CITY COLLEGES of CHICAGO Contract Management

Status: Contract #532 successfully created

Common Area

Contract: Test Contract For Userguide Screenshots

Click on the above tabs to navigate through the contract record and fill out all relevant information.

Progress Bar: Draft, Pending Approval, Approved, Pending Approval, Contract Number, Pending Approval, Pending Approval, Pending Approval, Pending Approval, Pending Approval, Signed, Active

ID: 532
 *Record Type: Contract
 *Legal Administrator: Marcia Lewis
 *Contract Type: Honorarium
 Status: Draft

Buttons: Mark as Pending Signature, Mark as Signed, Cancel Contract

Tabs: Details, Approvals, Signature, Emails, Renewal / Related Contracts, History

Form Fields

Requester Information
 Requester Name: Katie Lane
 Requester Email: klane@elitebco.com
 Requester Phone: [Redacted]
 Requester Manager: [Redacted]




Original Contract Information
 Original Contract Title: [Redacted]
 Original Contract Start Date: [Redacted]
 Original Contract End Date: [Redacted]
 Original Contract Company: [Redacted]
 Original Contract Board Report Number: [Redacted]

Contract Information
 Renewal Type: Notify staff to renew
 *Days in Advance to Notify for Renewal/Termination: 90
 *Contract Title: Test Contract For Userguide Screenshots
 *Contract Description: [Redacted]

Requested Contract Start Date: [Redacted]
 Requested Contract End Date: [Redacted]
 Contract Start Date: [Redacted]
 Contract End Date: [Redacted]
 *Contract Amount: \$ 500,000

Details tab

Filling out the form

- Look up icon : For certain fields, you can click on the magnifying glass to bring up a list from the system to select existing choices from. Click on the arrow icon  to choose the record to populate the field with. Or, if you do not see the arrow icon, select the rows using the checkboxes and click on Import/Replace, or Import/Append if you would like to add selected items to the list.
- Fields prefixed with * are required fields that need to have information entered before you can save or submit the form.
- Date Fields : Date fields need to be entered in a specific format. Click the calendar icon to select a date from the calendar pop-up, then click Apply to confirm.
- The visibility or required attribute of some fields will change depending on the contract type you select.

Record Type

This field defines the parent/child relationship between contracts. If amendment is selected, the Original Contract Information section becomes required. Selecting a parent contract will create a relationship between this record and the parent record. Once the parent contract ID is selected, it is displayed as a hyperlink you can click on directly to access the parent contract. Note that the parent contract will not be able to be selected until the contract reaches an attorney.

Legal Administrator

The internal contract owner of the contract will be a legal administrator who receives important notifications and acts as a gatekeeper of the contract throughout its lifecycle.

Contract Type

Some fields might appear/disappear depending on the contract type selected. Also, any contract validation might depend on the selection of this field.

Requester Information

The creator of the contract record's information is automatically populated in these fields. Typically, contracts will be submitted by portal users.

Depending on the requester's company, a College field or a District Office field becomes visible. If the requester is in the Legal Department, they will have the option to select if the contract originated with their department, or with a college, or district office.

Some requesters who have multiple managers and the proper permissions in Agiloft, can update the manager the contract will be submitted to by following the steps in the

screenshot below. The name next to “Requester Manager” is the name of the person who will receive the contract request when it is submitted for review.

~Requester Information

Requester Name	District Office Requester	Requester Phone	312-940-5099
Requester Email	cccagilofttest+requester@gmail.com	3 Requester Manager	Paula Ling
*District Office	District Office ▾	*Cabinet Member	Cabinet Member 2 ▾
For Department	Human Resources		
New Manager	Sheryl Cartledge ▾ 1	2 Update Manager	

For Department

Choose the applicable department the contract is for. This field has the requester’s department as default.

Renewal Type

- **Notify Staff to Renew**
 - o A notification is triggered with the specified number of days (**Days in Advance to Notify for Renewal/Termination**) before the **Contract End Date**, requesting all of those involve in the approval process to follow up and review whether the contract should be renewed.

Adding attachments in the Attachments section

Once the Details tab has all the contract information added, the contract requester (portal user) should navigate to the Attachments tab, under the File Upload section. Select the attachment type, drag and drop the document in the File(s) to upload field and click on Add File.

~Attachments

Attachment Type to Upload ▾ 1

File(s) to Upload

Attach/Manage 2
Drag&Drop files

Add File 3

Submit a Contract

Validations based on contract amount

Once the Details tab of the contract record has been filled out and all attachments have been added, the portal user should click on the Submit for Review action button to submit the contract.

Submit for Review

A validation is then triggered based on the contract amount:

1. **Contract amount less than \$2,500**
A message will appear prompting the user to upload a Commitment Budget Control screenshot in the attachments section
2. **Contract amount between \$2,500 and \$25,000**
 - a. A message will appear prompting the user to upload a Bid Recap document in the attachments section.
3. **Contract more than or equal than \$25,000**
 - a. A message will appear prompting the user to upload a Board Report in the attachments section.

If the validation action confirms the contract has been submitted with the correct documentation, the contract changes to the Pending Approval state and the approval process will begin.

Pending Approval State

In this state, the Approval Status field becomes visible, indicating the approval step. This state or status has two substates, one with a dependency. This section will detail each of the approval substates.

Task 1: [Pending Manager Approval](#)

Task 2a: [Pending President Approval \(for college portal users\)](#)

Task 2b: [Pending Cabinet Member Approval \(for district office portal users\)](#)

Pending Manager Approval

1. The requester's (portal user's) manager receives a notification that a contract has been sent for approval.

Manager Approval - Contract #344 ID:[s9zohz/2230/344] Inbox x



Sample Email

The contract shown below has been sent for approval by Alyssa Girald.

Click [here](#) to review the contract.

Contract Title: Demo contract for staff user manual
Contract Description: Demo contract for staff user manual
Contract Start Date: Apr 26 2021
Contract End Date: Apr 18 2022
Contract Amount: \$2,000
Company Name: Google

2. In this substate, the contract requester's (portal user's) manager reviews the contract request and can either approve, reject, or return for resubmission by clicking on the action buttons. If they return the request for resubmission, they should leave a note in the approval notes field first and it will be included in the email.

Click on the above tabs to navigate through the contract record and i



ID 487
[*Record Type](#) Contract ▾
[*Legal Administrator](#) Marcia Lewis ▾
[*Contract Type](#) Clinical Affiliation ▾

Approve
Reject
Return for Resubmission

3. If the manager approves the request, the contract moves to the next approval step and a notification is sent to the corresponding approver.
4. If the manager returns the record for resubmission, a notification is sent to the contract requester (portal user). The manager can add notes under the Approvals Information

section on the Approvals tab. These notes are sent in email notifications to contract requesters (portal users) when the record is returned for resubmission.

