

LEGISLATIVE FEDERAL ECONOMIC STIMULUS PROGRAM OVERSIGHT COMMISSION
ACT 150, SESSION LAWS OF HAWAII 2009

DEPARTMENT/AGENCY QUESTIONNAIRE

Instructions: Please use this MS Word document as a template, entering your answers below the corresponding number/letter. The commission is cognizant of the numerous reporting requirements of ARRA and does not wish to burden your Department or agency with duplicative requests for information where possible. Please use information that you have all ready reported to the Federal government, as applicable.

If a question is not applicable please indicate N/A. The information requested under question 1 should be answered under each item for each group/category or program/project. However, Questions 2 and 3 need not be answered for each group/category or program/project.

1. For each group/category or program/project for which ARRA funds have been obtained, please provide the following information:
 - (a) A brief summary of the program/project, including goals;

Education Stabilization Funds

In a Memorandum of Agreement, dated October 6, 2009, the Governor, Superintendent of Education and University of Hawai'i President agreed that State Fiscal Stabilization Funds, Part A would be used to significantly improve student achievement in Hawai'i by using ARRA resources to advance education reform. The goals, agreed upon by the three parties, are that:

1. Hawaii's expectations for its students should be benchmarked internationally so that graduates will be competitive in a global economy.
2. Using multiple and rigorous methods, all students will be assessed regularly for progress in achieving the internationally benchmarked standards and informed of their progress toward career and college readiness.
3. All students will graduate high school "college and career" ready by 2018 and be able to move on to the next step in their lives without the need to repeat classes or take remedial training.
4. All students will be taught by highly qualified educators (K-12 and higher education) who are receiving support to continuously improve their effectiveness in facilitating student achievement.

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5. A statewide, inter-agency data system will be developed to track students longitudinally through Hawaii's public educational systems and into the workforce in order to improve education, shape educational and workforce policy development, guide resource allocation decisions, and document program improvements.
6. Hawaii's educational attainment and achievement levels should meet or exceed the national average.
7. Over the next six years, we will make dramatic progress to close the achievement gaps among Hawaii's students with respect to race, ethnicity, geography or economic status as identified by the U.S. Department of Education.
8. 55% of Hawaii's working adults will have a 2 or 4 year degree by 2025 so that Hawaii, through its workforce, will be competitive in the global economy.

Pell Grants

The Federal Pell Grant Program provides need-based grants to low-income undergraduate and certain post baccalaureate students to promote access to postsecondary education. Student financial need is determined by the U.S. Department of Education using a standard formula per student, established by Congress, to evaluate the financial information reported on the *Free Application for Federal Student Aid* (FAFSA) and to determine the student's family Expected Family Contribution (EFC). Pell Grants are direct grants awarded through participating institutions to eligible students with financial need to pay for tuition, fees, and other educational expenses.

Pell Grants must be awarded to the students for educational purposes. They may not be redirected to other sources.

Federal Work Study

The Federal Work-Study Program provides funds that are earned through part-time employment to assist students in financing the costs of postsecondary education, based on student financial need. The program encourages community service work and work related to the recipient's course of study. Unlike the Federal Pell Grant Program, which provides funds to every eligible student, this program is allocated a certain amount of funds for each participating school to administer each year.

Student financial need is determined by the U.S. Department of Education using a standard formula per student, established by Congress, to evaluate the financial information reported on the *Free Application for Federal Student Aid* (FAFSA) and to determine the student's family Expected Family Contribution (EFC).

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- (b) Whether funds were appropriated for expenditure by a federal agency, were awarded as a formula/block grant to a State or county agency, or were awarded on a competitive grant basis;

Education Stabilization Funds

Education Stabilization Funds were awarded as a formula/block grant to the Governor of the State of Hawaii from the U.S. Department of Education.

Pell Grants

Funds were appropriated for expenditure by the USDOE.

Federal Work Study

Funds were appropriated for expenditure by the USDOE.

