



# CRUCIAL PRACTICES FOR MANAGING YOUR HSI PROJECT

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PROJECT MANAGEMENT INSTITUTE

**10th Annual AHSIE Best Practices Conference**

Sunday, March 25, 2018

1:00 p.m. – 5:00 p.m.



# WELCOME

CRUCIAL PRACTICES FOR  
MANAGING YOUR HSI PROJECT

**Mayra Padilla**

# INSTITUTE FACILITATORS



**Moises  
Almendariz**



**Rebecca  
Teague**



**Dr. Barbara  
Knotts**

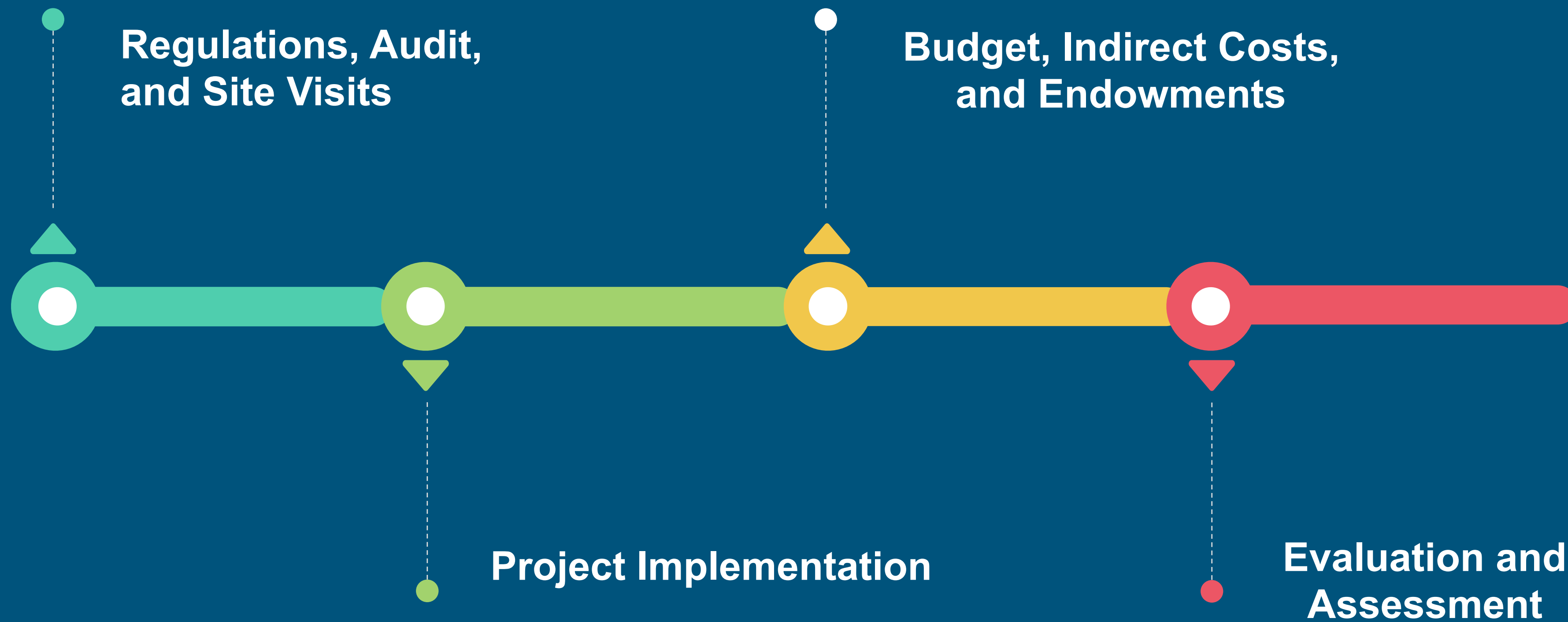


**Robert  
Gutierrez**



**Dr. Mayra  
Padilla**

# SESSION FRAMEWORK





**STAND IF...**



# Regulations, Audits, & Site Visits

Mayra Padilla

# REGULATIONS



**EDGAR**  
**34 CFR Part 606**



**OMB Uniform Guidance**  
**2 CFR Part 200**

# Education Department General Administration Regulations (EDGAR)

TITLE 34 (EDUCATION) – CODE OF FEDERAL REGULATIONS

PART 606 – DEVELOPING HSI PROGRAMS

SUBPART A—GENERAL (HSI DEFINITION & ELIGIBILITY APPLICATION)

SUBPART B—HOW DOES AN INSTITUTION APPLY FOR A GRANT?

