PET FORM
Planning and Evaluation Tracking
(2012-2013 Assessment Period)

Division of: Planning & Advancement

Person Responsible for this Division: Danita McAnally

Department of: Grants & Grant Compliance

Primary Person Responsible for this Form: Teresa Clemons

Purpose Statement (With Last Updated Date):   Last Updated Feb/2012
The Department of Grant Development & Grant Compliance ensures that external funding sources that support the mission of Amarillo College are researched, secured, and managed correctly.

Goal Statement #1: **Secure new sources of revenue (Based on *AC Strategic Plan through 2015: Strategy 4.3).***

Outcome/Objective Statement #1A
(Be sure to include audience, behavior, conditions, degree/benchmark, and evaluation method):
After working one-on-one with AC employees who are content specialists and relevant to the Grants and Contracts Target List, those employees will engage in grant development to ensure that at least 90% of the previous year's funding level is met.

- Results (If Applicable, Provide Numbers and Percentages for Quantitative Data)
  - **2010-2011 Data:**
    During FY 2011 (September 1, 2010 – August 31, 2011), Amarillo College received $7,101,087.62 in external funds from grant and contract sources.

  - $5,542,844.84 in grant funds. This is a 3.5% increase from FY2010 grant funds received.

  - $1,558,242.78 in contract funds. This is a 54% increase from FY2010 contract funds received (the substantial increase is due to two new funding contracts from Amarillo Economic Development Corporation).
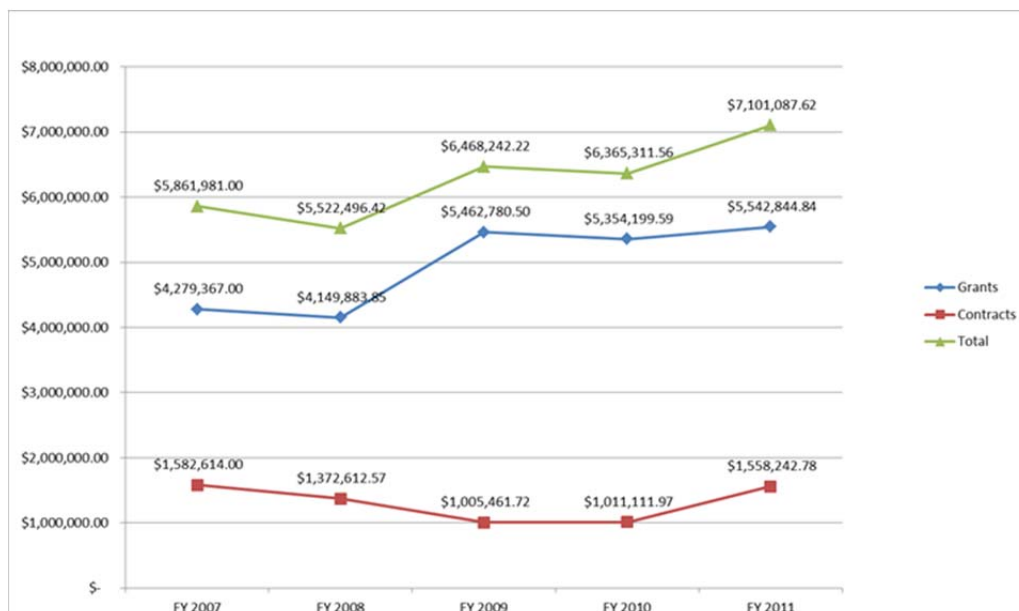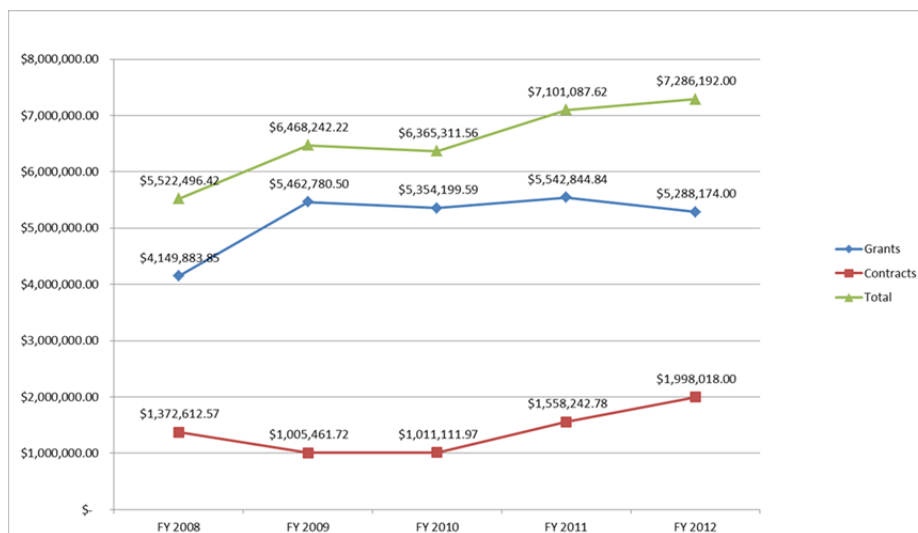
During FY2011, the Office of Grants (along with partnering institutions and other AC divisions) submitted six state, four federal, and two local grant applications.