- (c) Whether matching funds are required, and, if so:

- (i) Are they available;

Federal Work Study

Yes.

- (ii) Have they been secured;

Federal Work Study

Yes.

- (iii) If they have not been secured, why not; and

- (iv) Will the State be required to continue that match or provide increased/full funding in the future;

Federal Work Study

Yes, but it is the same matching requirement as the current financial aid awarding process.

Education Stabilization Funds

Not applicable – matching funds not required.

Pell Grants

Not applicable – matching funds not required.

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- (d) If there are additional requirements to receive funds, what are they;

Education Stabilization Funds

- A. By mid-November 2009:
- a. DOE, UH, and DLIR establish inter-agency agreement to share longitudinal student and institutional data.
 - b. UH will support DOE's development of a report analyzing Hawaii's competitiveness for the U.S. Department of Education's Race to the Top competition.
- B. By December 31, 2009:
- a. UH will submit, via DOE, an application for U.S. Department of Education Statewide Longitudinal Data Systems grant competition for resources to support development, use and maintenance of a statewide inter-agency longitudinal data system.
 - b. UH will participate with DOE and DBEDT to identify achievement gaps—internal and external—for community review and future incorporation in departmental strategic and operational plans.
- C. By March 31, 2010:
UH, together with DOE, will report and publish annually college and career readiness indicators by school on a public website.
- D. By June 30, 2010:
UH, together with DOE, DLIR, and DBEDT, will develop a sound data governance structure to fulfill the inter-agency agreements regarding data quality, data timeliness, and accuracy of the reports.

Pell Grants

Not applicable.

Federal Work Study

Not applicable.

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- (e) The amount of funds involved and the state/federal fiscal year within which the funds must be expended (e.g. SFY 2009-2010 or FFY 2009-2010);

Education Stabilization Funds

Education Stabilization Funds were appropriated to the University of Hawaii as follows:

Program	Fiscal Year 2009-2010	Fiscal Year 2010-2011
University of Hawaii, Manoa	14,740,000	14,740,000
University of Hawaii, Hilo	300,000	300,000
UH Community Colleges	6,960,000	6,960,000
University of Hawaii, Systemwide Support	10,000,000	0

Pell Grants

Not applicable. See Special Notes below.

Federal Work Study

Not applicable. See Special Notes below.

- (f) What criteria were used to identify the program/project as a priority and how does the program/project meet them;

Education Stabilization Funds

See goals and deliverables in questions (a) and (d).

Pell Grants

Not applicable.

Federal Work Study

Not applicable.

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- (g) Efforts undertaken to coordinate application for funds and administration of the program/project, including expenditure of funds, with other federal, state, and county agencies;

Education Stabilization Funds

University of Hawai‘i is working with Governor’s office, Hawai‘i Department of Education, other state agencies, and partner organizations to develop a common education reform agenda that will drive student achievement and make Hawaii’s students and workforce competitive internationally; develop a plan for implementing the common educational reform agenda (e.g., curriculum development, teacher training, degree attainment); attract federal investment under ARRA Race to the Top and other competitive opportunities such as the U.S. Department of Education Statewide Longitudinal Data System grant; provide a framework to close identified “achievement gaps”; report publicly on progress of educational improvement and expenditure of ARRA funds; achieve UH Strategic Performance Goals related to increasing Hawaii’s educational capital, and set goals for higher education, provide reports on progress, and cooperate with the DOE on strategies to achieve goals.

With regards to the expenditure of funds, the University is currently in discussion with the Department of Budget and Finance (B&F) to finalize details on how the Stabilization Funds will be requested, distributed, utilized, and reported to the Governor’s Office in accordance with the Process for Release of Funds documented in the Memorandum of Agreement. Reports have been developed to provide the detailed information requested by B&F to facilitate the disbursement of funds, and to meet quarterly ARRA reporting requirements.

