Campus Procedure
Intent to Apply for Extramural Funding

Kapiʻolani Community College
Campus Procedures Chapter 12, Extramural Funding (Research & Training)
KP14.401, Intent to Apply for Extramural Funding Procedure

Effective Date: February 11, 2025
Responsible Office: Grants Office (KCC-GO)
Drafted by: Brandon Marc Higa, S.J.D.

I. Purpose

To establish a clear, consistent, and transparent review process for extramural funding proposals at Kapiʻolani Community College. This procedure ensures alignment with institutional priorities, compliance with funding requirements, and efficient coordination of resources.

II. Scope

This procedure applies to all faculty, staff, and administrators submitting proposals for external funding, including grants, contracts, awards, and cooperative agreements.

A. **Principal Investigator (PI) or Project Lead**
This procedure applies to the individual serving as the lead for the proposed extramural activity or project. Generally, the Proposer is designated as the Principal Investigator leading the proposed extramural activity. In accordance with Regents Policy 12.202, eligibility to serve as a Principal Investigator is limited to Board of Regents appointed positions (i.e., executive managerial, APT, faculty). Exclusions include:

1. Temporary employees: Kapiʻolani Community College does not permit adjunct faculty, casual hires, and other temporary employees to serve as Principal Investigators without express permission from the Chancellor.

2. RCUH employees: Kapiʻolani Community College recognizes the essential role of support staff hired through the Research Corporation of the University of Hawaiʻi. RCUH staff may serve as a Proposer for the purposes of this Intent to Apply for Extramural Funding campus policy, but are presently ineligible to serve as a Principal Investigator per RP 12.202.

B. **Extramural Funding Proposals**
This procedure applies to all proposals for external funding with the following exceptions.

1. University of Hawaiʻi Foundation: proposals submitted via the UH Foundation (i.e., not via ORS) are exempt from this procedure.

2. <u>Redistributed UH Funds</u>: funding proposals submitted to the UH System and other UH campuses funded through KFS sub-accounts are excluded from this procedure. Examples include GEAR UP proposals submitted to the UH System P-20 Office, Perkins proposals submitted to the UH Community Colleges System, and IDEAS funds submitted to the University of Hawaiʻi at Mānoa SEED Office.

3. <u>Contracts & Subawards</u>: contractual agreements from local state and municipal agencies funding workforce development training are generally excluded from this procedure.

   a) <u>Federal flow-down agreements</u>: extramural agreements funded via a prime award from a federal agency to the sponsoring entity generally require subsequent flow-down agreements to share the original terms and conditions of a federal award with third parties. In these cases, the Proposer may follow this procedure to seek review of "flow down" clauses subject to a federal funding competition may trigger heightened scrutiny during the ORS review, and it is recommended that this procedure be followed.

4. <u>Non-credit classes (non-extramurally funded)</u>: Non-credit classes that do not involve federal funds where the funds will be deposited into the University's special or revolving fund accounts and provide the contract or agreement.

III. <u>ITA Review Procedures</u>

   A. **Step 1: Idea Discussion with Unit Head and Sponsoring Administrator**

      1. **Initial Concept Development**

         a) The Proposer shall develop the statement of need or statement of proposed work in alignment to Kapiʻolani CC strategic plan and unit priorities.

         b) The Proposer shall assess the institutional resource needs, such as teaching release, space, and other resources required for successful extramural project implementation.

         c) The Proposer shall evaluate how much of the needs can be met within the extramural funds and how much has to be provided by the institutional commitment.

      2. **Consultation with Unit Head (e.g., Department Chair) and Sponsoring Administrator**

         a) The Proposer shall meet with their unit head and appropriate administrator(s) responsible for their unit (Sponsoring Administrator) well in advance of the proposal deadline.

b) The Proposer and Supervisor shall discuss the institutional commitments needed, including teaching release, space, and other support, and align these with the potential benefits of the grant to the institution.

c) The Proposer may gain preliminary support and gather input on potential challenges and opportunities related to the proposal. The Supervisor may provide preliminary approval for the Proposer to move forward with the Intent to Apply.