SUBPART C—HOW DOES THE SECRETARY MAKE AN AWARD?

SUBPART D—WHAT CONDITIONS MUST A GRANTEE MEET?



# Office of Management & Budget

## Uniform Guidance

TITLE 2 (GRANTS & AGREEMENTS ) – CODE OF FEDERAL REGULATIONS

PART 200—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND  
AUDIT REQUIREMENTS FOR FEDERAL AWARDS

| SUBPART A—ACRONYMS AND DEFINITIONS

| SUBPART B—GENERAL PROVISIONS

| SUBPART C—PRE-FEDERAL AWARD REQUIREMENTS AND CONTENTS OF FEDERAL AWARDS

| SUBPART D—POST FEDERAL AWARD REQUIREMENTS

| SUBPART E—COST PRINCIPLES

| SUBPART F—AUDIT REQUIREMENTS

# KEY CONCEPTS

## SUBPART C—PRE-FEDERAL AWARD REQUIREMENTS AND CONTENTS OF FEDERAL AWARDS

### RISK ASSESSMENT

All Federal agencies must conduct risk assessments (2 CFR 200.205) in order to:

Determine risk of noncompliance with Federal statutes, regulations, and the terms and conditions,

Mitigate that risk as effectively as possible (e.g., using specific conditions (2 CFR 200.207) or high-risk designation), and

Determine appropriate monitoring.

# KEY CONCEPTS

## SUBPART D—POST FEDERAL AWARD REQUIREMENTS

- FINANCIAL & PROGRAM MANAGEMENT
- PROCUREMENT & PROPERTY STANDARDS
- PERFORMANCE & FINANCIAL MONITORING & REPORTING
- RECORD RETENTION & ACCESS
- REMEDIES FOR NONCOMPLIANCE
- CLOSEOUT

# KEY CONCEPTS

## SUBPART E—COST PRINCIPLES

### COST MUST BE:

Necessary

Reasonable

Allocable

Documented

### DIRECT VS INDIRECT

### GENERAL PROVISIONS FOR SELECTED ITEMS OF COST ALLOWABLE & UNALLOWABLE COSTS

# PROGRAM APPROVALS

EXPANDED AUTHORITIES – Prior approvals for changes are waived (2 CFR 200.308)

- Pre-award Costs
- Budget Transfers
- Carryover
- No-Cost Time Extension

PRIOR APPROVALS – Consult DOE to receive approval for change (2 CFR 200.407)

- Moving funds to and from Contractual
- Changes in key personnel
- Budget revisions for 10% + of the annual award
- Changes in project scope or objectives

GAN ENCLOSURES

- Updated Regulatory Citations
- Formatting Changes
- Indirect Cost Rate Included

# KEY CONCEPTS

## SUBPART F—AUDIT REQUIREMENTS

*THRESHOLD FOR A REQUIRED SINGLE AUDIT HAS INCREASED TO \$750,000.*

### RECORD KEEPING

- **Related to grant funds** (Reqs, travel, contracts, time and effort)
- **Grant Performance** (APR's, IPR's, Organizational charts, Eligibility, GANS, Evaluations, Progress Reports, Agendas, Justifications for changes, Communications, Draw Down Reports, Audit Reports)
- **Equipment inventory** (Tagging)
- **Maintain for duration of grant period and 3 years after**

# RESOURCES

| Internal Controls Manual

| Internal Controls Quick Assessment

| DOE Uniform Guidance Presentation

| DOE Cost Principles Presentation

| Site Visit Presentation (2011)



