



Administrative Procedure Chapter 12, Research
Administrative Procedure AP 12.401, Procedures for the Preparation and
Submission of Proposals to External Sponsors and the Review/ Approval Requirements
for Sponsored Agreements (Note: Previously AP 8.910)
Effective Date: April 2017
Dates Amended: March 2015, August 2012, April 2012, July 1988
Responsible Office: Office of the Vice President for Research and Innovation
Governing Executive Policy: Chapter 12, EP 12.102, Delegation of Authority to Execute
Extramural Research and Training Contracts/Grants, Agreements, and Contract
Assignments and Releases
Review Date: August 2019

I. Purpose

To establish policies and procedures which ensure that University of Hawai'i (UH) proposals and awards for extramurally funded programs are systematically reviewed and processed on a timely basis in accordance with applicable statutes, rules and regulations, UH policies and sound managerial practices.

II. Definitions

No policy specific or unique definitions apply

III. Administrative Procedure

A. Objective

To establish guidelines and procedures for the preparation, review, and submission of proposals to external sponsors and for the review and approval process of sponsored agreements.

B. Applicability

These procedures shall apply to all extramurally funded programs and activities entered into by the UH with the exception of the following:

1. Tuition assistance agreements for military personnel and dependents, and ROTC agreements.

2. Student Financial Aids, Scholarships and Loans program agreements.
3. Non-financial affiliation agreements not related to extramurally funded projects
4. 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 provided the contract or agreement is not for the type of awards listed below:
 - a. Curriculum development projects at any level, including projects involving evaluation of curriculum or teaching methods
 - b. Projects that involve students in community service activities for which they are receiving academic credit (e.g., service learning).
 - c. Activities funded by awards to departments or schools in support of students.
 - d. Dissertation work funded by grants, including grants for travel in relation to a dissertation.
 - e. Upward Bound Program.

C. Procedures

1. Preparation of Proposals

The Principal Investigator (PI)/Project Director (PD) prepares proposal(s) which include(s) the design of the scientific and technical specifications and statement of work (SOW). The PI/PD also develops an overall expenditure plan (budget) which specifies the program funding requirements including Direct Costs and Facilities and Administrative (F & A) Costs (aka indirect costs). Proposal preparation should be initiated by the PI/PD early in advance of the sponsoring agency's deadline to avoid last-minute haste which may result in unintentional errors or omissions. The PI/PD should start early discussions with the department Administrative Officer (AO) or Fiscal Administrator (FA), the Department Chairperson, Chancellor/Dean/Director, or Office of Research Services (ORS), as appropriate, to provide timely notification of the proposed activity and to allow sufficient time for the proper review and consideration of University resources that are required in support of the proposed program or activity.

- a. Assistance in Proposal Preparation

ORS shall provide guidance and assistance in the preparation of proposals. For departments and units who do not have access to administrative or fiscal support, ORS shall supply such assistance in the preparation of proposals.

b. Form and Content

Application forms and instructions for proposal preparation and submission are usually provided by the sponsor and should be followed accordingly. Programs should use the format specified in Attachment 1, "Proposal Format", when applying to those sponsors that do not provide application forms or a guide.

c. Proposal Deadlines

Proposals should be reviewed by the department AO or FA, and approved by the Chairperson and submitted to the Chancellor/Dean/Director. After approval, the proposal shall be submitted to ORS for review and approval at least five business days prior to the sponsor's deadline. Discussion in advance of the deadline for the proposal with all concerned, especially with ORS is encouraged. If the proposal will result in a binding contract upon acceptance by the sponsor, it may be helpful to have drafts of the proposal reviewed by all appropriate parties before it is assembled in final form.

2. Review/Approval and Processing Requirements for Proposals

All proposals to external sponsors must be reviewed and endorsed by the AO or FA and approved by the Department Chairperson, Chancellor/Dean/Director, and ORS via a myGRANT Proposal Development record in accordance with the requirements prescribed below.

The informal transmittal of proposals to sponsors prior to official UH review and approval is strongly discouraged since the UH may not honor obligations resulting from proposals which have not been properly reviewed and authorized.

a. Responsibilities of the Principal Investigator/Project Director

- (1) Ensure that all scientific and technical aspects of the proposed scope of work and the funding requirements for the attainment of program objectives have been identified and properly disclosed, and that all proposed cost sharing/matching commitments (Note: Unless incentives exceed administrative burden, UH highly discourages

voluntary cost sharing.) are available and properly documented. Particular attention shall be devoted to the identification of exposure to risks or potential risks under the proposed project, and to the commitment of UH resources (faculty effort, funds, space, and equipment) to the project.