B. **Step 2: Submission of Intent to Apply & Review by KCC-GO**

1. **Collaboration with KCC-GO (Grants Office)**

a) The Proposer shall work collaboratively with the KCC-GO to prepare the Intent to Apply for Extramural Funding form. The Proposer may seek clarification on information requested that may factor into the campus review.

b) KCC-GO shall ensure that all required information is accurate and complete in the Proposer's Intent to Apply for Extramural Funding submission.

c) The Proposer may consult KCC-GO to complete all required fields in the Intent to Apply for Extramural Funding form.

2. **Submission of the Intent to Apply**

a) The Proposer shall submit the completed Intent to Apply for Extramural Funding form for the formal review process.

b) The Proposer shall make sure the form is as detailed and accurate as possible to assist the review and to minimize further questions.

C. **Step 3: Supervisory Review**
Proposer's supervisor reviews the request to verify alignment with the criteria set forth in Section III.C.

D. **Step 4: Sponsoring Administrator Review**
Upon Supervisory approval, the Sponsoring Administrator shall review the Intent to Apply for Extramural Funding based on the criteria set forth in Section III.C. The Sponsoring Administrator conducts a preliminary review to determine whether or not to release the proposal for a formal presentation at an upcoming Executive Leadership Team meeting.

1. **Review Process**

a) The Sponsoring Administrator shall review the Proposer's Intent to Apply for Extramural Funding submission and provide comments

along with a decision on whether to approve or deny this request.

b) The Sponsoring Administrator shall confirm that the proposal aligns with institutional priorities and that all commitments (e.g., teaching release, space) are justified and attainable. If not, the Sponsoring Administrator shall work with the Proposer to resubmit a revised form. The Sponsoring Administrator may deny the request and justify to accompany the notice of decision to the Proposer.

2. **Presentation to Executive Leadership Team (ELT)**

a) The Sponsoring Administrator shall schedule the presentation of your Intent to Apply at the next ELT meeting.

b) The Office of the Chancellor shall add the Intent to Apply for Extramural Funding to the ELT agenda for discussion within a reasonable timeframe to ensure adequate time to incorporate revisions to meet ORS and sponsor deadlines. ELT meetings are scheduled weekly. The Proposer may contact the Office of the Chancellor to confirm the ELT meeting schedule.

E. **Step 4: Executive Leadership Team (ELT) Review**
Proposer's ELT representative conducts a preliminary review of the Intent to Apply for Extramural Funding submission with comments provided by the Supervisor, Grants Office, and Proposer. The ELT representative acknowledges the submission to release the proposal details to all ELT members to discuss at an upcoming ELT meeting. Proposer's ELT representative advocates on the Proposer's behalf to determine whether campus leadership supports the proposed extramural program or activity. After the ELT meeting, the Proposer's ELT representative provides a formal recommendation based on the ELT discussion whether to approve the submission for final review by the Chancellor or to send it back for further clarification.

1. **ELT Meeting Discussion**

a) The Sponsoring Administrator shall present the Proposer's Intent to Apply for Extramural Funding to the ELT for feedback, questions, and clarifications.

b) The ELT members shall review the Intent to Apply for Extramural Funding submission prior to the scheduled presentation and be prepared with feedback, questions, and clarifications.

c) The ELT members may raise additional questions or require further clarification before providing a recommendation to the Sponsoring Administrator to approve or deny this submission.

> ## 2. Decision and Approval
>
>> a) The ELT may either approve the proposal for submission, request revisions, or ask for further information before making a final decision.
>>
>> b) If disapproved, the Sponsoring Administrator shall provide a rationale in the Intent to Apply form. The proposer can consider applying again.
>>
>> c) If approved, the Chancellor shall indicate any relevant details in the Intent to Apply for Extramural Funding form in the Chancellor-level approval.
>>
>> d) The Sponsoring Administrator shall formally approve or deny the Intent to Apply for Extramural Funding submission based on ELT's collective decision. The ELT's decision to approve, deny, or return for revisions will be communicated to the Proposer via the Intent to Apply for Extramural Funding workflow.