*Record Type Contract
 *Legal Administrator Marcia Lewis
 *Contract Type Articulation

Status Pending Approval
 Approval Status Pending Manager Approval

Confidential Yes No
 Select Yes if contract is originated by the Legal Team
 Legal Team Member Yes No

Cancel Contract
 Approve
 Reject
 Return for Resubmission

Details Approvals Signature Emails Renewal / Related Contracts History

collapse All
 ~ Approvals Information

Manager Approval Date
 Cabinet Member Approval Date
 Approval Notes

5. If the manager rejects the request, a notification is sent to the contract requester (portal user). The contract changes to the Rejected state. The contract requester (portal user) must submit a new contract request.

Pending President Approval (for college portal users)

1. The college president receives a notification that a contract has been sent for approval.

President Approval - Contract #344 ID:[s9zohz/2232/344] [Inbox >](#)



Sample Email

The contract shown below has been sent for approval by Alyssa Girald.

Click [here](#) to review the contract.

Contract Title: Demo contract for staff user manual
Contract Description: Demo contract for staff user manual
Contract Start Date: Apr 26 2021
Contract End Date: Apr 18 2022
Contract Amount: \$2,000
Company Name: Google

- In this substate, the college president reviews the contract request and can either approve, reject, or return for resubmission by clicking on the action buttons. If they return the request for resubmission, they should leave a note in the approval notes field first and it will be included in the email.

Click on the above tabs to navigate through the contract record and fill out all relevant information.

ID 487
 *Record Type Contract
 *Legal Administrator Marcia Lewis
 *Contract Type Clinical Affiliation

Status Pending Approval
 Approval Status Pending President Approval

Approve
 Reject
 Return for Resubmission

- If the college president approves the request, the contract changes to the Approved state or status.
- If the president returns the record for resubmission, a notification is sent to the contract requester (portal user). The president can add notes under the Approvals Information section on the Approvals tab. These notes are sent in email notifications to contract requesters (portal users) when the record is returned for resubmission.

Click on the above tabs to navigate through the contract record and fill out all relevant information.

ID 487
 *Record Type Contract
 *Legal Administrator Marcia Lewis
 *Contract Type Clinical Affiliation

Status Pending Approval
 Approval Status Pending President Approval

Approve
 Reject
 Return for Resubmission

Details Approvals Signature Emails Renewal / Related Contracts History

Collapse All

Approvals Information

Manager Approval Date May 19 2021 President Approval Date

Approval Notes [David Sanders Aug 16 2021 15:43:27]
 College Presidents Notes Here

- If the college president rejects the request, a notification is sent to the contract requester (portal user). The contract changes to the Rejected state. The contract requester (portal user) must submit a new contract request.

Pending Cabinet Member Approval (for district office portal users)

1. The cabinet member receives a notification that a contract has been sent for approval.

Cabinet Member Approval - Contract #345 ID:[s9zohz/2237/345] Inbo:



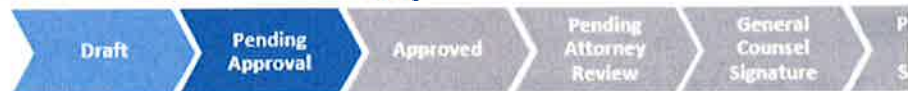
The contract shown below has been sent for approval by Alyssa Girald.

Click [here](#) to review the contract.

Internal Contract Owner: Alyssa Girald
Renewal Type: Notify staff to renew
Contract Title: Demo contract for staff user manual - DO
Contract Description: Demo contract for staff user manual - DO
Contract Start Date: Apr 26 2021
Contract End Date: Apr 25 2022
Company Name: Google

2. In this substate, the cabinet member reviews the contract request and can either approve, reject, or return for resubmission by clicking on the action buttons. If they return the request for resubmission, they should leave a note in the approval notes field first and it will be included in the email.

Click on the above tabs to navigate through the contract record and i



ID 487
*Record Type Contract ▾
*Legal Administrator Marcia Lewis ▾
*Contract Type Clinical Affiliation ▾



- If the cabinet member approves the request, the contract changes to the Approve state
- If the cabinet member returns the record for resubmission, a notification is sent to the contract requester (portal user). The cabinet member can add notes under the Approvals Information section on the Approvals tab. These notes are sent in email notifications to contract requesters (portal users) when the record is returned for resubmission.

Click on the above tabs to navigate through the contract record and fill out all relevant information.

The screenshot displays a contract record interface. At the top, a progress bar shows stages: Draft, Pending Approval (highlighted), Approval, Pending Advisory Review, District Council Signature, Preparing Leader Signature, Pending Leader Signature, Pending Advisory Signature, Pending Filing, Signed, and Active. Below the progress bar, contract details are listed: ID 2157, Record Type Contract, Legal Administrator Marcia Lewis, and Contract Type Articulation. There are also fields for Confidential status and buttons for Cancel Contract, Approve, Reject, and Return for Resubmission. A navigation bar includes tabs for Details, Approvals (highlighted), Signature, Emails, Renewal / Related Contracts, and History. The Approvals Information section shows Manager Approval Date (Aug 16 2021) and Cabinet Member Approval Date. An Approval Notes section contains a note from [Katie Lane Aug 16 2021 16:23] with a placeholder for Manager Notes Here, which is highlighted in yellow.

- If the cabinet member rejects the request, a notification is sent to the portal user. The contract changes to the Rejected state. The contract requester (portal user) must submit a new contract request.

Approve State

1. The legal administrator receives a notification that the contract is ready for attorney assignment

Contract #344 is ready for Attorney Assignment



Sample Email

If there are problems with how this message is displayed, click here to view it in a web browser.

The contract Demo contract for staff user manual has been approved and is ready for attorney assignment.

Click [here](#) to review.

