

**Brooklyn College Foundation
Guidelines for Seeking and Administering Restricted Gifts and Grants
Process, Roles and Responsibilities
Effective as of 7/11/13**

I. Introduction

A key strategic goal articulated in the *2011-2016 Strategic Plan for Brooklyn College* is to “improve institutional effectiveness and enhance campus infrastructure.” Key aspects of this plan include:

- i. Organizing the academic division into five schools to foster student success, raise the profile of our academic programs, enhance cross-departmental interaction, expand external partnerships and attract external funding; and
- ii. Implementing a coordinated fundraising plan to develop external funding streams in support of academic excellence and enhanced campus infrastructure under the aegis of the Foundation for Success Campaign.

In fall 2011, the new five-school structure was implemented with the hire of four new deans (in addition to the existing Dean of the School of Education). The Brooklyn College Foundation (BCF) also hired a new Associate Director of Corporate and Private Foundation Relations to work with deans and faculty to engage private foundations and corporations to support strategic projects at each of the five schools.

In recent months, the Associate Director has reached out to the deans, colleagues at the BCF, the Office of the AVP for Budget and Planning and Chief Financial Officer and Sponsored Research, and various faculty and staff across the campus in order to: (i) understand active private foundation and corporate grants and how the overall private foundation and corporate portfolio has been managed to date; and (ii) identify prospective donors and potentially fundable projects.

In addition to identifying several new fundraising possibilities that are under active development, this exercise has revealed a need to develop systems and procedures to fit the new organizational structure. What follows is a set of guidelines to guide the grant seeking and administration process. These guidelines will also have relevance around the seeking and administration of restricted gifts from individual donors.

II. Guidelines for Grantseeking and Grant Administration

A. Identifying Fundraising Priorities and Prospects

- i. Potential fundraising projects should be discussed with the relevant dean/Associate Provost/Vice President before consideration by the BCF as a fundraising priority.
- ii. Once a project is approved by the relevant dean/Associate Provost/Vice President, BCF will work with the appropriate faculty and staff to:
 - a. Identify potential donors; and

- b. Develop relevant fundraising materials including but not limited to letters of inquiry, proposals, and budgets.
- iii. Projects and prospective funders should be brought to the BCF providing sufficient time to:
 - a. Vet against other college fundraising projects;
 - b. Ensure sufficient time for outreach, proposal and budget development; and
 - c. Ensure sufficient time for BC Office of Finance and Administration and relevant dean to sign off on proposals.

This will normally require a minimum of one-month lead-time.

B. Managing Donor Relationships and Donor Communication

- iv. For funders deemed appropriate for BCF stewardship, BCF will serve as the relationship manager and will manage all funder correspondence including: submission of letters of inquiry, proposals, gift acknowledgements and reports as well as scheduling and participating in meetings and site visits with relevant faculty and staff.
- v. In cases where there is a pre-existing funder relationship, faculty and staff will be asked to provide copies of all relevant documentation and correspondence including proposals, budgets, acknowledgement letters and reports to BCF. Going forward BCF should be consulted on all donor communication.
- vi. With regard to new donors, faculty and staff should consult with BCF before any approach is made.
- vii. In the case where donors initiate a conversation with faculty, BCF should be informed and consulted.

C. Proposal Development and Approvals

- viii. BCF will work closely with relevant faculty and staff to develop letters of inquiry, proposals, budgets and reports. This will be an iterative process with faculty and staff providing programmatic content and BCF providing background and assistance with budget development and ensuring quality control.
- ix. BCF will work with the relevant dean/Associate Provost/Vice President to ensure that all grant proposals and budgets are in compliance with CUNY faculty work load agreements.
- x. BCF will work with staff from the BC Office of Finance and Administration, with which it has a formal agreement to provide financial administration and oversight, to develop grant budgets. In cases where a grant requires complex

financial administration, the BCF will meet with the Office of Finance and Administration and the Office of Sponsored Research to determine whether it should be moved to the CUNY Research Foundation. Decisions will be based upon available staff resources at the BCF and the Office of Finance and Administration as well availability of funds to support administrative costs charged by the Research Foundation.

- xi. Final grant proposals and budgets must be reviewed and signed off on by the following before they are submitted to the donor by the Brooklyn College Foundation:
 - a. Relevant dean/Associate Provost/Vice President dean in whose school or division the project will be taking place
 - i. Confirm that the proposed project supports the BC strategic plan and plan and vision for school or division in which it will be taking place;
 - ii. Confirm that proposed project and budget is in line with CUNY work load agreements; and
 - iii. Confirm college match/contribution (if any).
 - b. AVP for Budget and Planning and Chief Financial Officer
 - i. Confirm budget calculations particularly those pertaining to buy-out time and/or salaries; and
 - ii. Confirm college match/contribution (if any).

See proposal approval form.

C. Grant Administration and Oversight

- xii. Once grants are received, BCF will serve as the primary liaison with funders and will manage all correspondence including grant acknowledgements and reports as well as scheduling and participating in meetings and site visits with relevant faculty and staff. Where appropriate, faculty deans and other senior leaders will also be asked to acknowledge gifts and reach out to donors on the college's behalf.
- xiii. Once a grant is received, the BCF will develop a grant (institutional donor) or gift administration agreement (individual donor) to be signed by the lead faculty or staff on the project and the relevant dean/Associate Provost/Vice President that clearly outlines roles and responsibilities related to grant administration including financial oversight, reporting, and publicity.

Grant/gift administration agreements will be signed by the BCF, the lead faculty or staff on the project, the relevant dean/Associate Provost/Vice President and in some cases the Provost. They will be accompanied by copies of the funded

proposal and budget, the award letter and any relevant instructions from the funder regarding grant administration and reporting

Copies of the signed grant/gift administration agreements will be retained by the BCF, the Office of Finance and Administration, the relevant faculty, deans and college leadership.

See sample grant and gift administration agreements.

xiv. Payments will not be made from the grant until the grant/gift administration agreement is signed and the relevant paperwork is in place.

xv. All grant payment requests over \$2,500 must be signed by the relevant dean/Associate Provost/Vice President. Grant payment requests must be accompanied by the funded budget and an explanation of how the payment relates to the funded budget.

See external payment request submission policies and payment request form.

xvi. A management fee of 5% will be charged by the BCF for costs associated with grant administration. Where possible, Foundation staff will work with faculty and staff to include this cost in the funded budget. The application of the management fee will be examined on a case-by-case basis.

D. Donor Recognition

The BCF will work with the project administrator and the BC Marketing and Communications office to identify opportunities for donor recognition. This might include recognizing donor support on program flyers, booklets, signage as well as e-mail and web communications. All donor recognition must go to BCF for approval prior to being sent to the public. The BCF will work with donors to ensure that their support is being recognized in a manner consistent with their individual goals and objectives.

IV. Appendices

- Proposal Approval Form
- Grant Administration Agreement
 - Gift Administration Agreement
- External Payment Request Submission Policies
- Payment Request Form