

Grant Policies and Procedures

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Introduction

This guide is meant to help projects navigate the grant process when applying with NumFOCUS as the *grantee* organization. The following of these guidelines are essential to ensuring a smooth application and execution of grants for all projects.

When applying for any grant with NumFOCUS as the fiscal sponsor, all projects must follow the guidelines outlined below to allow NumFOCUS to comply with the terms and conditions of the grant funders.

NumFOCUS Responsibilities

NumFOCUS follows a collaborative process for successful application and fulfillment of grant responsibilities. NumFOCUS will:

- Collaborate with projects on budgets, budget justifications, application materials and checklists, and review of application materials;
- Provide all required documentation, audit requests, and financial reports to the grantor prior to and throughout the duration of the grant term;
- Advise principal investigators (PIs) and project team members on award terms, conditions, agreements, provisions, and any award requirements;
- Track and provide all grant related audit materials, invoiced expenditures, and financial reporting.

Project Responsibilities - Application Stage

The following sections describe the steps projects must take to ensure proper application and execution of grant funded projects.

Before Applying

NumFOCUS is committed to helping our projects apply for grants and offers grant search tools, project management software, budget and financial review, and expertise with the grant application process. We encourage projects considering applying for a grant to contact us as soon as possible so that we can help you submit a winning application.

At minimum, the NumFOCUS team will need a few days before the application deadline to review the grantor's proposal guidelines and requirements, your application materials, and your budget materials. Per the terms of our 501(c)(3) status, projects should not apply for a grant

under the NumFOCUS name independently or without NumFOCUS reviewing and approving your grant materials.

Please email notice of intent to finance@numfocus.org and let us know that you wish to apply and we will respond as soon as we are able. Please let us know the following information:

Name of grantor
Name and contact information of Pi and Co-Pi if applicable
Submission deadlines

Application Materials

NumFOCUS provides projects with project management to track and organize application materials upon request. We have templates which contain a wide variety of guidance from popular grantors and are happy to share that information.

Projects are welcome to meet with us to create budgets and budget justifications and have staff review application materials for proposal guideline compliance and overall feasibility. We prefer that projects begin working with us a couple of months before application deadlines, but projects must at the very least provide all proposal materials to us a minimum of 4 days prior to the application deadline to give us time to review the materials.

1. Any submission materials (letters of intent, preliminary proposals, proposals, budgets, budget justifications, subaward materials, etc.) must be submitted through our project management system or by email to finance@numfocus.org prior to submission to any entity.
2. During the submission process, all projects must collaborate with NumFOCUS staff on their budget and any budget justifications. In addition to grant templates provided by the grantor (which we are happy to fill out), all projects must create (or have us create) a version of their budget that conforms to our [Grant Budget Template](#). (This link will create a copy of the template.)
3. The Grant Manager and Finance Director must approve the budget and all submission materials prior to final proposal submission.

Federal Submissions

1. For Federal grant calls, projects must use federal application portals (research.gov, NSPIRES, etc) to submit applications. NumFOCUS staff can act as the AOR (Authorized Organization Representative) and/or PI if a US Pi is required for the grant call.
2. The Grant Manager must receive and approve affiliation requests to join the official NumFOCUS entity at least a week prior to any submissions.

3. Projects MUST begin uploading materials at least four days prior to the submission deadline to account for federal system malfunctions and technical difficulties!
4. NumFOCUS will handle uploading materials to federal grant portals and submitting materials.

Budget

NumFOCUS has created a [Grant Budget Template](#) that follows our accounting guidelines and allows us to track income and expenditures across the guidelines of both NumFOCUS and the grantor. Costs to be accounted for may include:

- Salary and Fringe
- Contractors and Consultants
- Subawards
- Awards, including scholarships
- Event or Workshop Costs
- Travel (refer to our [Travel Policies](#))
- Equipment & Supplies, Software
- NumFOCUS indirect cost

Our template contains blank entries for all of the above. When filling it out, we will request that you provide contractor and consultant names, subaward organizations, type of work, expenditure descriptions, and other details. If you do not know the names of the personnel you will be hiring, please give general descriptions. If a grant is awarded, we cannot approve Contracts until the budget reflects the names and amounts of each contractor, consultant or subaward accurately.

Before granting a subaward, please verify the organization's eligibility as a subawardee by using our [Subrecipient Questionnaire](#). Subawardees are approved on a case-by-case basis.

Individuals and companies alike are eligible to be contractors and consultants.