- (2) Coordinate the creation and completion of a Proposal Development record in myGRANT and the entry of proposals and related information. myGRANT is the electronic grants management system used by the University of Hawaii. Proposals, including required attachments, should be uploaded to myGRANT and routed for all necessary approvals early in advance of the sponsor's deadline for submission.
 - (3) Once completed, submit the myGRANT Proposal Development record for electronic workflow approval by the department FA, the Department Chairperson, and the Dean/Director of each unit when more than one department or college is involved.
 - (4) If the sponsor requires electronic submission, ensure that the myGRANT Proposal Development record is created, proposal and required attachments are uploaded, and electronic approval has been received early in advance of sponsor deadline. If the sponsor requires hard copy submission, also ensure that the appropriate number of copies of the proposal application as required by the sponsor have been properly prepared in accordance with the format and requirements prescribed by the sponsor.
- b. Responsibilities of the Department Administrative Officer (AO) or Fiscal Administrator (FA)
- (1) Review the adequacy and completeness of the proposal and related budget, utilizing the Proposal Preparation Checklist (Attachment 3) as necessary and appropriate.
 - (2) Consult with the PI to understand the program needs and to ensure that all costs are properly identified and realistically estimated in the proposed program budget.
 - (3) Ensure that all cost items included in the proposed budget are consistent with the policies and requirements of the UH and the sponsor.

c. Responsibilities of the Department Chairperson and Chancellor/Dean/Director

(1) Evaluate and approve all aspects of the proposal application for:

- (a) Substance and merit of the proposed program or activity.
- (b) Academic appropriateness, desirability and compatibility with the mission of the unit.
- (c) Commitments of faculty and staff effort and their effects on teaching and other obligations of personnel involved.
- (d) Adequacy of the proposed funding requirements.
- (e) Other non-personnel program requirements such as equipment, special facilities, computer time, and other administrative support needs and arrangements.

(2) Approval of myGRANT Proposal Development record for the PI's proposal shall signify acceptance and assumption of the full responsibility for the administration and fiscal accountability of the proposed research or non-research activity and to provide the necessary resources for the project.

d. Responsibilities of ORS

(1) Final institutional review of all program and academic aspects including the proposed program budget to ensure conformity with UH, State, Federal, and sponsoring agency's policies and procedures, and all applicable laws, rules and regulations. ORS shall consider all items below.

- (a) Completeness of proposal to ensure that all information required by the sponsoring agency is properly provided and in accordance with the prescribed format.
- (b) That proper compliance approvals have been obtained.
- (c) That proper documentation of all items required in the myGRANT Proposal Development record have been provided.

(2) Approve all research, non-research, and special project proposals signifying official UH sponsorship and submit electronic copies of the

proposal(s) to the prospective sponsor. All hard copy proposals are forwarded by the PI to the prospective sponsor.

- (3) Follow up, negotiate, and monitor the proposal's status with the sponsoring agency.

3. Negotiations with Sponsoring Agencies and Revisions to Proposals

ORS is designated as Authorized Organizational Representative (AOR) for all proposals to external sponsors including revisions thereto. Formal negotiations must be administrated through ORS for any and all changes. If any informal discussions or notifications should occur, the PI/PD should advise the sponsoring agency's representative that negotiations must be formalized through ORS. Although preliminary discussions may be appropriate, it should be clearly understood by all parties that sponsored programs can be officially established only after proposal applications and any necessary revisions have been reviewed and approved through the established UH channels.

4. Acceptance of Awards

Contract and grant awards from external sponsors shall be reviewed in accordance with the guidelines prescribed under Attachment 4, "Guidelines for Acceptance of External Awards", and approved in the sequence outlined below. Official notification from sponsors should be directed to ORS for formal acceptance by the UH. If any award notification is inadvertently routed to the PI/PD or department, it shall be immediately forwarded to ORS.

a. ORS shall:

- (1) Review the award notification from the sponsor to ensure that it is in response to an approved UH proposal and that the authorized funding and project period are consistent with the requested program requirements. If the award from the sponsor is not supported by an approved Proposal Development record or is otherwise without official UH sponsorship, ORS shall immediately notify the appropriate Chancellor/Dean/Director and PI and coordinate the necessary corrective action.
- (2) Be responsible for the final institutional review for all business, financial and legal matters pertaining to contracts, grants and cooperative agreements. This includes the review and approval of all terms and conditions relating to the method of financing, payment terms, indemnification and insurance requirements, financial

accounting and reporting, and other administrative or financial management requirements that may be imposed by the sponsor. If the terms and conditions of an award are not acceptable or in conflict with UH policy or governmental laws, rules or regulations, ORS shall specify changes that are acceptable and in the best interest of the UH and shall advise the UH department or unit as appropriate. Changes recommended by ORS shall be made on the award instrument and shall be a condition for award acceptance by the UH.

- (3) In accordance with UH policy, execute all agreements which require legally binding signatures on behalf of the UH.
- (4) Accept and acknowledge grant awards on behalf of the UH and where appropriate, forward executed contracts and agreements to the sponsoring agencies.
- (5) If the award is conditionally accepted, ORS shall forward the original and copies of the award agreement to the sponsor for acceptance and execution and shall follow-up and monitor the status with the sponsor.
- (6) Distribute copies of the fully executed award documents to the PI/PD and FA.
- (7) Report all external awards to the UH Board of Regents on a monthly basis.

IV. Delegation of Authority

There is no administrative procedure specific delegation of authority.

V. Contact Information

Office of the Vice President for Research and Innovation, telephone number: (808) 956-5006; and email uhovpri@hawaii.edu may be contacted for information relating to this Administrative Procedure.

VI. References

Link to superseded procedures: <https://www.hawaii.edu/policy/archives/apm/>

VII. Exhibits and Appendices

- Attachment 1: Proposal Format
- Attachment 2: Sample Proposal Cover Page
- Attachment 3: Proposal Preparation Checklist
- Attachment 4: Guidelines for Acceptance of External Awards

Approved:

Vassilis Syrmos
Vice President for Research and Innovation

Date