- 10 grants were awarded (6 state, 2 federal and 2 local)
- 2 grants were denied (both federal)

o **2011-2012 Data:**

During FY 2012 (September 1, 2011 – August 31, 2012), Amarillo College received $7,286,192 in external funds from grant and contract sources representing an overall increase of 2.6%.

- $5,288,174 in grant funds. This is a 4.6% decrease from FY2011 grant funds received.
- $1,998,018 in contract funds. This is a 28% increase from FY2011 contract funds received (TXDOT Heavy Equipment Training continues to be the main source of the contract funding.)

During FY2012, the Office of Grants (along with partnering organizations/institutions and other AC divisions) submitted five state, one federal, and four local grant applications.

The status update for all grant applications made prior to 8-31-2012 is as follows:
- 8 grants were awarded (2 state, 2 federal and 4 local)
- 2 grants were denied (both state)
- 2 grants are pending (1 federal, 1 state)

- Analysis
    - o Provide Previous Data/Result Analysis
      (Include if benchmark was met and how results relate to outcome statement):
      This objective was met. The total funding from grants and contracts was increased over the previous year (FY2011) and included new sources of funding. A decrease in grant funding for FY2012 was anticipated due to the number of grants that were closing out and/or in the last year of funding. New grants have helped maintain over 95% of the prior year's grant funding. A large part of the grant maintenance can be attributed to the cooperation of AC employees who became content experts and assisted with grant development.

- Improvements
    - List any Improvements Made in the **2011-2012** (Last Academic) Year:
      Presentation of potential grant proposals to Cabinet for review and approval for submission.
      Improved coordination across all divisions/departments for identification of grant opportunities.

    - Evaluate Why Improvements Were Successful/Were Not Successful:
      Both improvements were very successful due to greater understanding and communication throughout the grant development process; all parties have an opportunity to provide input.

    - What Budget Implications Were Involved with this Improvement? (Please Provide Cost Estimate/Details):
      None

- Recommendations/Actions for **2012-2013**
    - Person Responsible (Who will complete the action?):
      Senior Director of Grants - lead

    - Action Plan:
      1. Update Targets for Grants and Major Contracts plan to align with AC's mission and receive President's Cabinet approval by September 1st.
      2. Prioritize grant proposal opportunities to ensure optimal utilization of resources and provide feasible calendar for proposal submissions.
      3. Transition to more public-private partnerships and begin preparing a five-year plan with priorities for these partnerships.
      4. Analyze potential for public grant funding over next five years and develop plan to replace funds from completed grant projects. NOTE: with scheduled reductions in federal and state funding, the goals for FY2013 are to maintain grant and contract funding at 90% of FY2012 funding.
      5. Submit at least five funding proposals that directly align with the Targets for Grants and Major Contracts.