ID: 344
Status: Approved
Renewal Type: Notify staff to renew
Contract Title: Demo contract for staff user manual
Contract Description: Demo contract for staff user manual
Contract Start Date: Apr 26 2021
Contract End Date: Apr 18 2022
Company Name: Google

2. In this state, the legal administrator reviews the contract and marks whether this is a Rush Contract on the common area

The screenshot shows a contract management interface. At the top, there are 'Save' and 'Cancel' buttons. The contract title is 'Contract: Test For Testing Demo - This is a test contract from Agiloft. Please disregard.' Below this is a navigation bar with tabs for 'Details', 'Approvals', 'Signature', 'Emails', 'Renewal / Related Contracts', and 'History'. The 'Approvals' tab is selected. Under 'Approvals Information', there are fields for 'Manager Approval Date' (May 21 2021) and 'Cabinet Member Approval Date' (May 24 2021). Below this is the 'Approval Notes' section, which is expanded to show 'Attorney and General Counsel Review Information'. This section includes 'Assigned Attorney' (Chandra Toussaint) and 'Attorney's Notes' (Douglas Feher). On the right side of the interface, there is a 'Status' dropdown menu set to 'Approved' and a 'Rush Contract' checkbox set to 'No'.

3. Next, select the attorney on the Approvals tab, under the Attorney and General Counsel Review Information section, and click on the Submit for Attorney Review button.
4. The contract changes to the Pending Attorney Review state and a notification is sent to the contract requester (portal user) and the assigned attorney.

Pending Attorney Review state

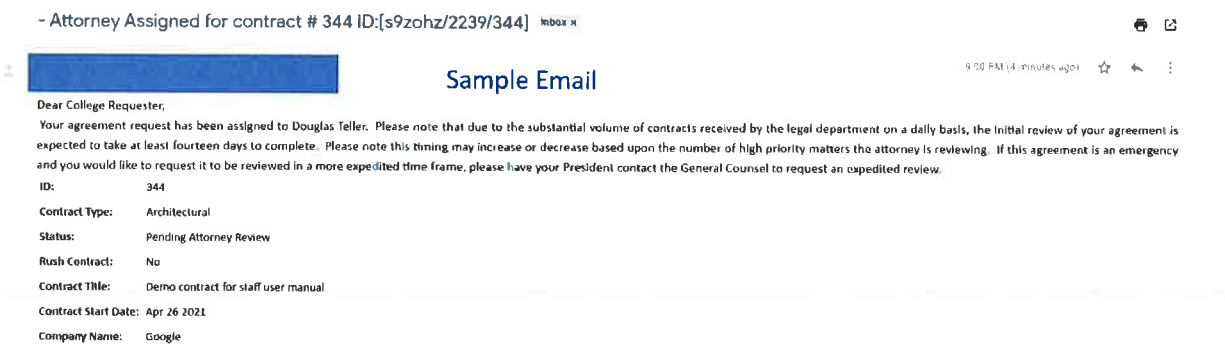
In this state, the Review Status field becomes visible, indicating the attorney's review status

Task 1: [Pending Attorney Review substate](#)

Task 2: [Returned for Resubmission substate](#)

Pending Attorney Review substate

1. The attorney receives a notification that he/she has been assigned to a contract



2. In this state, the attorney reviews the contract to fill out any additional information, such as the contract start and end date, parent contract id (if applicable), etc. Once all the necessary details are filled in, the attorney prepares the agreement, and sends the contract for general counsel signature.
3. To prepare the agreement, the attorney can generate a contract template from the contract form library, upload an agreement from his computer or edit the agreement uploaded by the contract requester.
4. To generate a contract template from the library, go to the Attachments tab, under the Contract Forms section, select the contract form by clicking the magnifying glass icon and click on the Create and Attach button.

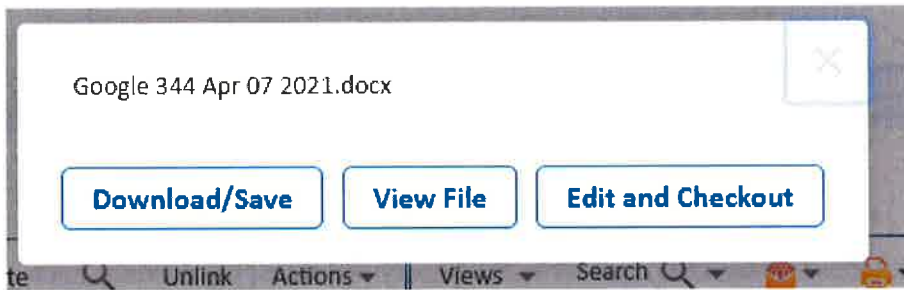


- Once generated, the agreement will appear in the Contract Attachments table as a Generated Agreement from Template. The attorney can edit the agreement by clicking on the document, clicking on the Edit and Checkout button and that will open the document in the Microsoft Word application. When the attorney finishes editing the document, he/she can save it and a new version is generated in the system.

▼ All Contract Attachments

Status: 2 record(s) found, 1 page(s). [Click here](#) to count records again.

Edit	ID	Attachment Type	Attached File	Include in Approval Packet	To Be eSigned	Status
	266	Generated Agreement from Template	Google 344 Apr 07 2021.docx	No	Yes	Active
	264	Commitment Control Budget	Test Document.docx	Yes	No	Active



File(s) to Upload

Attach/Manage

Drag&Drop files

Add File

▼ All Contract Attachments

Status: 2 record(s) found, 1 page(s). [Click here](#) to count records again.

New Mass Edit Save Changes Cancel Changes

Close

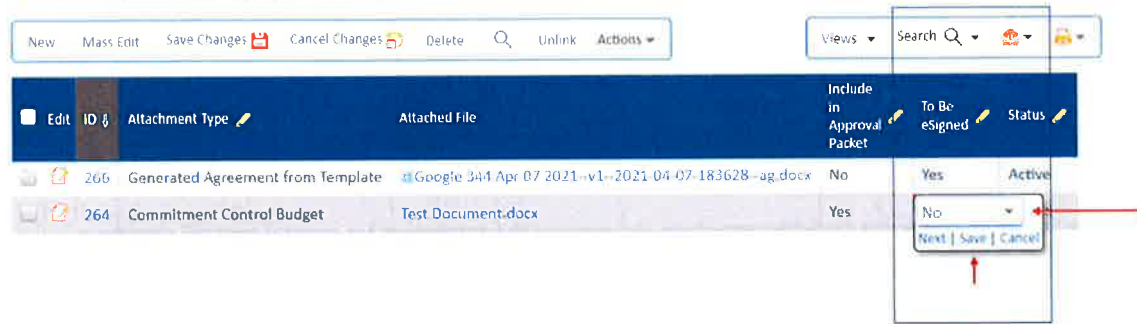
Edit	ID	Attachment Type	Attached File	Include in Approval Packet	To Be eSigned	Status
	266	Generated Agreement from Template	Google 344 Apr 07 2021--v1--2021-04-07-183628--ag.docx	No	Yes	Active
	264	Commitment Control Budget	Test Document.docx	Yes	No	Active

- If the attorney uploads an agreement from his computer, he can add the agreement as an **Agreement Provided by Attorney** attachment. Refer to the [adding attachments section](#) and he can edit the agreement as shown in step 5

- The system updates the files that need to be included in the DocuSign envelope in the Files to Sign field. In case the field has additional documents that do not need to be included in the DocuSign envelope, you can go to the Contract Attachments table in the Attachments tab, you can set the value to “No” manually for each document that is not needed to be included in the envelope by clicking on the value, changing the value from the dropdown, and clicking on Save. Then return to the Signature tab and click on the Refresh Files button next to the Files to Sign field to update the documents.