F. **Step 5: Chancellor Review**
The Chancellor conducts a final review and decides whether or not to approve this extramural activity or program based on the aforementioned factors, in addition to comments from prior reviewers. If approved, the final version of the submission will be routed to the Proposer for further consideration of the comments, feedback, and suggestions provided. If denied, the draft routes back to the Proposer with a copy of all reviewer comments.

IV. Review Criteria

Approvers listed in the approval workflow will conduct a campus-level review to ensure the adequacy of resources, alignment with the Strategic Plan (2023-2029) and unit priorities, and overall merits of the proposed extramural program or activity. The reviewers shall conduct their review based on factors stated in UH AP 12.401:

A. **Substance and Merit of the Proposal**
Approvers will evaluate the substance and merit of the proposed program or activity by considering its alignment with the campus and unit's vision of excellence in the relevant discipline(s). Preliminary comments from the Grants Office will inform this assessment. Key factors include the proposal's potential impact, innovation, feasibility, and the qualifications of the principal investigators. Additionally, the proposal should demonstrate a clear plan for achieving its objectives and contributing to the institution's strategic goals.

B. **Alignment with Campus and Department Priorities**
Approvers shall evaluate the proposal's alignment with the campus Strategic Plan and kuleana imperative to Native Hawaiians and indigenous peoples of Hawai'i. Factors for review may include adequacy of student support services, academic appropriateness, desirability, and any other relevant factors. Consideration will also include the proposal's alignment with the unit's strategic planning priorities and its potential to advance departmental goals.

C. **Personnel Commitments**

Approvers shall assess the commitments of faculty and staff effort, including the potential effects on teaching, research, and other obligations. Evaluation will consider the proposer's ability to conduct the proposed activities while maintaining core responsibilities to the unit, as well as the impact on unit staffing. Approvers will also review plans for covering or offsetting duties and responsibilities for all personnel involved in the project.

D. **Adequacy of Resources to Support Proposed Activities**

Approvers shall analyze the availability of extramural funds in relation to the institutional resources required to successfully conduct the proposed program or activity. This includes assessing whether the funding is sufficient to meet the program's objectives without overburdening campus resources.

1. Institutional funding types and availability: Approvers may consult Administrative Services to discuss institutional funding types to determine the availability of funds according to project deliverables and the performance period.

2. Cost-sharing and in-kind: Proposers shall obtain the express commitment of the Chancellor before submitting any proposals involving cost-sharing or in-kind contribution.

E. **Other Resource Needs and Considerations**

Other non-personnel program requirements, such as equipment, facilities, auxiliary services, technology, or other fiscal and administrative needs and arrangements. Availability of unit staffing to provide any requested fiscal and administrative staffing needs

1. Legal services and external agreements: Approvers shall consult the Vice Chancellor of Administrative Services and Chancellor regarding any external agreements, terms, conditions, or other requirements that entail a legal services consultation with the UH Office of General Counsel.

2. Renovations and construction: Approvers shall consult Administrative Services regarding facilities modifications that are subject to approval by the UH Community Colleges System and campus Administrative Services.

3. Facilities use and auxiliary services: Approvers shall consult the Facilities and Auxiliary Services departments regarding the feasibility of proposals requiring a significant commitment of the facilities and auxiliary services staff.

4. External affairs, public information, and dissemination: Approvers shall consult the Chancellor's Office and appropriate units regarding extramural projects with dissemination requirements involving external communications through the campus websites, social media, media outlets, or other complex public information/external affairs services.

V.   Review Timeline
Proposers shall submit the Intent to Apply for Extramural Funding prior to the sponsor's deadline. Although some extramural proposals may be submitted directly to the sponsoring entity without endorsement from the authorized organizational representative at the UH Office of Research Services, Proposers shall contact the Grants Office in those situations to confirm if it is necessary to follow this procedure.