**TIME TO SHARE!**

**Internal Controls**





**QUESTIONS?**



## **PROJECT IMPLEMENTATION**

### **Starting a Project and Implementing Activities**

**Robert Gutierrez**

San Jose City College, CA

**Moises Almendariz**

Hartnell College, CA

# PROJECT START-UP



**Individual and  
Cooperative**

**Project and  
Organizational  
Structure**

**Proposal Modifications**



**Records  
Management**

**Advisory and  
Steering  
Committee(s)**

# INDIVIDUAL AND COOPERATIVE

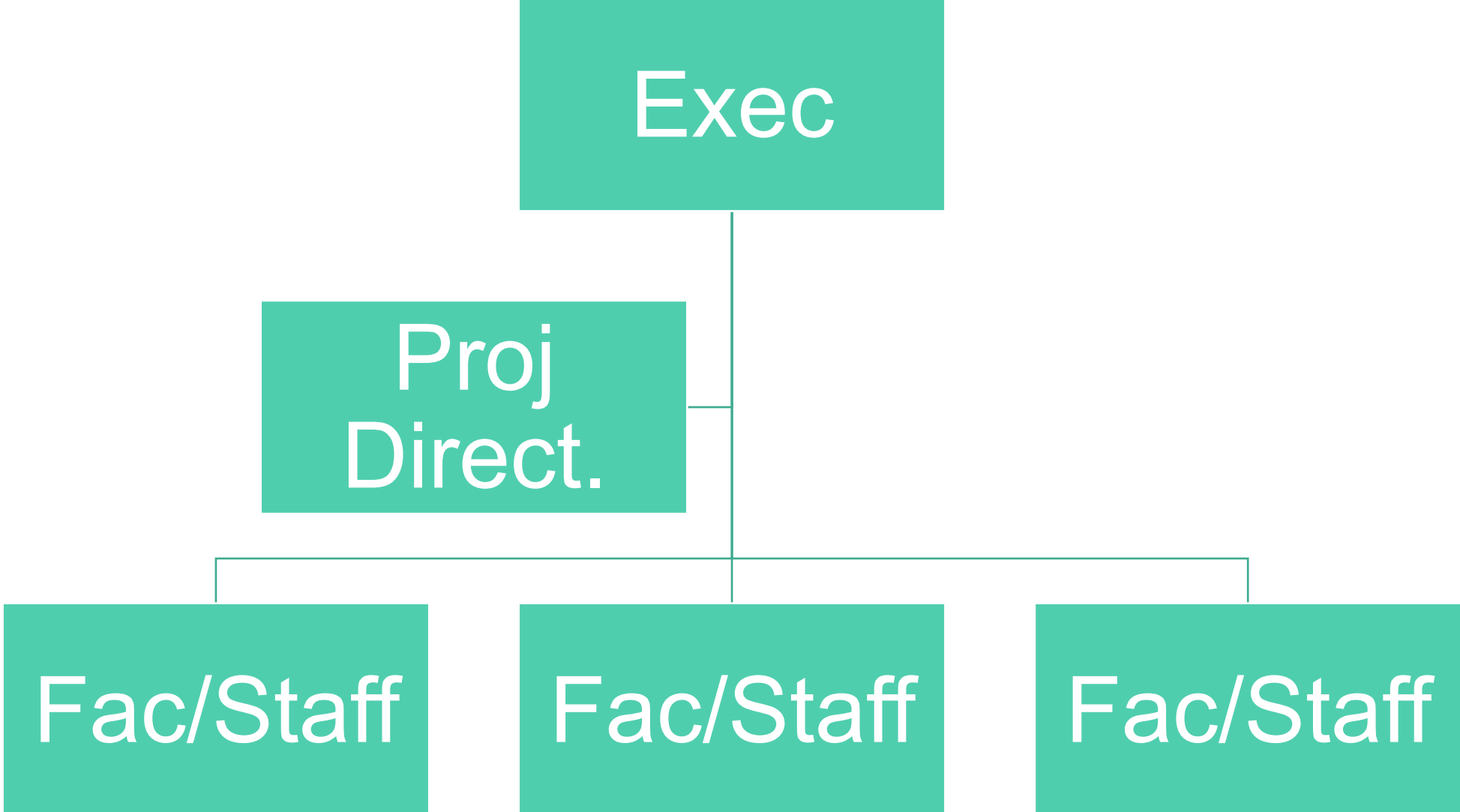
SET UP THE BUDGET AND EXPENDITURE PROCEDURES