▼ All Contract Attachments

Status: 2 record(s) found, 1 page(s). [Click here to count records again.](#)



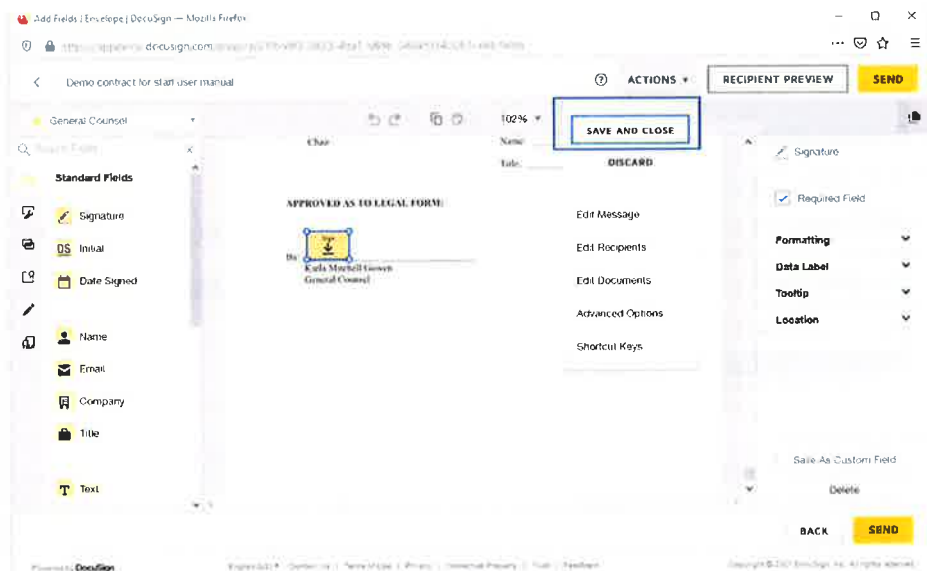
▼ ESignature Files

Files to Sign Google 344 Apr 07 2021--v1--2021-04-07-183628--ag.docx

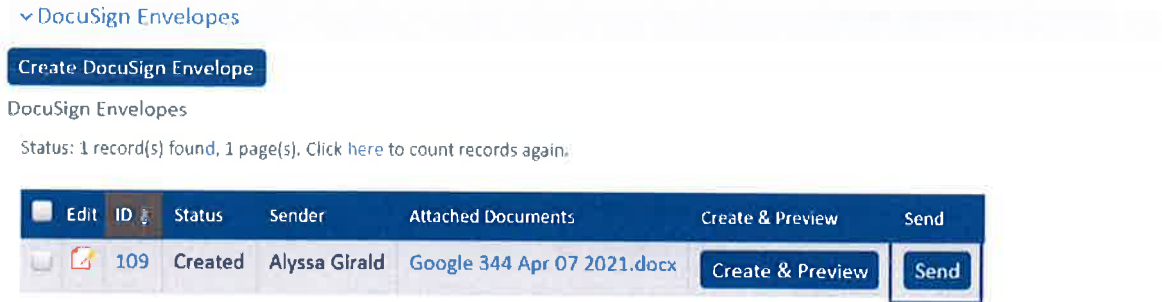


▼ Signers

- Click on the Create and Preview button in the DocuSign envelope record. That will open a DocuSign application window where you can add the corresponding signatures, go to the Actions dropdown, and click on Save and Close.

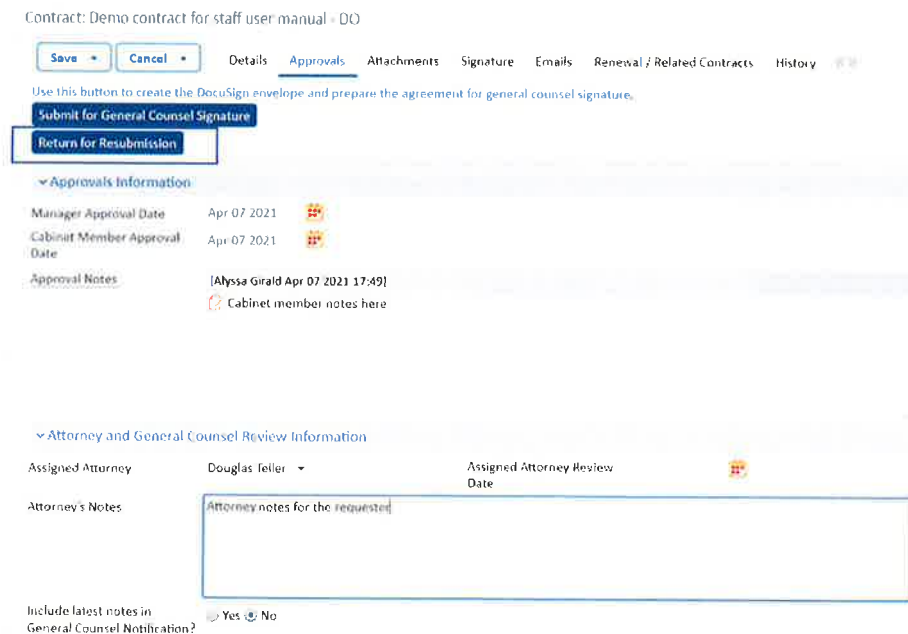


- Once you have added the tags, the envelope is ready to be sent! Click on the Send button on the DocuSign envelope record and save the contract record. The contract status changes to Pending General Counsel Signature state. Notifications are sent to the general counsel from both Agiloft and DocuSign.



Returned for Resubmission substate

- The attorney can return the contract to the requester when applicable. He/she can add notes in the Attorney's Notes field as indicated in step 8 of the [Pending Attorney Review substate](#) section and click on the Return for resubmission button



- A notification is sent to the contract requester (portal user) to take action and the Review status field in the Pending Attorney Review state changes to Returned for Resubmission

Contract #345 has been returned for resubmission by Attorney ID:[s9zohz/2255/345]



Sample Email

The contract shown below has been returned for re-submission by Douglas Teller.
Click [here](#) to review the contract.