A. **Intent to Apply Submission**
The Proposer shall submit the Intent to Apply for Extramural Funding for review at least 30 calendar days prior to the sponsor deadline to provide the Supervisor and Sponsoring Administrator with reasonable time to complete the review process.

B. **Preliminary Review (KCC-GO)**
Within 5 business days of ITA submission.

C. **PI's Supervisor**
Within 10 business days of ITA submission.

D. **Sponsoring Administrator and ELT Review**
Within 10 business days of receiving the ITA proposal.

E. **UH Internal Deadline (UH Office of Research Services)**
The Proposer and myGRANT approvers shall work collaboratively to ensure extramural proposals reach the UH Office of Research Services five business days prior to the sponsor deadline. KCC-GO shall recommend a submission timeline to ensure that holidays, administrative leave, and other events affecting the internal deadline will be factored in to determine the ORS deadline for submission purposes.

F. **Sponsor Deadline**
The Proposer, Supervisor, and Sponsoring Administrator shall work collaboratively to ensure that extramural proposals approved via this procedure will be submitted in a timely manner to meet sponsor deadlines.

VI.   Delegation of Authority

Workflow approvals must be communicated in writing to the Grants Office prior to its effective date to ensure approval requests for the Intent to Apply for Extramural Funding are programmed prior to routing. Signing authority memoranda does not automatically cover approval authority related to extramural proposal development and extramural activities.

VII.   Contact Information

Grants Office, telephone number (808) 734-9780; and e-mail kccgo@hawaii.edu may be contacted for information relating to this campus policy.

VIII.   References

Regents Policy 12.202, Principal Investigator (eff. Apr. 21, 2016), https://www.hawaii.edu/policy/docs/temp/rp12.202.pdf.

Chapter 12, EP 12.102, Delegation of Authority fo Executive Extramural Research and Training Contracts/Grants, Agreements, and Contract Assignments and Releases (eff. Oct. 2104), https://www.hawaii.edu/policy/?action=viewPolicy&policySection=ep&policyChapter=12&policyNumber=102.

AP 12.401, Procedures for the Preparation and Submission of Proposals to External Sponsors and the Review/ Approval Requirements for Sponsored Agreements (eff. Apr. 2017), https://www.hawaii.edu/policy/docs/temp/ap12.401.pdf.

UH Community Colleges Policies & Procedures: None.

IX.   Exhibits and Appendices

Attachment 1: Intent to Apply for Extramural Funding Form
Attachment 2: Approval Workflow
Attachment 3: Authorized Approvers (Supervisory)

Approved:

Misaki Takabayashi, Ph.D.
Chancellor
Kapiʻolani Community College

Feb 17th 2025
Date

Attachment 1:
Intent to Apply for Extramural Funding Kuali Build Form
https://hawaii.kualibuild.com/form/6751079a24b7ad014ab6d5dd

Proposer details
- **Funding agency and program (weblink can be provided)**
  This would be the entity that intends to award monies (USDOE, USDOL, Hawaiʻi State Government, City and County of Honolulu). If it is a private foundation or funding source, refer to the UH Foundation to determine which entity has jurisdiction over it.

- **Project objectives (bullets)**
  Summarize the extramural activities you are planning. This information will help to identify possible institutional commitments and parties involved. You may contact the KCC-GO team for assistance with developing your response to these sections.

- **Expected outcomes of the project (bullets)**
  Project Implementation Timeline -- when are the anticipated dates you will be implementing the extramural activities? Here, it can include the pre-award and post-award activities and not limit your response to the grant period. For example,

  E.g., faculty-led study abroad program and curriculum development in various arts & sciences courses in academic year 2024-2025.