Pell Grants

Same financial aid awarding process

Federal Work Study

Same current financial aid awarding process

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- (h) The criteria used to select activities for the program/project;

Education Stabilization Funds

For the University of Hawaii at Manoa, the criteria used to select activities was based on Manoa's core teaching mission. The focus was on protecting teaching faculty to the extent possible so that any potential negative impact to undergraduate classes would be mitigated.

For the University of Hawaii at Hilo, faculty expenses within the College of Arts and Sciences were selected. Retention was a major consideration and therefore lecturer positions teaching seven or more credits were identified, rather than tenured faculty. (The College of Arts and Sciences requires the hiring of lecturers to meet student demand.)

For the University of Hawaii Community Colleges, the Education Stabilization (ARRA) funds are being used to retain instructional lecturers at all campuses. With the downturn in the economy, enrollment has increased significantly at all Community College campuses. ARRA funds are being effectively used to retain jobs and stabilize operations while meeting increased student demand and promoting the strategic mission of enhancing student success.

Pell Grants

Same financial aid awarding process

Federal Work Study

Same current financial aid awarding process

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- (i) Efforts made to provide public notice and seek public comment/input or, if public comment/input was not sought, why;

Education Stabilization Funds

Not applicable – the State Fiscal Stabilization Funds have been provided by the U.S. Department of Education to help “stabilize state and local government budgets in order to minimize and avoid reductions in education and other essential public services” and to “help ensure that public institutions of higher learning have the resources to avert cuts and retain educational personnel and staff”. (Source: U.S. Department of Education Recovery Act fact sheet outlining impact of ARRA funding on Hawaii)

Pell Grants

Not applicable.

Federal Work Study

Not applicable.

- (j) Efforts made during the bidding/award process to ensure that it was transparent and that the funds were awarded based on merit and in a prompt, fair, and reasonable manner;

Education Stabilization Funds

Transparency was inherent in the process set by the U.S. Department of Education with regards to the Governor’s application for the State Fiscal Stabilization Funds.

Pell Grants

Not applicable.

Federal Work Study

Not applicable.

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- (k) Measures employed to: (1) reduce duplication of efforts, (2) ensure that funds were used for authorized purposes, and (3) prevent cost overruns, fraud, waste, error, and abuse;

Education Stabilization Funds

At the campus level, the University will be utilizing the funds to replace funds cut from our operating budget; the money will be used for salaries for positions that we otherwise would not have been able to retain. The process of identifying positions, monitoring expenditures, reviewing payroll reports, etc. will be administered by the central fiscal office for each campus.

The University's Central Offices (University Budget Office, Office of Research Services, General Accounting and Loan Collection, Information Technology Services) are currently coordinating the establishment and testing of the measures relating to the expenditure of these funds. The process will incorporate current University controls for federal funds, including the establishment of budgets for each V-fund account which will not allow expending over the budget amount, approval of V-fund expenditures and FTE certifications by the appropriate campus fiscal officers, etc.

Pell Grants

Not applicable.

Federal Work Study

Not applicable.

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- (1) Current status of the program/project, including percentage of awarded funds that have been obtained, percentage of awarded funds encumbered and/or expended, and what part(s) of program/project have been completed; and

Education Stabilization Funds

As of November 13, 2009:

Memorandum of Agreement between the Governor, DOE and UH was signed on October 6, 2009.

0% of awarded funds have been obtained.

0% of awarded funds have been encumbered and/or expended.

The following deliverables have been completed:

- DOE, UH, and DLIR establish inter-agency agreement to share longitudinal student and institutional data. [MOA executed October 13, 2009]
- UH, together with DOE, will report and publish annually college and career readiness indicators by school on a public website. [Hawai'i P-20, UH and DOE issued first annual College and Career Indicators report on August 20, 2009. The report is available on the Hawai'i P-20 website: http://www.p20hawaii.org/indicators_report.html]

The following deliverables are in process:

- UH will support DOE's development of a report analyzing Hawaii's competitiveness for the U.S. Department of Education's Race to the Top competition. [Grant application for RTTT due January 19, 2010]
- UH will submit, via DOE, an application for U.S. Department of Education Statewide Longitudinal Data Systems grant competition for resources to support development, use and maintenance of a statewide inter-agency longitudinal data system. [Grant application due December 4, 2009]
- UH will participate with DOE and DBEDT to identify achievement gaps—internal and external—for community review and future incorporation in departmental strategic and operational plans.