Internal Contract Owner: Alyssa Girald
Renewal Type: Notify staff to renew
Contract Title: Demo contract for staff user manual - DO
Contract Description: Demo contract for staff user manual - DO
Contract Start Date: Apr 26 2021
Contract End Date: Apr 25 2022
Company Name: Google
Latest Attorney's Notes: Attorney notes for the requester

Pending General Counsel Signature state

1. In this state, the general counsel receives a notification from the system indicating that the contract has been sent for general counsel signature as well as a notification from DocuSign with the agreement to be signed.

- General Counsel Review - Contract #344 ID:[s9zohz/2252/344] Inbox x



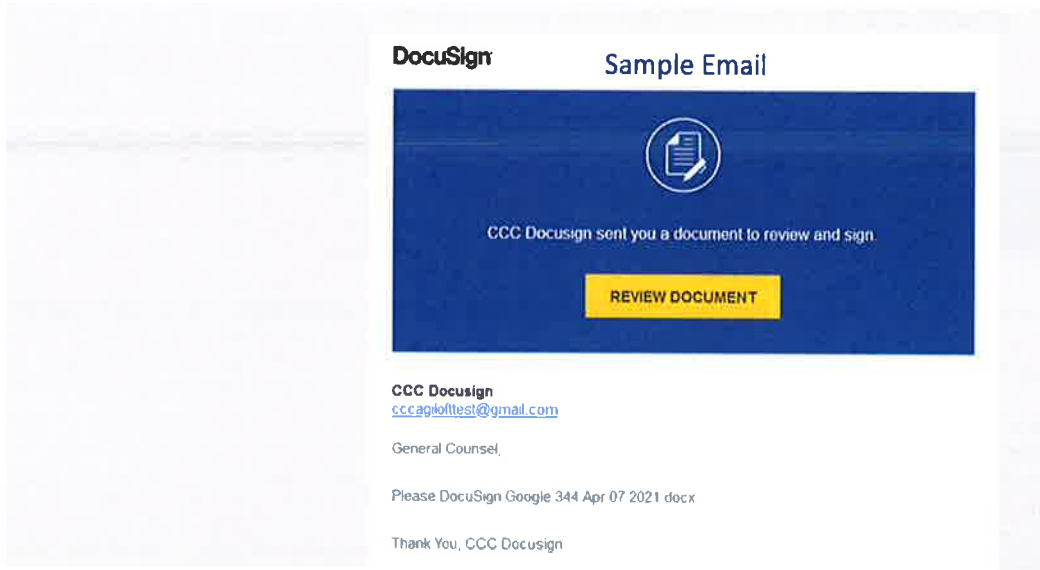
Sample Email

The contract shown below has been sent for General Counsel Signature via DocuSign.
Click [here](#) to review the contract.

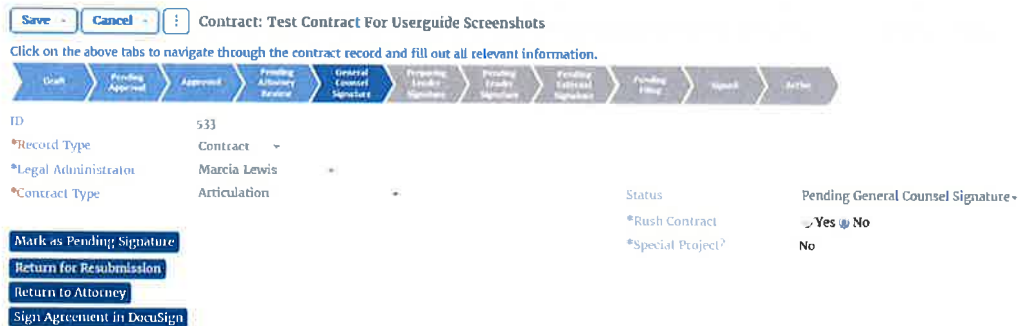
Assigned Attorney: Douglas Teller
Contract Amount: \$2,000
Requester Company: Harold Washington College
Contract Party: Google
Requester: College Requester
Requester Manager: Robert Barash
College President: College President

Demo contract for staff user manual Inbox x

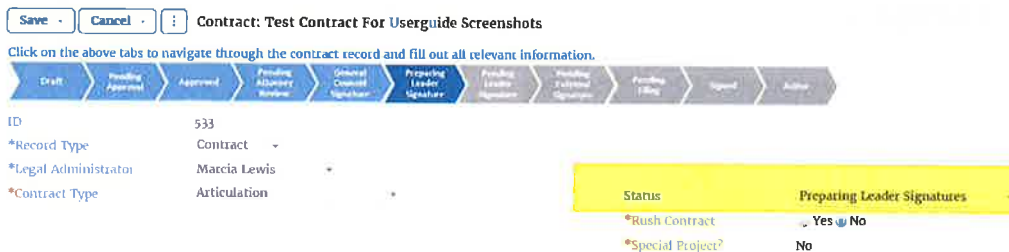
CCC DocuSign via DocuSign · dse_demo@docuSign.net
to General



2. The general counsel can sign the contract by opening the DocuSign envelope received via email, or by opening the contract in Agiloft and clicking the “Sign Agreement in DocuSign” button.



3. When the general counsel completes the signature process, the partially executed agreement is updated in the system and the contract changes to the Preparing Leader Signatures state. A notification is sent to the legal administrator.



Preparing Leader Signatures state

1. A notification is sent to the legal administrator that the contract has been executed by the general counsel

Contract #344 is ready for signature ID:[s9zohz/2256/344]



Sample Email

If there are problems with how this message is displayed, click here to view it in a web browser.

The contract Demo contract for staff user manual has been executed by General Counsel and is ready for signature.

Click [here](#) to review the contract.

Internal Contract Owner: Alyssa Girald

Renewal Type: Notify staff to renew
Contract Title: Demo contract for staff user manual
Contract Description: Demo contract for staff user manual
Contract Start Date: Apr 26 2021
Contract End Date: Apr 18 2022
Company Name: Google

2. The legal administrator opens the contract record for edit and goes to the Signature tab. He/she can review the files to be signed, select up to two internal signers and create the DocuSign envelope by clicking the Create DocuSign Envelope button.

Contract: Test Contract For Userguide Screenshots

Click on the above tabs to navigate through the contract record and fill out all relevant information.