- **Short description of how the proposal aligns with KCC Strategic Plan 2023-29**
  Summarize the alignment of the extramural activities with campus priorities, including those established in the Strategic Plan, Annual Review of Program Data (ARPD), Comprehensive Program Review (CPR), and Institutional Learning Outcomes (ILOs).

- **Budget (list total Direct Cost, Indirect Cost, Institutional Match)**
  Direct cost is associated with those activities that will be directly financed by the grant. The indirect cost rate is a percentage used to allocate indirect costs, such as administrative or overhead expenses, to specific projects or activities. UH has set amounts for on-campus, off-campus, and federal flow down.

- **Short description of requested commitment of Kapiʻolani resources such as faculty time (e.g., TEs, overload), funds, space, and equipment**
  What institutional commitments are necessary for your extramural activity?
  These may include but are not limited to:
    - Assessment and evaluation, including services provided via OFIE and external evaluators
    - Construction and renovation (development of new spaces)
    - Facilities (use of existing campus spaces)
    - Procurement of goods and services
    - Materials and supplies
    - Personnel - additional staffing (new recruitments)
    - Personnel - existing staffing (release time, overload, temporary assignment)
    - Personnel - general administrative, fiscal, and clerical support
    - Technology (purchase or access to tech requiring CELTT's support)
    - Travel

- **Foreseeable risks**

A foreseeable risk can include, but is not limited to applying for a grant is the potential for rejection due to unmet eligibility criteria, incomplete proposals, or stiff competition. Another risk is could include but not limited to funder administrative errors which may put grant activities at risk if that is a concern of the applicant.

- **Have you discussed the proposal with your department chair and dean (or VC)?**
  It's crucial to discuss the proposal with the department chair and dean (or vice chancellor, if applicable) to ensure that the project aligns with departmental goals, institutional priorities, and available resources. They will also need to know about this proposal beforehand as this will be an item of discussion when they speak at the ELT meeting about this proposal in the ITA form.

- **Sponsoring Administrator's verification that they have discussed the proposal and reviewed the Intent to Apply**
  The Sponsoring Administrator's verification involves confirming that they have reviewed the grant proposal and the Intent to Apply document, ensuring the proposal aligns with institutional policies and objectives. This step ensures that the appropriate administrative support and oversight are in place before submission

- **Chancellor's decision - Approval/Disapproval/Send back for revision**
  The Chancellor's decision involves evaluating the grant proposal and either approving it for submission, disapproving it due to concerns or misalignment with institutional priorities, or sending it back for revision to address specific issues or improve the proposal before resubmission.

- **Automatic communication of the decision back to the proposer**
  Automatic communication ensures the proposer is consistently updated on the status of their application, from the submission of the Intent to Apply to the final decision. These notifications inform the proposer of any required revisions, feedback, or approval, ensuring transparency and timely action throughout the process.

<u>Attachment 2</u>:
Approval Workflow

The purpose of the Approval Workflow is to establish an internal review process to determine whether or not extramural funding proposals should be permitted to the formal proposal development phase. All extramural funding proposals requiring campus commitments and further review by the University of Hawaiʻi System must be reviewed and approved by the Proposer's supervisor and ELT representative.

1. Proposer submits the Intent to Apply for Extramural Funding

2. KCC-GO review for completeness and accuracy of information in alignment with the sponsor's requirements. KCC-GO provides additional information prior to submitting for further review.

   a. KCC-GO Comments
   b. myGRANT proposal

3. Supervisory review
   The proposer's supervisor reviews the proposed extramural activity and decides whether or not to forward it for further review by the ELT representative.

4. ELT representative review
   Proposer's ELT representative conducts a preliminary review of the Intent to Apply for Extramural Funding submission with comments provided by the Supervisor, Grants Office, and Proposer. The ELT representative acknowledges the submission to release the proposal details to all ELT members to discuss at an upcoming ELT meeting. Proposer's ELT representative advocates on the Proposer's behalf to determine whether campus leadership supports the proposed extramural program or activity. After the ELT meeting, the Proposer's ELT representative provides a formal recommendation based on the ELT discussion whether to approve the submission for final review by the Chancellor or to send it back for further clarification.