NumFOCUS Administration, Legal, and Indirect Cost Fees

It is vital to the sustainability of NumFOCUS that our projects include indirect or overhead fees, direct administrative fees and/or staff salaries and fringe in the budgets of all grants to defray the costs of providing support services including grant administration, financial activities, and contract administration.

Grantmaking institutions often provide guidance regarding indirect costs, overhead rates, and administrative fees that determine the amount of the fee that NumFOCUS is able to request. NumFOCUS requests that private and federal grants contain a request for 15% indirect fees for all grants that allow overhead charges.

Budget Approvals

No project may apply for any grant through NumFOCUS unless you have received confirmation in writing that we have approved the project's final budget. Projects are not permitted to make further changes to the budget after approval without written approval from the NumFOCUS finance team.

If your budget includes subawards, the NumFOCUS finance team must approve the full and final budget (as provided by the subawardee) for each subcontract and/or subaward. Projects are not permitted to edit or change subaward budgets without written approval from the finance team. *Due to audit guidance, we do not permit grants to contain more than 75% of the total grant budget as subawards.*

Any budget changes or adjustments greater than 10% based on the awarded amount of your budget must be revised with the collaboration and approval of the finance team, and must be submitted to the grantor for approval. No project is permitted to commence grant work until NumFOCUS has approved any revisions applicable to the overall budget of the grant, including subawards.

Required Legal and Financial Information

NumFOCUS coordinates with projects as well as the grantor to provide any requested legal and financial documentation for applications or to comply with grantor and subawardee requirements after grant receipt. The following list of documents may be required by the grantor and can be requested at any time:

- Grant Administration Forms
- Confirmation of signatories
- Confirmation of fiscal sponsorship
- Proof of non-profit or tax-exempt documentation
- Organizational budgets
- Tax filings and audits or mini-audits
- Profit and Loss statements for projects current in progress grants
- Bank information

NumFOCUS as the applying organization will complete all required administrative forms and/or provide all needed documentation to ensure the best outcome for projects. For any need on the above documentation please email us at finance@numfocus.org.

Project Responsibilities - Post Award

Grant Agreement

Once awarded, NumFOCUS will verify each award and ensure that the grant agreement is completed and signed. Most grantors require that a signed grant agreement be received before they will release funds to NumFOCUS. This document must be reviewed and signed by the NumFOCUS executive director.

Receipt of Funds

NumFOCUS will provide the grantor with all banking information necessary for fund transfer. Once funds are received, the Grant Manager will contact the project PI to indicate they are able to begin grant work. Should there be any changes to the timeline of fund disbursement, the Grant Manager will contact the PI on the grant to update their status.

Please note that funders disburse funds to NumFOCUS in different ways. Some provide all funds up front, some are annual disbursements, some require a reimbursement process. Depending on the grantor's wishes, NumFOCUS will work with the grantor and the grantee to ensure the proper use of any online portal, vendor system, invoicing at pre-agreed intervals, or other requirements.

Contractors and Consultants

Before work commences, all contractors receiving more than \$600 cumulatively within a single year must complete an Independent Contractor Agreement. A contract can be requested at the following link: <https://wkf.ms/4b22kij>

Each Project PI is responsible for making sure that their budget reflects the names and full contract amounts for each contractor. No contracts will be approved if the contract does not match the budget. PIs must assist their contractors in providing information for each contract including a brief description of work, the contract start and end dates, periodic compensation details and total compensation amounts, and a Statement of Work ([SOW template](#)). PIs are required to sign off on each contract to acknowledge acceptance of the contract terms.

Subawards

In order for a subcontract to be granted to a subrecipient, NumFOCUS must verify their eligibility as a subrecipient on the grant by filling out this form: [Subrecipient Questionnaire](#)

As with contracts, Project PIs are responsible for making sure their budget reflects the names and full subcontract amounts for each subawardee. No subaward contract will be approved if

the contract does not match the budget. PIs must provide information for each subaward contract including a brief description of work, period of performance start and end dates, periodic compensation details and total compensation amounts, and a Statement of Work ([SOW template](#)). PIs are required to sign off on each contract to acknowledge acceptance of the subaward contract terms.

In addition to the above, PIs must provide a budget and budget justification for each subaward, including salary information, fringe benefits, and other considerations.

Disbursement of Funds

After contracts are fully executed (signed), the finance team will complete payments according to the contract hourly or periodic rate stipulations and total compensation. Reimbursement requests do not require a contract. If you have any questions, please contact our finance team at finance@numfocus.org.