ID: 533
*Record Type: Contract
*Legal Administrator: Marcia Lewis
*Contract Type: Articulation

Status: Preparing Leader Signatures
*Wish Contract: Yes/No
*Special Project: Yes/No

Details Approvals **Signature** Emails Renewal / Related Contracts History

ESignature Files
Files to Sign: Testing Instructions phase 2.docx Refresh Files

Signers
1st Internal Signer: [Search]
1st Internal Signer Title: [Search]
2nd Internal Signer: [Search]
2nd Internal Signer Title: [Search]

DocuSign Envelopes
Create DocuSign Envelope

ID	Status	Sender	Attached Documents	Create & Preview	Send
289	Sent	Katie Lane	Testing Instructions phase 2.docx		

DocuSign Recipients
Status: No records

- The steps from this point forward are similar to steps 10 – 13 in the [Pending Attorney Review substate](#) section
- When the envelope has been sent, the contract changes to the Pending Leader Signatures state. Notifications are sent via DocuSign to the leader signers.

Close [⋮] Contract: Test Contract For Userguide Screenshots

Click on the above tabs to navigate through the contract record and fill out all relevant information.

ID 533
 *Record Type Contract
 *Legal Administrator Marcia Lewis
 *Contract Type Articulation

Status Pending Leader Signature
 *Rush Contract No
 *Special Project? No

Pending Leader Signature state

- Similar to the [Pending General Counsel Signature](#) state, the leader signers receive the agreement to be signed via DocuSign. When they complete the signature process the agreement is updated in the system and the contract changes to Pending External Signature state. A notification is sent to the legal administrator and contract requester (portal user)

Edit **Close** [⋮] Contract: Test Contract For Userguide Screenshots

Click on the above tabs to navigate through the contract record and fill out all relevant information.

ID 533
 *Record Type Contract
 *Legal Administrator Marcia Lewis
 *Contract Type Articulation

Status Pending External Signature
 *Rush Contract No
 *Special Project? No

Submit for Legal Confirmation

▼ All Contract Attachments

Status: 2 record(s) found, 1 page(s). [Click here](#) to count records again..

Views Search [🔍] [🔖]

ID	Attachment Type	Attached File	To Be eSigned	Status
481	Partially Executed Agreement	Testing Instructions phase 2.pdf	No	Active
476	Board Report	Testing Instructions phase 2.docx	Yes	Active

Pending External Signature state

1. A notification is sent to the legal administrator and the contract requester indicating the contract is ready for external party signature and includes the most recent copy of the partially executed agreement attached.

The internal signatures for contract Amendment to Contract for RFP Awarded Vendor are completed. You must review the contract by clicking the below link.

If the external non-CCC signatures are included on the contract, please click the action button "Submit for Legal Confirmation" after clicking the below link.

If the external non-CCC signatures are not included on the contract, you must obtain the external non-CCC signatures. After obtaining the external non-CCC signatures, please (i) **reply to this email and attach a copy of the agreement with the external non-CCC signatures** or (ii) **click the below link, upload the agreement with the external non-CCC signatures** and then select "Submit for Legal Confirmation."

Please click [Review Contract](#) to review the contract.

2. The contract requester should then download the agreement and send it to the external party for signature. The signature process for external signers is managed outside Agiloft.
3. When the signatures are complete, the contract requester (portal user) will upload the fully executed agreement via the contract requester portal.

To add the attachment, login, and click on "View My Contracts"




Welcome to the Legal Department's Contract Portal

You are on the Legal Department's Contract Portal Homepage. From here you can create new contract requests, View or edit existing contract requests, and depending on your permissions and your company's setup, you may be able to view or update your user account information using My Profile.

 [Contracts](#)

 [Create a Contract Request](#)

 [View My Contracts](#)

 [Portal User Training](#)

Open the contract record you wish to add the fully executed agreement to. Navigate to the Attachments tab, and then attach the file you wish to upload in the File Upload section. Select the attachment type "Fully Executed Agreement" and click the add file Action button.

File Upload

Attachment Type to Upload Fully Executed Agreement

File(s) to Upload Attach/Manage

1. Agiloft Integration Requirements.docx

Add File

- After clicking the Add File action button, confirm the file has been added by scrolling down to the All Contracts Attachments section. The file should show in the table.

Attachments

Attachment Type to Upload

File(s) to Upload Attach/Manage

Drag&Drop files

Add File

Status: 3 record(s) found, 1 page(s). Click [here](#) to count records again..

<input type="checkbox"/>	Edit	ID	Attachment Type	Attached File	To Be eSigned	Status
<input type="checkbox"/>		482	Fully Executed Agreement	Contract Management User Guide for CCC – Staff Users V1.6.docx		Active
<input type="checkbox"/>		481	Partially Executed Agreement	Testing Instructions phase 2.pdf		Active
<input type="checkbox"/>		476	Board Report	Testing Instructions phase 2.docx		Active

Contract Submission

Submit for Legal Confirmation

- At this time the contract should be ready for the final step by legal. The requester should use the action button in the common area to submit the contract for pending legal confirmation. A notification is sent to the legal administrator indicating that the contract is ready for confirmation

Pending Legal Confirmation state

1. A notification is sent to the legal administrator indicating that the contract is ready for confirmation

Contract #344 - External Signatures completed ID:[s9zohz/2258/344]

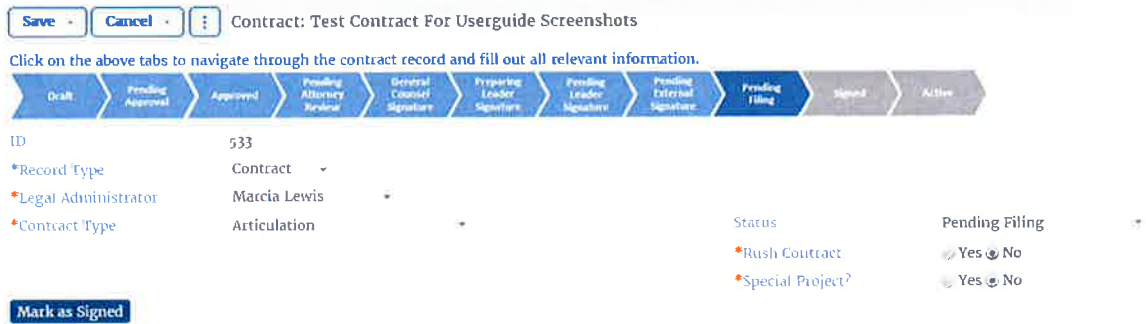


 If there are problems with how this message is displayed, click here to view it in a web browser.