    - Expected Time Frame Needed to Implement Action Plan (Please provide specific deadline date):
      Update, Prioritize, and Analyze actions will be completed by 3-1-13.
      Submitting funding proposals will be completed by 8-31-13.

    - What Budget Implications Are Involved with this Action? (Please Provide Cost Estimate/Details):
      Projected - $146,107 consulting fee to RMA needed for FY2013,
      Projected - $5,000 renewal fee for Big Online (3-year membership) – paid September 2013
      Projected - $88,000 ($147,000 if GEAR UP is funded) consulting fee to RMA needed for FY2014, and
      Projected - $88,000 consulting fee to RMA needed for FY2015

Goal Statement #2: Protect and maintain external funding sources that contribute to student support and success through oversight of grant management and compliance procedures (*Goal based on No Excuses Goal V: Attainment of Credentials- Poverty*).

Outcome/Objective Statement #2A
(Be sure to include audience, behavior, conditions, degree/benchmark, and evaluation method):
AC's Single Audit will have no more than two programmatic findings related to federal/state grants.

- Results (If Applicable, Provide Numbers and Percentages for Quantitative Data)
    - **2010-2011 Data:**
      AC's Single Audit report for FY2011 included 11 findings, all of which were classified as "significant deficiencies," not "material weaknesses." Six of the findings were programmatic.

    - **2011-2012 Data:**
      Preliminary results for AC's Single Audit report for FY2012 include 6 findings, all of which were classified as "significant deficiencies," not "material weaknesses." Three of the findings are programmatic.

      Programmatic findings were reduced by 50% from FY2011 to FY2012.

- Analysis
    - Provide Previous Data/Result Analysis
      (Include if benchmark was met and how results relate to outcome statement):
      AC's FY2012 Single Audit included zero "material weakness" findings. However, overall the outcome was not met due to the number of programmatic findings. These programmatic findings decreased in spite of a greater number of grants being selected for review by the auditors.

      The FY2012 Single Audit findings included two that were completely outside the Office of Grant Compliance's realm of responsibility. In addition, the Office of Grant Compliance is not the only AC office that can assume responsibility for the Single Audit findings. Audit findings are often linked to institution-wide procedural issues and are the shared responsibility of several areas/departments.

      The Office of Grant Compliance assisted Project Directors and the AC Business Office in the development of a Corrective Action Plan for each of the FY2012 audit findings. The majority of the findings had been identified and were being addressed prior to receipt of the preliminary audit report.

- Improvements
    - List any Improvements Made in the **2011-2012** (Last Academic) Year:
      For AC's federal and state grants, Grant Compliance and Grant Accounting began holding combined meetings with Project Directors and other grant staff, as applicable. The Project Directors, Grant Accounting, Grant Compliance, as well as other relevant areas must work together to ensure successful grant outcomes.

    - Evaluate Why Improvements Were Successful/Were Not Successful:
      Grant Compliance and Grant Accounting have put this combined meeting initiative into place for AC's federal and state grants. It has worked well; and most Project Directors have welcomed this combined approach to programmatic and fiscal monitoring.

o   What Budget Implications Were Involved with this Improvement? (Please Provide Cost Estimate/Details):
None

- Recommendations/Actions for **2012-2013**
    o   Person Responsible (Who will complete the action?):
    Grants Compliance Officer – lead

    o   Action Plan:
    Preventative Measures
    1. The Office of Grants Compliance will conduct grant compliance/management training to federal and state grant Project Directors in 2012-2013. This training will prepare and educate Project Directors on external and internal resources available for successful project management. The Grants Compliance Officer will follow up with the Project Directors upon completion of the training to assess their comfort level (level of preparation in the case of an audit) and request their feedback.

    The Office of Grants Compliance will also continue the following preventative measures in 2012-2013 to limit the number of "significant deficiency" findings in AC's FY2013 Single Audit.

    2. In conjunction with Grant Accounting, conduct quarterly meetings and annual mini-review (internal) with project staff of all AC federal/state grants.
    3. Review all monthly, quarterly and annual project performance reports.
    4. Monthly review of grants/contracts Time & Effort submissions.
    5. Assist Grant Accounting with quarterly financial salary adjustments based on Time & Effort.