Pell Grants

Federal Pell grants are awarded year-round.

Federal Work Study

Not applicable.

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- (m) Actual or anticipated economic impact to the State of the program/project, including the number of jobs saved/created and the long-term public benefits of the program/project.

Education Stabilization Funds

The estimated number of jobs saved at the University due to the availability of Education Stabilization funds is approximately 206 FTE (as of October 31, 2009, based on preliminary listings).

The long-term public benefit is that Hawai'i's residents will have the opportunity to receive a world class education that prepares them for participation in a global economy. Hawai'i's graduates will be competitive in a global economy, and Hawai'i's public education systems will develop among its graduates the human skills, creativity and capacity to innovate which are the sources of future growth for Hawai'i's economy. By 2025, 55% of Hawai'i's working age adults will have a 2 or 4 year college degree so that Hawai'i, through its workforce, will be competitive in the global economy.

Pell Grants

Not applicable.

Federal Work Study

Not applicable.

2. For other programs/projects, if ARRA funds, such as competitive grants, were available for a program/project but were not sought or were denied, please briefly describe why the funds were not sought or why they were denied.

Education Stabilization Funds

Not applicable.

Pell Grants

Not applicable.

Federal Work Study

Not applicable.

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3. Please describe:
- (a) Any legal/operational barriers/constraints encountered in the award, receipt, encumbrance, or expenditure of funds, including procurement, late/delayed federal guidance, and reporting requirements;
 - (b) The effect of those barriers/constraints; and
 - (c) If and how they were mitigated.

Education Stabilization Funds

Not applicable.

Pell Grants

Not applicable.

Federal Work Study

Not applicable.

SPECIAL NOTES

Pell Grants

The stimulus bill provided for a \$15.64 billion increase in discretionary Pell Grant funding. It increased the maximum Pell Grant allowable per student by \$500 to \$5350 for 2009-10. The funding is awarded to the student based on financial need, as determined by the FAFSA (see answer to #1 above). Because a student's financial need may change year to year and because the number of student applicants for financial aid may change year to year, it is not possible to exactly attribute any increases in Pell Grant funding to the ARRA stimulus bill.

In academic year 2008-09, there were 9,928 recipients of the Pell Grant, with \$28,392,108 disbursed/paid at the University of Hawaii.

In academic year 2009-10 as of 11/9/09 (keeping in mind that Pell is awarded year-round), there are 11,345 recipients of the Pell Grant, with \$22,860,827 disbursed/paid. We anticipate at least \$48,690,000 will be paid out by June 30, 2010.

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Federal Work Study

The stimulus bill provided for an additional \$200 million for the Federal Work-Study program. However, most of the UH campuses did not see an increase in their Federal Work-Study allocation.

In academic year 2008-09, the University was allocated \$1,695,253 in Work-Study funds.

In academic year 2009-10, the University was allocated \$1,687,335 in Work-Study funds; \$1,392,654 from the original appropriation, and \$294,681 from the ARRA stimulus funds.

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If a question is not applicable please indicate N/A. The information requested under question 1 should be answered under each item for each group/category or program/project. However, Questions 2 and 3 need not be answered for each group/category or program/project.