The external signatures for contract Demo contract for staff user manual have been completed and is ready for confirmation.

Renewal Type: Notify staff to renew
Contract Title: Demo contract for staff user manual
Contract Description: Demo contract for staff user manual
Contract Start Date: Apr 26 2021
Contract End Date: Apr 18 2022
Company Name: Google

2. The legal administrator opens the contract for edit, verifies the fully executed agreement and marks the contract as signed by clicking the Mark as Signed button. The contract changes to the Signed state and depending on the contract start date field, the system will automatically change the contract state to Active.



Contract: Test Contract For Userguide Screenshots

Click on the above tabs to navigate through the contract record and fill out all relevant information.

Progress bar: Draft, Pending Approval, Approved, Pending Attorney Review, General Counsel Signature, Preparing Leader Signature, Pending Leader Signature, Pending External Signature, Pending Filing, Signed, Active

ID: 533

*Record Type: Contract

*Legal Administrator: Marcia Lewis

*Contract Type: Articulation

Status: Pending Filing

*Rush Contract: Yes/No

*Special Project?: Yes/No

Mark as Signed

Additional functionalities

Emails tab

- Email exchanges from the contract record can be tracked in the Emails tab.

Send Email

Recipient(s) Choose one

Add email addresses separated by comma or semi-colon to cc people on the outbound email.

Emails to CC

Email Subject

Email Text

Select any files that you want to send with the email. Only active attachments will be available

Files to Send with Email

- Google 344 Apr 07 2021.docx.pdf
- Google 344 Apr 07 2021.docx.pdf
- Google 344 Apr 07 2021.docx.pdf

Send Email

- Choose one of the options in the **Recipient(s)** drop down, and fields will appear to let you select from internal/external contacts, or both.
- Compose the **Email Subject** and **Email Text**
- **Files to Send with Email** only displays existing files from the attachments tab. Hold down CTRL key to select multiple attachments to include in the email.
- Click **Send Email** after filling out the email content.
 - A code is assigned to the subject line, and any email responses will be linked back to this contract record.
- Any emails sent from the Contract or received as updates to the Contract will appear below, in the **Email Communications** field.

Email Communication History

Status: More than 10 record(s) found. [Click here to count records.](#)

Page: | Page 1 | [Next](#) | [Last](#) | Go to page

ID	To	Subject	Content	Attachments	Created On
2258	agirald@elitebco.com	Contract #344 - External Signatures completed	The external signatures for contract Demo contract for staff user manual have been completed and is ready for confirmation.		Apr 08 2021 14:45
2257	cccagilofttest+contractrequester@gmail.com, agirald@elitebco.com	Contract #344 is ready for external contract party signature	Renewal Type: Notify staff to renew ... The internal signatures for contract Demo contract for staff user manual have been completed and is ready for the external contract party	Google 344 Apr 07 2021 التوقيع على 2021	Apr 08 2021 14:25

Contract Status

The contract's Status field is changed automatically by the system at appropriate points in the workflow, generally when an action button is pressed or when some condition is met; however, legal staff users can manually override the Status if necessary.

Status controls user permissions: for example, contract requesters can only make edits to their record while the status is Draft or Returned for Resubmission substate or Pending External Signature.

- **Draft**
 - When a contract is first created, the status defaults to **Draft**. The record can be edited/saved multiple times until it is ready for submission. Clicking **Submit for Review** will submit the request to the portal user's manager and change the status to **Pending Approval**.
- **Pending Approval**
 - The contract requester initiates the approval workflow by submitting the contract. Approvers may approve, make changes, or permanently reject a contract request. If all approvers have approved, the status automatically updates to **Approved**.
- **Approved**
 - The legal administrator receives a notification indicating that the contract is ready for attorney assignment.
- **Pending Attorney Review**
 - The attorney reviews the contract, fills out missing information and prepares the agreement for general counsel signature.
- **Pending General Counsel Signature**
 - The general counsel reviews the contract record and signs the agreement using the DocuSign functionality
- **Preparing Leader Signatures**
 - The legal administrator prepares the contract for leader signatures
- **Pending Leader Signatures**
 - The agreement is sent to the leader signers via DocuSign
- **Pending External Signatures**
 - The agreement is sent to the contract requester for gathering the external signatures
- **Pending Legal Confirmation**
 - The legal administrator reviews the fully executed agreement and marks the contract as signed.
- **Signed**

- Contract has been executed. When the contract becomes effective, the status will then automatically change to **Active**.
- **Active**
 - Contract is effective.
- **Renewed**
 - Contract had reached its end date and was either automatically or manually renewed.
- **Expired**
 - Contract had reached its termination date and was not renewed.
- **Canceled**
 - A decision was made to manually terminate the contract.
- **Rejected**
 - Contract has been rejected by one of the approvers.

Renewal/Related Contracts tab

Contract: Demo contract for staff user manual

Save Cancel Details Approvals Attachments Signature Emails **Renewal / Related Contracts** History

Collapsing All

Deal Pending Approval Approved Pending Attorney Review General Counsel Approval Pending Trade Review Pending Trade Renewal Pending Technical Approval Pending Legal Signed Active

ID: 334

Record Type: Contract

Internal Contract Owner: Alyssa Giraldi

Contract Type: Architectural

Status: Active

*Rush Contract: Yes No

Cancel Contract

Renewal Information

Renewal Notification Date: Jan 18 2022

Generate a Related Contract Record

New Record Type: Choose one

Create Renewal Contract

Create Related Contract

- Any related contracts are displayed in this tab.
- Contract renewals can be generated from this tab by clicking on “Create Renewal Contract” button. A new contract form appears that pulls in information from the original contract.
 - The Create Renewal contract button only appears when the contract status is expired, active or signed.

Contract: Demo contract for staff user manual

The screenshot shows a contract management interface. At the top, there are tabs for 'Save', 'Cancel', 'Details', 'Approvals', 'Attachments', 'Signature', 'Emails', 'Renewal / Related Contracts', and 'History'. Below the tabs is a 'Collapse All' button and a workflow progress bar with stages: Draft, Pending Approval, Approved, Pending Attorney Review, General Counsel Signature, Processing Leader Signature, Pending Leader Signature, Pending External Signature, Pending Legal, Signed, and Active. The 'Active' stage is highlighted. Below the workflow, the contract details are shown: ID 344, Record Type Contract, Internal Contract Owner Alyssa Girald, Contract Type Architectural, Status Active, and Rush Contract Yes. There are buttons for 'Cancel Contract', 'Create Renewal Contract', and 'Create Related Contract'. The 'Create Related Contract' button is highlighted with a blue arrow pointing to it from the 'Renewal / Related Contracts' tab. Below the buttons, there are sections for 'Renewal Information' (Renewal Notification Date: Jan 18 2022) and 'Generate a Related Contract Record' (New Record Type: Choose one).