PROJECT PROPOSAL TIMETABLE AND LOGIC MODEL

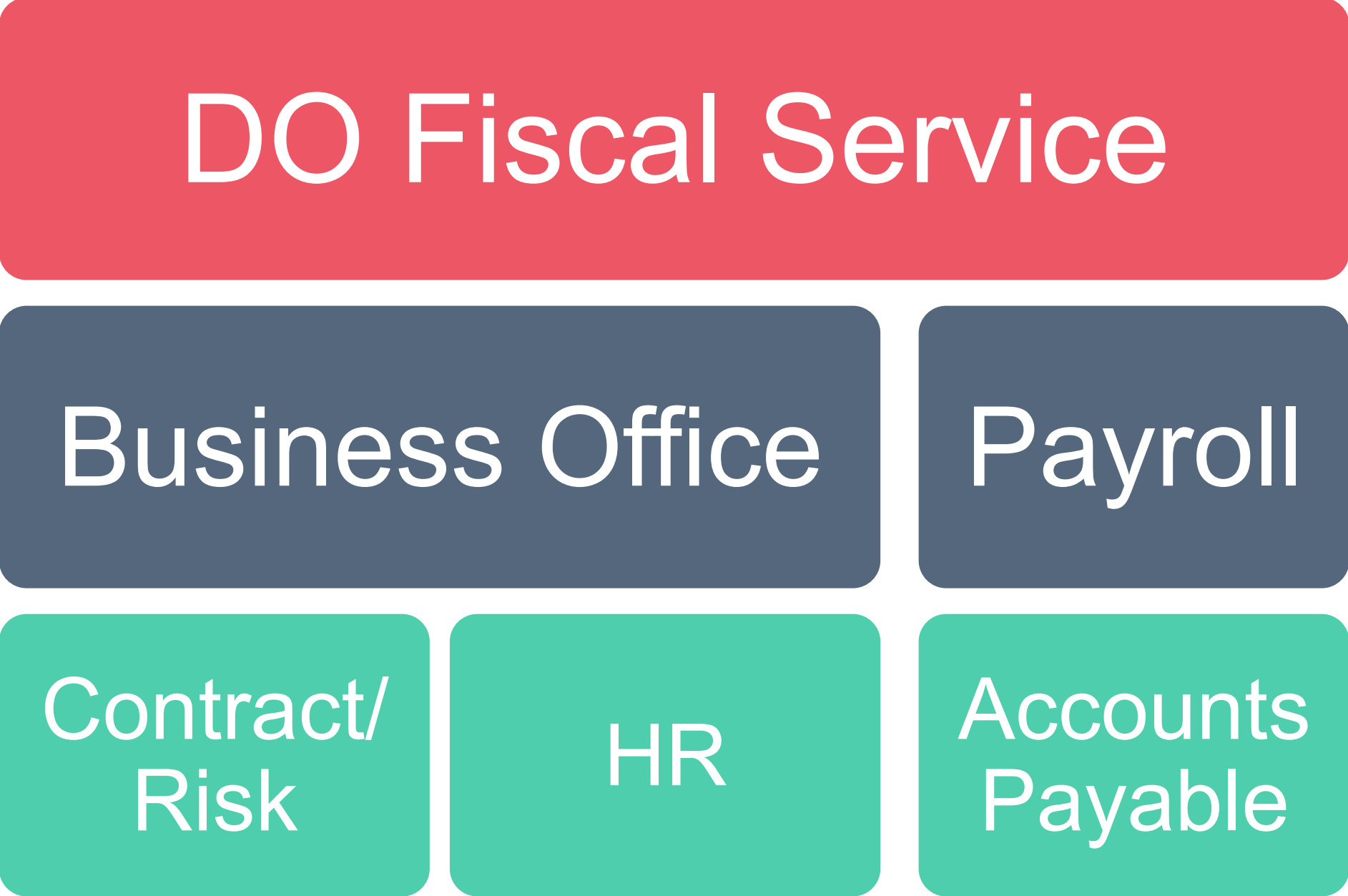
BEGIN STAFFING KEY PERSONNEL

# PROJECT AND ORGANIZATIONAL STRUCTURE

## ORG CHART



## FISCAL STRUCTURE



# PROJECT AND ORGANIZATIONAL STRUCTURE

## STAKEHOLDERS AND CONSTITUENCY GROUPS

ASSOCIATED STUDENT GOVERNMENT

FACULTY SENATE

STANDING COMMITTEES

BOARD

COMMUNITY

SCHOOL DISTRICT

Strategic Planning

Accounts

Initiatives

Departments

# PROJECT AND ORGANIZATIONAL STRUCTURE

SAMPLE  
HARTNELL COLLEGE

# RECORDS MANAGEMENT

CHART OF ACCOUNTS	
<b>SALARIES</b>	<b>5400</b>
<b>SUPPLIES</b>	<b>54300</b>
<b>CONTRACTS</b>	<b>55100</b>
<b>CONFERENCE</b>	<b>55200</b>





# PROJECT IMPLEMENTATION



# STAKEHOLDER BUY-IN



PRE-AWARD



PROJECT STAFF



OTHER CONSTITUENTS



ADMINISTRATIVE SUPPORT

# PROJECT AND ORGANIZATIONAL STRUCTURE

## STAKEHOLDERS AND CONSTITUENCY GROUPS

ASSOCIATED STUDENT GOVERNMENT

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# HIRING & PROJECT STAFF

FULL-TIME POSITIONS

FACULTY: RELEASED TIME, OVERLOAD & SUMMER

STUDENTS

# TRAVEL

INSTITUTIONAL GUIDELINES

APPROVAL & LEAD TIME

DOCUMENTATION

ADEQUATE ALLOWANCES FOR AIRFARES, GROUND  
TRANSPORTATION, BAGGAGE FEES, ETC.