1. For each group/category or program/project for which ARRA funds have been obtained, please provide the following information:
 - (a) A brief summary of the program/project, including goals;

SPONSORING AGENCY	NUMBER OF AWARDS	GOALS
Department of Energy	1	Research on Distributed Energy Systems
Department of Health & Human Services / National Institute of Health	25	Various research and training related to the following: <ul style="list-style-type: none"> • Allergy & Infectious Diseases • Biomedical Training • Cancer • Cardiovascular Diseases • Child Health Development • Clinical Research • Diabetes, Digestive, Kidney Diseases • General Medicine • Genome • Heart, Lung, Blood • Mental Health • Nursing
National Science Foundation	35	Various scientific research and training related to: <ul style="list-style-type: none"> • Astronomy • Biological and Life Sciences • Marine Science and Oceanography • Physical and Earth Sciences

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Department of Justice	1	Research on Internet and Technology Facilitated Crimes Against Juveniles
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- (b) Whether funds were appropriated for expenditure by a federal agency, were awarded as a formula/block grant to a State or county agency, or were awarded on a competitive grant basis;
All 62 grants summarized above were awarded on a competitive basis.
- (c) Whether matching funds are required, and, if so:
Matching funds are required on three out of the 62 awards.
(1) For two awards, matching is to be provided by a third party or through Revolving funds.
(2) For one award, matching consists of the salaries and related expenses of two General-funded faculty positions and departmental funds over a four-year period, totaling \$679,085.
(i) Are they available; Availability of matching funds depends on the faculty union contract settlement.
(ii) Have they been secured; Securing of matching funds depends upon the results of the final faculty union contract.
(iii) If they have not been secured, why not; and See (ii) above.
(iv) Will the State be required to continue that match or provide increased/full funding in the future; The Institute for Astronomy (University of Hawaii) has committed cost-sharing of \$679,085 over the four-year period ending August 2013.
- (d) If there are additional requirements to receive funds, what are they;
N/A – Grants received on a competitive basis.
- (e) The amount of funds involved and the state/federal fiscal year within which the funds must be expended (e.g. SFY 2009-2010 or FFY 2009-2010);
The 62 awards totaling \$41,990,400 must be expended during the specified award periods ranging from SFY 2009 through SFY 2015.
- (f) What criteria were used to identify the program/project as a priority and how does the program/project meet them;
N/A – Grants received on a competitive basis.
- (g) Efforts undertaken to coordinate application for funds and administration of the program/project, including expenditure of funds, with other federal, state, and county agencies;
N/A – Applications for competitive awards submitted by the University of Hawaii.
- (h) The criteria used to select activities for the program/project;

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N/A – Grants received on a competitive basis. Principal Investigators submit proposals based upon fields of study with approval from Deans / Directors.

- (i) Efforts made to provide public notice and seek public comment/input or, if public comment/input was not sought, why;
N/A – Grants received on a competitive basis.
 - (j) Efforts made during the bidding/award process to ensure that it was transparent and that the funds were awarded based on merit and in a prompt, fair, and reasonable manner;
N/A – Grants received on a competitive basis.
 - (k) Measures employed to: (1) reduce duplication of efforts, (2) ensure that funds were used for authorized purposes, and (3) prevent cost overruns, fraud, waste, error, and abuse;
Policies and procedures, training and accounting controls are in place to ensure the above.
 - (l) Current status of the program/project, including percentage of awarded funds that have been obtained, percentage of awarded funds encumbered and/or expended, and what part(s) of program/project have been completed; and
Of the total \$41,990,400 awards received, less than 1% has been expended. The 62 awards are at various stages of completion.
 - (m) Actual or anticipated economic impact to the State of the program/project, including the number of jobs saved/created and the long-term public benefits of the program/project.
As of 9/30/09, 10.60 FTEs were reported as jobs saved/created.
2. For other programs/projects, if ARRA funds, such as competitive grants, were available for a program/project but were not sought or were denied, please briefly describe why the funds were not sought or why they were denied.
N/A – Competitive grants are announced and approved or denied by the awarding agencies.
3. Please describe:
- (a) Any legal/operational barriers/constraints encountered in the award, receipt, encumbrance, or expenditure of funds, including procurement, late/delayed federal guidance, and reporting requirements; None
 - (b) The effect of those barriers/constraints; and
 - (c) If and how they were mitigated.