- Related contract record can be created in the same way by clicking on “Create Related Contract”.
 - The button is only visible if the contract status is canceled, expired, active, or signed.
- Once you have created a related contract, it will appear in the related contracts and amendments table below.

Related Contracts and Amendments

Diagram



Status: No records.

Search icon Views dropdown icon

Number of Related Contracts 0

- Parent contract information section displays the same information as what you have selected for “Parent Contract ID” at the Original Contract Information section.

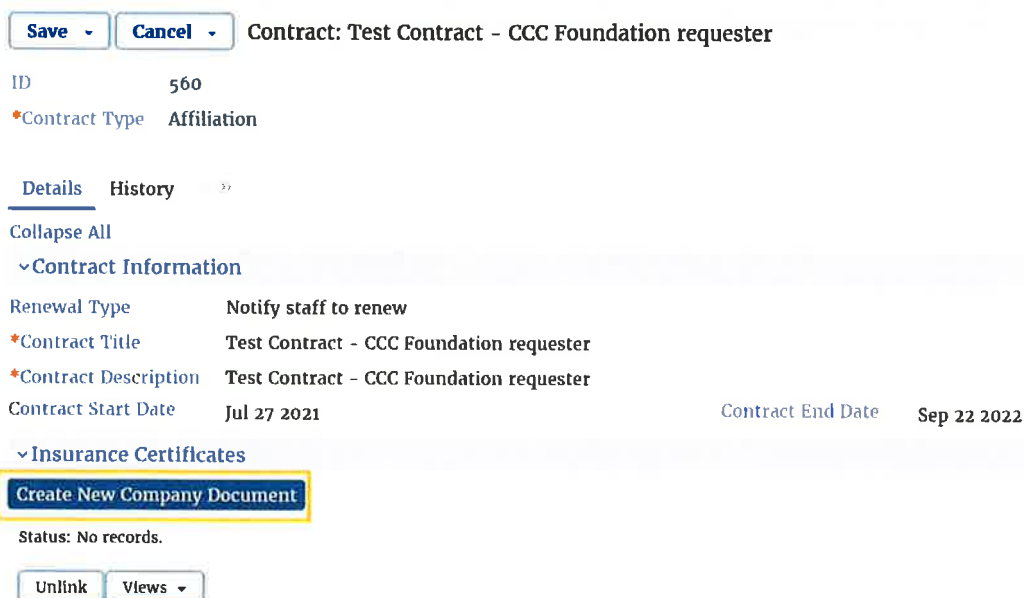
Adding Insurance Certificates to Contracts

Once the contract becomes active, the Director of Risk Management can add insurance certificates to the contract record by doing the following steps:

1. Login to the CCC Contract Management System
2. Once logged in, it will show the Risk Management Home Page where there be a list of the active contracts.
3. Click on the Edit icon of one of the contracts to open it for edit.



4. Once the contract record is open for edit, you can see basic information about the contract. Click the Create New Company Document button to add the insurance certificate.



- A new window opens to create a new company document record. In the company document record, select the type of document as Insurance Certificate. Then upload the file in the Document Details section by dragging and dropping the document in Drag&Drop files square or clicking on the Attach/Manage link to select the file from your computer. Then you can add the coverages included in the certificate by selecting the Coverage Type, filling out the coverage information and clicking the Add Coverage button. The individual coverages will show in a table at the bottom of the record.

Save Cancel Company Documents

Please select the Document Type and Upload related files into the system.

*Type of Document Insurance Certificate Status Uploaded

Details Email History

Collapse All

Contract Information

Contract ID 560

Contract Title Test Contract - CCC Foundation requester Legal Administrator Legal Approver

Document Details

Upload File Attach/Manage Drag&Drop files

Comments

Add individual coverages Done adding coverages

Please enter coverage details for each type of coverage included in one certificate file, then click the Add Certificate button. If you have multiple files, create one Company Document record for each file.

Coverage Type Choose one

Amount of Coverage \$

Start Date Expiration Date

Add Coverage

Uploaded Insurance Coverages

Insurance Coverages Uploaded

Status: No records.

- See sample Insurance Certificate record below:

Save Cancel Company Documents: Insurance Certificate

Please select the Document Type and Upload related files into the system.

*Type of Document Insurance Certificate Status Uploaded

Details Email History

Collapse All

Contract Information

Contract ID 560

Contract Title Test Contract - CCC Foundation requester Legal Administrator Legal Approver

Document Details

Upload File Attach/Manage 1. Insurance Certificate Sample docx

Comments

Add individual coverages Done adding coverages

Uploaded Insurance Coverages

Insurance Coverages Uploaded

Status: 1 record(s) found, 1 page(s) Click here to count records again.

Edit	ID	Type of Coverage	Status	Amount of Coverage	Expiration Date	Attached Certificate
	73	Employer's Liability	Valid	\$2,000.00	Jul 28 2022	Insurance Certificate Sample docx

- Once finished, click on the Save button at the top left of the screen and that will take you back to the contract record window where you can see the insurance coverages information as well as the insurance certificate information.

Contract: Test Contract - CCC Foundation requester

ID **560**
 *Contract Type **Affiliation**

[Details](#)
[History](#)

Collapse All

[Contract Information](#)

Renewal Type **Notify staff to renew**
 *Contract Title **Test Contract - CCC Foundation requester**
 *Contract Description **Test Contract - CCC Foundation requester**
 Contract Start Date **Jul 27 2021**
Contract End Date **Sep 22 2022**

[Insurance Certificates](#)

Status: 1 record(s) found, 1 page(s). [Click here](#) to count records again..

Edit	ID	Type of Coverage	Expiration Date	Amount of Coverage	Status	Attached Certificate
	73	Employer's Liability	Jul 28 2022	\$2,000.00	Valid	Insurance Certificate Sample.docx

[Company Documents](#)

Status: 1 record(s) found, 1 page(s). [Click here](#) to count records again..

Edit	ID	Type of Document	Start Date	Expiration Date	Contract Title	Date Created	Upload File
	44	Insurance Certificate	Jul 28 2021	Jul 28 2022	Test Contract - CCC Foundation requester	Jul 28 2021 07:57	Insurance Certificate Sample.docx

- Click on Save in the top left of the screen to save the contract record.