# EQUIPMENT or SUPPLIES?

Portable Wireless Listening System  
\$800



# EQUIPMENT: > \$5000 COST

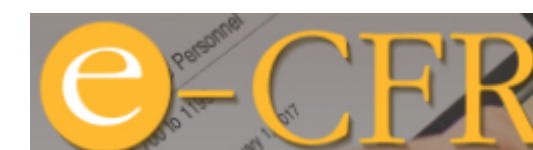
STATE & INSTITUTIONAL PURCHASING POLICIES

QUOTES, BIDS, SOLE-SOURCE DOCUMENTATION

APPROVALS & DELAYS

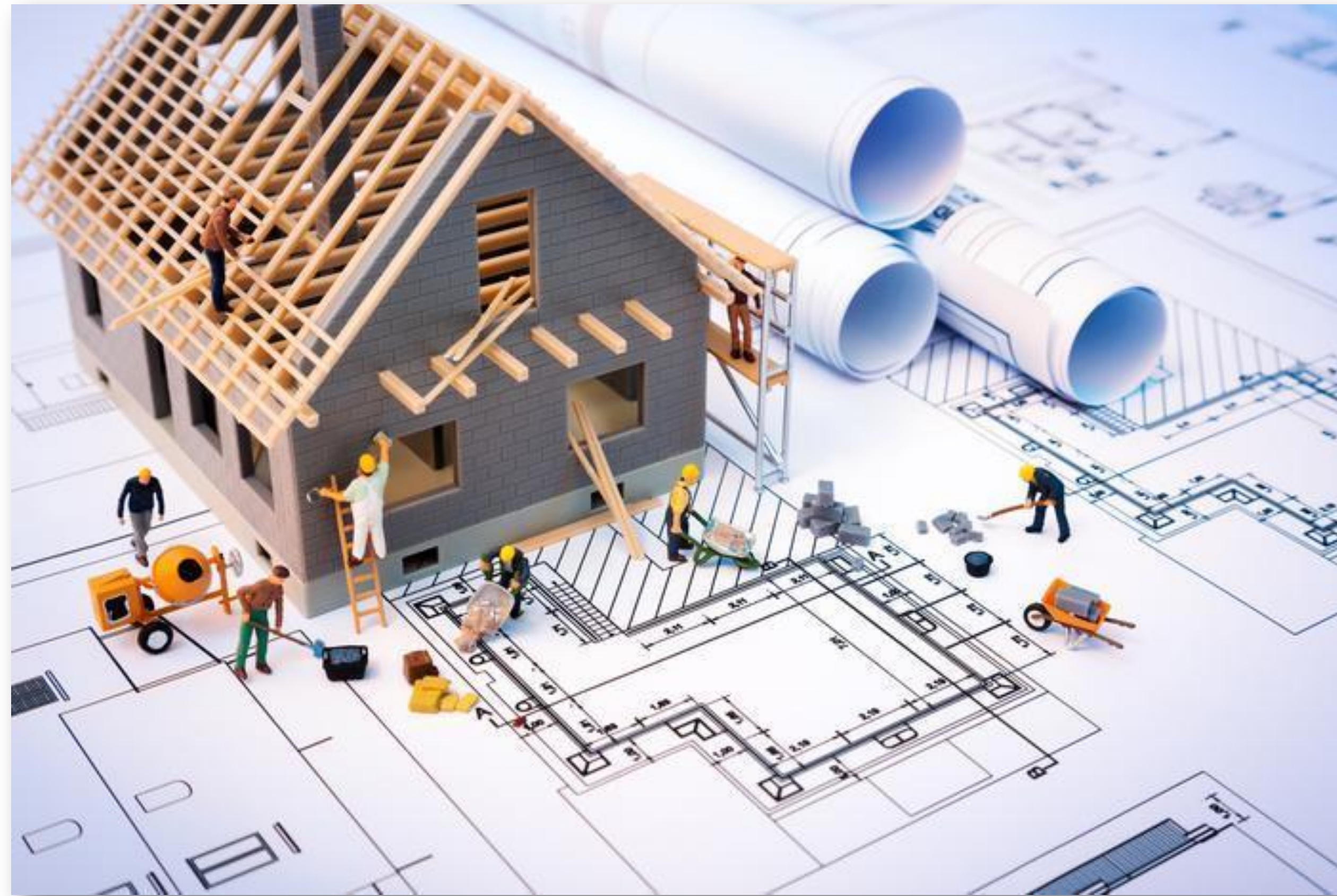
BRANDING, INVENTORY, TAGGING & LABELING

UNBUDGETED REQUESTS



[https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=155d253d2da2aad3a0198246146b0113&mc=true&n=pt2.1.200&r=PART&ty=HTML#se2.1.200\\_133](https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=155d253d2da2aad3a0198246146b0113&mc=true&n=pt2.1.200&r=PART&ty=HTML#se2.1.200_133)

# INFRASTRUCTURE



[https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=155d253d2da2aad3a0198246146b0113&mc=true&n=pt2.1.200&r=PART&ty=HTML#se2.1.200\\_133](https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=155d253d2da2aad3a0198246146b0113&mc=true&n=pt2.1.200&r=PART&ty=HTML#se2.1.200_133)



# SUSTAINABILITY & INSTITUTIONALIZATION



**QUESTIONS?**

# TIME FOR A BREAK

10 MINUTES

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# BUDGET

Barbara Knotts

# BUDGET

1

Rule Changes



2

Expanded Authorities



3

Indirect Costs

4

Endowments



5

Budget Transfer and Tracking

# BUDGET RULE CHANGES

- | Grants awarded prior to 12.26.14, please follow EDGAR Part 74 or 80 and OMB Circulars
- | Uniform Guidance 2 CFR Part 200 applies to new and continuation grants awarded after 12.26.14 (last revised 2/5/15)

# BUDGET

| Expanded Authorities

| Pre-Award Costs

| Carryover

| Budget Transfers

No-Cost Time Extensions

# INDIRECT COSTS

| IDC allowable only for HSI STEM grants

| 8% default rate

| Negotiable

| EDGAR 75.563





## Question

What are some of the elements you should include in your request to DOE to carry-over funds from one year to the next?

# ENDOWMENTS

628.45 and 628.46 for all rules and requirements