    Responsive Measures
    As in 2011 – 2012, if a finding is reported on the AC Single Audit, the Office of Grants Compliance will continue the following responsive measures to correct the finding.

    1. Develop corrective action plan along with grant Project Director, his/her reporting supervisor, and any other relevant AC areas/departments.
    2. Based on timelines in corrective action plan, monitor progress and audit grant program to ensure implementation of correction measures.

    o   Expected Time Frame Needed to Implement Action Plan (Please provide specific deadline date):

    Preventative Measures –
    Preventative Measure 1: Project Director/Manager compliance and grant management training will be conducted in late spring 2013, prior to the beginning of AC's FY13 Single Audit.

    Preventative Measures 2, 3, 4, and 5 are on-going and will occur throughout the 2012-2013 year.

    Responsive Measures –
    Responsive measures 1 and 2 will occur upon receipt of the preliminary single audit report (August/September 2013) and will continue into the 2013-2014 year.

- o What Budget Implications Are Involved with this Action? (Please Provide Cost Estimate/Details):
During FY2013, AC's Office of Grants will begin researching grant management software options for continued coordination and efficiency of grant development and compliance processes. Estimated cost of software options is $7,500 annually.

Goal Statement #3: Student services, academic support, and faculty will personally assist each student regarding available college and career opportunities. *(Strategic Plan through 2015 Goal 1 Strategy 1.1-)*

Outcome/Objective Statement #3A
(Be sure to include audience, behavior, conditions, degree/benchmark, and evaluation method):
After training on the NAPE 5-step process, faculty in each of the three targeted career and technical education (CTE) programs (computer information science, drafting and manufacturing) will identify the root causes and implement best practices for overcoming root causes of low female recruitment and retention by completing a gender equity root causes worksheet and timeline. *(AC Strategic Plan through 2015: Task 1.1.4.1: "Gender Equity in the Workplace Team will annually assess the barriers to students enrolling and graduating in programs with low non-traditional gender."* ESTABLISHED 12/2011)

- Results (If Applicable, Provide Numbers and Percentages for Quantitative Data)
    - **2010-2011 Data:**
      In FY2011, The Drafting program faculty completed the 5-step process, set a timeline, and followed that timeline.

    - **2011-2012 Data:**
      In FY2012, a Gender Equity workshop was held in January 2012 for faculty and staff involved with technical training programs. Twenty-two participants worked to identify root causes for low female recruitment and retention in technical programs.

- Analysis
    - Provide Previous Data/Result Analysis
      (Include if benchmark was met and how results relate to outcome statement):
      Understanding of gender equity issues continues to strengthen institution wide.

- Improvements
    - List any Improvements Made in the **2011-2012** (Last Academic) Year:
      Recruitment of an advisor for technical training programs to lead the gender equity initiative.
      Addition of a special event to focus on "Women in Industry."

    - Evaluate Why Improvements Were Successful/Were Not Successful:
      Both improvements helped raise awareness of barriers to non-traditional occupations for women. The Women in Industry event was very successful due largely to the efforts of the advisor recruited to lead the initiative. Potential students, faculty, staff, and community partners all increased awareness of gender equity issues.

    - What Budget Implications Were Involved with this Improvement? (Please Provide Cost Estimate/Details):
      The Women in Industry event cost $1,850. Funds to support the event were secured from local and state grant sources. No AC institutional budgets were impacted.

- Recommendations/Actions for **2012-2013**
    - Person Responsible (Who will complete the action?):
      N/A

- o Action Plan:
  Goal 3 has been closed: with the recruitment of an Amarillo College employee to lead the initiatives and the continuation of non-traditional occupation discovery events (like Women in Industry), this goal has been sufficiently imbedded in the institutional culture to ensure its sustainability.

- o Expected Time Frame Needed to Implement Action Plan (Please provide specific deadline date):
  N/A

- o What Budget Implications Are Involved with this Action? (Please Provide Cost Estimate/Details):
  N/A