5. Chancellor review
   The Chancellor conducts a final review and decides whether or not to approve this extramural activity or program based on the aforementioned factors, in addition to comments from prior reviewers. If approved, the final version of the submission will be routed to the Proposer for further consideration of the comments, feedback, and suggestions provided. If denied, the draft routes back to the Proposer with a copy of all reviewer comments.

Attachment 3:
Authorized Approvers

Proposer
Any employee who meets the criteria defined in Section II.A.

Grants Office (KCC-GO) Director
Brandon Marc Higa, S.J.D., Director of Resource Development
Stanford Fichtman, M.A., Assistant Director of Extramural Programs

Supervisory Approvers
Comprised of unit heads listed as voting members of the Chancellor's Advisory Council.

Chancellor's Office
Misaki Takabayashi
Michaelyn Nākoa Hall
Brandon Marc Higa, KCC-GO
Carol Hoshiko, OCET
Misaki Takabayashi, acting director, OFIE
Shea Thompson, director, OIA, HIC
Roy Yamaguchi

Academic Affairs
Nāwaʻa Napoleon, vice chancellor of academic affairs
Karl Naito, director of CELTT
Joyce Tokuda, acting director, LLR

Arts & Sciences
Veronica Ogata, dean
Candy Branson, Social Sciences department chair
Sarah Bremser, Arts & Humanities department chair
Caroline Torres, Languages, Linguistics, and Literature department chair
Nadine Wolff, Math & Sciences department chair

Health Academic Programs
Karen Boyer, interim dean
Saba Kam, Nursing department chair
Jodi Ann Nakaoka, Health Science department chair
Stacey Oho, EMT & MICT department chair
Hilary Hacker, Community Health Education Program (CHEP) coordinator

CTE & BLTCH
Laure Burke, interim dean
Dave Evans, Hospitality department chair
Grant Itomitsu, Culinary Arts department chair
Calvin Tan, Accounting department chair

Student Affairs
Devon Ishii Peterson, interim vice chancellor of student affairs
Michaelyn Nākoa Hall for Kapoʻoloku
Angela Coloretti McGough, Employment Preparation Center

Jerilynn Enokawa, registrar, Kekaulike Information & Service Center
Alissa Kashiwada, non-credit registration manager, Kekaulike Information & Service Center
(KISC)
Shannon Sakaue, counselor, Pahihi Program for Returning Adults
Cathy Wehrman, counselor, Student Parents Program

Administrative Services
Justin Kashiwaeda, interim VCAS (effective January 2025)
Darsh Davé, Human Resources
Wayne Fredericks, Security
Jameson Ramelb, Facilities

AGOs
Kahelelani Cruz, ʻAha Kalāualani
Shawn Ford, Faculty Senate
Susan Pope, Staff Council
Shannon Sakaue, Student Congress faculty advisor

Executive Leadership Team (updated January 14, 2024)
Misaki Takabayashi, chancellor
Michaelyn Nākoa Hall, interim executive director of strategy
Karen Boyer, interim dean of health academic programs
Laure Burke, interim dean of CTE and BLTCH
Carol Hoshiko, dean, Office for Community & Continuing Education
Devon Ishii Peterson, interim vice chancellor of student affairs
Justin Kashiwaeda, interim vice chancellor for administrative services
Nāwaʻa Napoleon, vice chancellor for academic affairs
Veronica Ogata, dean of arts and sciences
Roy Yamaguchi, executive director, Culinary Institute of the Pacific at Diamond Head
Lance Yamamoto, acting vice chancellor of administrative services

FYI Recipients

Business Office
Justin Kashiwaeda, fiscal administrator (appointed as interim VCAS)
Danielle Taguchi, interim fiscal administrator
Shanna Hom, fiscal specialist
Rafaela Delong, fiscal specialist

Human Resources
Darshit Dave
Linda Renio
Hunter Kirihara