20 year rule

Matching

APR for Endowments

Carry over or transfer unused money

# BUDGET TRANSFER

| Expanded Authority

| Prior Approval for Contractual and Evaluation

# EXPENDITURE TRACKING SYSTEM

Activity Expenditures

Internal Budget Controls

Carry Over

Asset Management on purchases over \$500 Forecasting

# Budget Tracking

## Example #1: General Expense

Account										
	A	B	C	D	E	F	G	H	I	J
	Account	Description	Vendor	Transaction Date	Department	Delivery Date	Amount	Date of Payment	Activity	Focus Area
1										
2										
3										
4										
5										
6										

# Budget Tracking

## Example #2- Personnel

	A	B	C	D	E	F	G	H	I	J
1	<i>Personnel Expenditures as of</i>									
2	Staff Positions (salary)									
3	Staff benefits (only)									
4	Faculty (release time)									
5	Faculty benefits (only)									
6	Total Staff & Faculty salary									
7	Total Staff & Faculty benefits									
8	Total Personnel Cost									
9										
10										
11										
12	Alamo Colleges experiences a two week lag time. The following shows you a legend to understand posting dates:									
13	○ Pay Lag									
14	✦ 1 <sup>st</sup> – 15 <sup>th</sup> of the month ⇒ Paid last day of the month									
15	✦ 16 <sup>th</sup> – last day of the month ⇒ Paid on the 15 <sup>th</sup>									
16										



# Questions



# **EVALUATION AND ASSESSMENT**

**Mayra Padilla**



# EVALUATION AND ASSESSMENT

1

**Evaluation for  
Continuous  
Improvement**

2

**Institutional  
Effectiveness**

3

**External  
Evaluation**

4

**APRs & IPRs**



## **GOAL**

**Develop Institutional Capacity To  
Increase # of Latinx & Low-Income Students Completing**

# EVALUATION FOR CONTINUOUS IMPROVEMENT



How do you use data to continuously improve your projects?

# INSTITUTIONAL EFFECTIVENESS



What processes & data does your institution use to measure effectiveness?