- Project Grant Invoices and Reimbursement requests are usually submitted through Open Collective. Your PI can provide you with the appropriate link, or we can look it up.
- Projects who do not use Open Collective have a different link we will set up for you.
- Software, event costs, and travel similar can be paid for through a NumFOCUS-sponsored Expensify credit card. If you would like to request a card for this purpose, please email finance@numfocus.org to make the request.
- We can also pay for one-off or recurring expenses through a staff credit card if you do not want to manage a card yourself..

Project Responsibilities - Reporting

Reports and Extensions

Upon grant acceptance, the Grant Manager will confirm and/or provide the dates of all required reports to the funder. NumFOCUS will provide the project with up-to-date revenue and expense reports as well as updated budget vs actuals on a bi-monthly basis to their respective project drives and the project PI or lead.

Both NumFOCUS and the project lead or PI are responsible for collaborating on and submission of all grant reporting requirements. Responsibilities are as follows:

NumFOCUS:

- Provide Budget v Actuals and other expenditure reports
- Reporting review and
- Submission of materials to grantor

Project PI:

- Provide the narrative report for the grant
- Review and approve Budget v Actuals and other expenditure reports.

Projects should not submit narrative, financial, or other reporting to grantors independently. Financial reports should only come from the NumFOCUS accounting software and should only be created by NumFOCUS staff.

Interim Reports

Interim reports are dependent on the length of the grant period and each project may be required to submit interim reports on grant activities and expenditures. NumFOCUS will send a reminder to the project PI 30 days prior to the due date. NumFOCUS and the project will coordinate on the requirements of submission prior to any report. All reports will be reviewed by both the Grant Manager and the project PI prior to submission and submitted by NumFOCUS on the project's behalf.

If any budgetary adjustments need to be made pre- or post-report submission the project lead will notify the finance team and work with the Grant Manager or Finance Director to amend the budget to ensure justification and reallocations are updated accordingly.

Final Reports

At the end of the grant period, the NumFOCUS Grant Manager will send the project PI a 30 day reminder prior to the final reporting deadline.

As with the interim reports, NumFOCUS will provide all financial reports necessary to close out the grant to the project PI. The project PI is required to review the financial documents and coordinate with the Grant Manager should there be any alterations or variances that need to be addressed.

The project PI is responsible for providing the narrative/substantive report to NumFOCUS at least five days prior to the reporting deadline. Projects should be prepared to explain any variances between the original proposal, projected outcomes, or budget changes.

All reports will be reviewed by both the Grant Manager and the project PI prior to submission and submitted by NumFOCUS on the project's behalf.

Extensions

If a project is seeking an extension from a funder, the project PI should email NumFOCUS as soon as that determination is made. The NumFOCUS Grant Manager will review the grantor's guidelines for extension requests and provide the project PI with any necessary support. Please

note that extensions are not guaranteed and the projects should meet the requirements of their grant term to the best of their ability.

NumFOCUS Staff Roles

Finance staff can be reached at: finance@numfocus.org

Erin Gray, Grant Manager - The Grant Manager has direct day-to-day responsibility for overseeing grant activity and program (project) budgets. Duties include:

1. Assistance with filing grant applications.
2. Assistance with and review of grant budgets and budget justifications.
3. Review and approval of internal and program grant applications.
4. Compliance with grant terms and conditions.
5. Review and approval of program grant reporting.
6. Production of periodic financial reporting to projects
7. Production of financial reporting for grantors.
8. Creation and maintenance of grant processes according to Financial Policies and Procedures.

Zaria Gibson, Contracts Manager - The Contracts Manager is responsible for drafting and reviewing all independent contractor agreements and subaward agreements, and is the point person for all questions regarding the process.

Miriam (Mir) Mueller, Finance Director - The Finance Director has general oversight and review responsibility for grant budgets, grant application materials, grant reporting, independent contractor agreements, subaward agreements, policies and procedures, and finance staff.

Leah Silen, Executive Director - The Executive Director holds the final review and signatory step for all grant agreements and contracts to comply with Board-approved Financial Policies and Procedures. She can be reached at: leah@numfocus.org.

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Grant Acceptance

All project grantees are required to read and acknowledge acceptance below of the foregoing policies and procedures, and to agree to the NumFOCUS administrative fee (however it is noted in the grant budget as indirect or direct cost) for administrative costs, which will not change during the lifetime of the grant irrespective of any budget changes or cost center reallocations.

Name of Grant: _____

Grantor: _____

Period of Performance: _____

Administrative Fee: _____

Acceptance of Policies & Procedures

Grant Principal Investigator

Date

Project Name