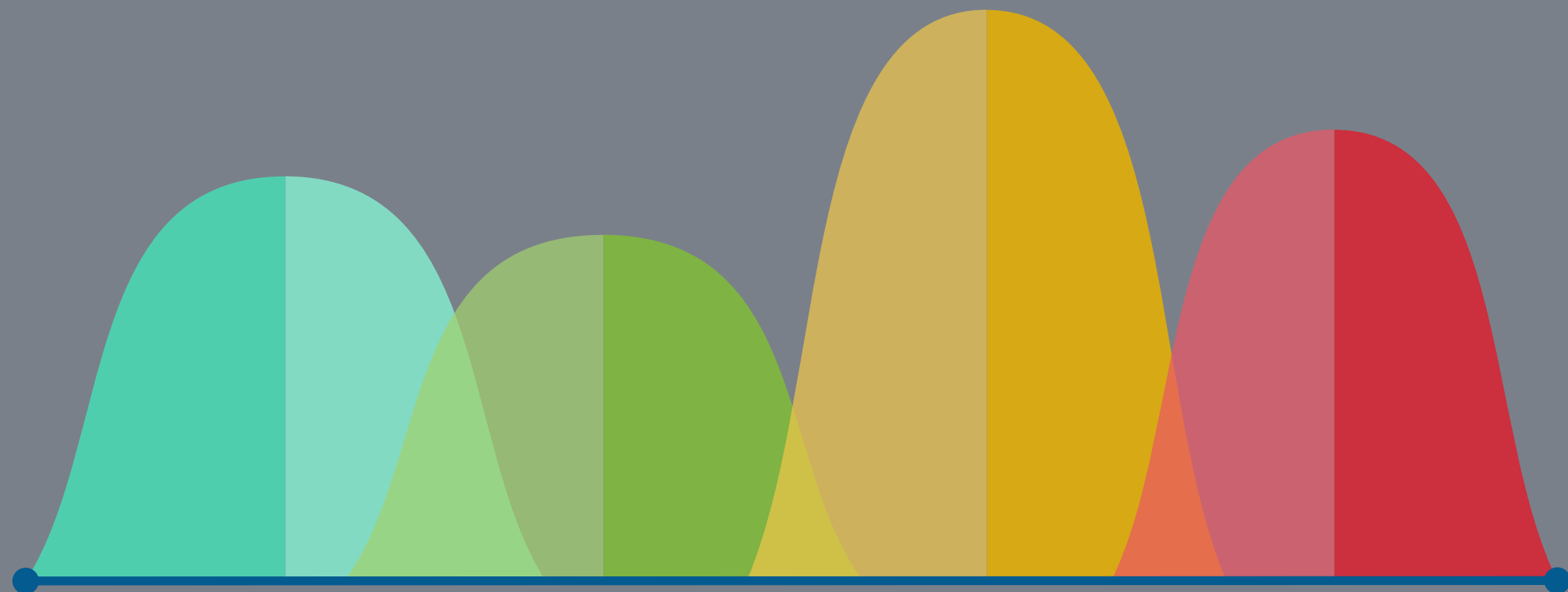
TRACKING SYSTEMS AND DATABASES

EVALUATION STRATEGIES IN WORKING WITH  
INSTITUTIONAL RESEARCH

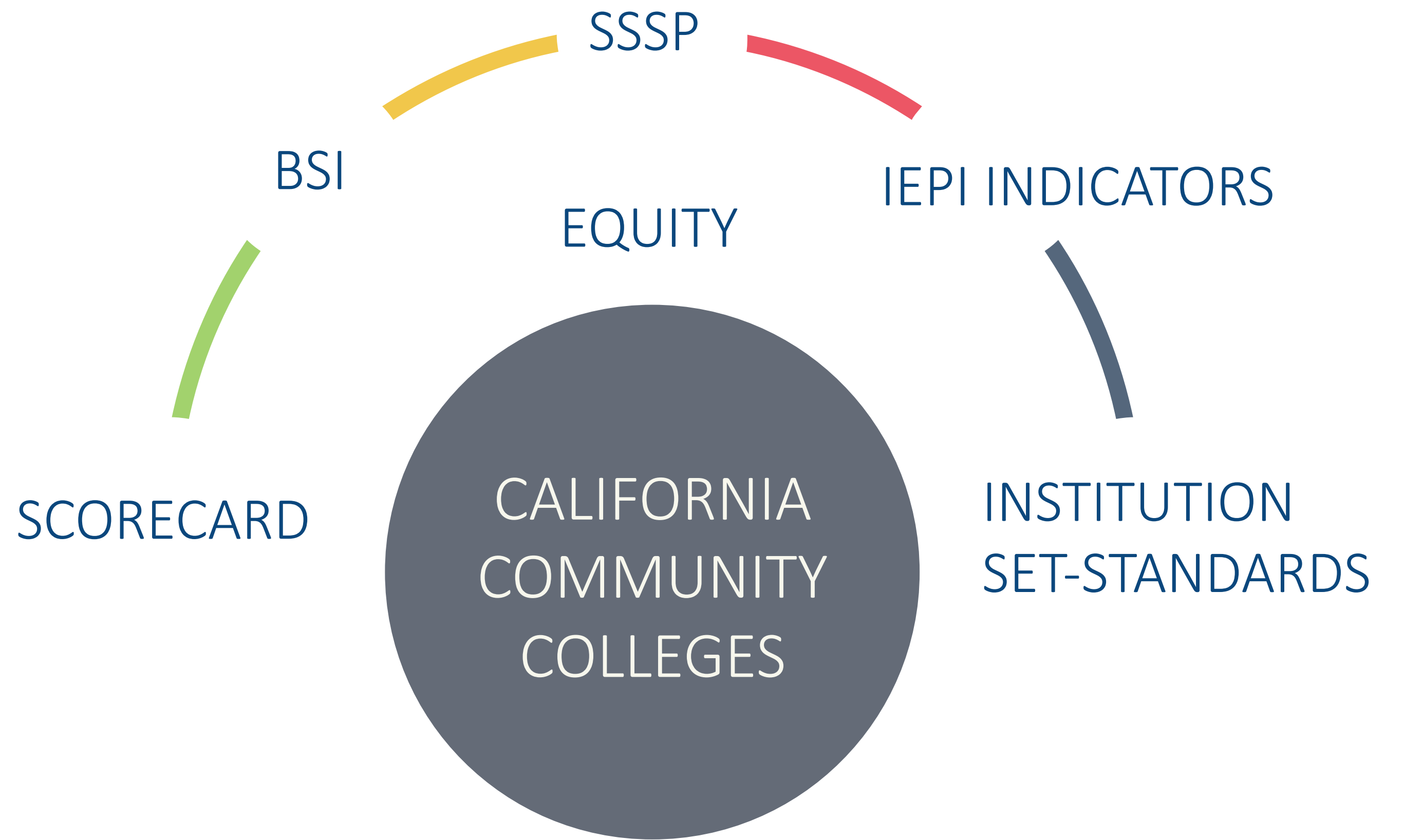
# PROJECT PERFORMANCE MEASURES



How do you relate your project performance measures to institutional effectiveness?



## CENTRALIZED vs DECENTRALIZED STATEWIDE METHODS



# EXTERNAL EVALUATION MODELS



What is your external evaluation model?

EXTERNAL AUDIT VS COLLABORATIVE

SUPPORT FOR REPORTING REQUIREMENTS (APR)

# APR



How do you prepare for APRs?

IPR vs ANNUAL vs FINAL

DIFFERENCES BETWEEN HSI AND HSI STEM  
STEM RESEARCH STUDY (SECTION C)

CHANGES TO APR ARE COMING



## REFLECTION ON EVALUATION

**How are your grant efforts building institutional capacity to increase the # of Latinx and low-income students completing?**

**What are the strengths of your evaluation plan?**

**What areas can you grow in?**





**QUESTIONS?**



# GROUP LEARNING



**Survey**

**[SURVEYMONKEY.COM/R/AHSIE](https://www.surveymonkey.com/r/AHSIE)**



**THANK YOU**

**Enjoy the 10th Annual AHSIE Best Practices Conference**



# AHSIE

*Cultivating Leadership and Success in HSIs*

## PROJECT MANAGEMENT INSTITUTE

### **Rebecca Teague**

Mt. San Jacinto College  
Dean, Institutional Effectiveness,  
Planning Research and Grants  
[Project Management Experience](#)  
Title V Individual Grants  
Title III HSI STEM Grant

### **Robert Gutierrez**

San Jose City College  
Metas Program Director  
[Project Management Experience](#)  
Title V Individual Development Grants  
Cooperative Development Grant

### **Moises Almandariz**

Hartnell College  
Director, HSI Initiatives  
[Project Management Experience](#)  
2 Title V Individual Grants  
2 Title V Cooperative Grants  
3 Title III HSI STEM Grants

### **Dr. Mayra Padilla**

Contra Costa College  
Dean, Institutional Effectiveness & Equity  
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HSI Project Director  
2 - Title III HSI STEM Grants

### **Dr. Barbara Knotts**

San Antonio College  
Professor/Chair/Director  
Dept. of Creative Multimedia  
& Project Tenaces  
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Title III STEM Grant