I. Purpose

To set forth policy regarding the relationship between the university and RCUH and the board conditions for service ordering university funds to RCUH.

II. Definitions

A. Extramural contracts and grants – Refers to external sponsorship of research, training, or other activities via a contract, grant or other agreement. In the context of this policy, extramural contracts and grants includes Federal formula funds, but excludes student financial aid.

B. Intramural funds – Refers to funds appropriated to the university such as research and training revolving funds (RTRF) and tuition and fee special funds. In the context of this policy, intramural funds excludes general funds.

C. Mandatory cost sharing or matching – Refers to a sponsor imposed requirement to shared or match intramural funds in order to receive sponsor funds under a grant or other agreement.

D. Research or training project – Refers to research, training or other activities that are funded by external contracts and grants or through an application of intramural funds. Examples of intramural funds that are for research and training projects include a formal seed money grant program as well as projects funded by an academic or research units’ appropriated funds such as RTRF or unrestricted gifts toward pilot projects or faculty start-up costs.

E. Service order – A formal request by the university to utilize RCUH services to assist the university in carrying out its instruction, research, training, or public service mission.
F. University funds – Refers to extramural contracts and grants and intramural funds received by the university.

III. Policy

A. The RCUH was established by state statute, in part, to facilitate the research and training efforts of the University of Hawai‘i. It is a corporate body governed by an independent board with members of the university. A statutorily determined number of members comprise the RCUH board. The board chairperson shall assign two UH board members to the RCUH board annually.

B. The university service orders extramural contracts and grants to RCUH. However, RCUH shall not be used to circumvent statutes, board policies, contracts, settlements, or regulations.

C. Service ordering of intramural funds to RCUH shall be for the direct support of research or training projects.

   1. Except for mandatory cost sharing or matching, prior board approval is required for service order of intramural funds for:

      a. Major construction (CIP) and repair and maintenance (R&M) projects in accordance with the threshold delineated in RP 8.201, Section B.1;

      b. Purchase of goods or services in accordance with the threshold delineated in RP 8.201, Section III.E.1; or

      c. Consultant contracts in accordance with the threshold delineated in RP 8.201, Section III.C.1.

D. Extramural proposals and awards must be processed by the university’s office responsible for the administration of research and training grants and contracts. Proposals may not be submitted by or awards made to RCUH on behalf of the university unless the president or president’s designee has made a determination that the research or training project should be processed as an RCUH direct project and RCUH has accepted the responsibility.

E. In the case of intramural funds, requests to service order to RCUH must be received by university officials delegated with approving authority to make such determinations by the president or the president’s designee. Upon receipt, a determination by the university shall be made as to service ordering to RCUH based on this policy.
F. The president or president’s designee shall execute a document of relationship between the university and RCUH delineating the parameters of service to be rendered. This document shall be reviewed periodically and amended as necessary.

G. The president or president’s designee shall submit an annual report to the board summarizing the service orders to RCUH by type and the fees paid to RCUH in consideration for its services and pursuant to the agreement between the university and RCUH.

IV. Delegation of Authority

There is no policy specific delegation of authority.

V. Contact Information

Office of the Vice President for Research & Innovation, 956-5006, syrmos@hawaii.edu

VI. References

A. http://www.hawaii.edu/offices/bor/
B. AP 8.910, Procedures for the Preparation and Submission of Proposals to External Sponsors and the Review/Approval of Sponsored Agreements
C. AP 8.930, Service Orders to the Research Corporation of the University of Hawai‘i
D. AP 8.931, Revolving Fund Service Orders to the Research Corporation of the University of Hawai‘i

Approved:

Approved as to Form:

__________________________  __06/02/2016
S/                               Date
Cynthia Quinn
Executive Administrator and Secretary of the Board of Regents
I. **Purpose**

To set forth policy regarding the establishment of RCUH and its relationship to the university and RCUH and the board conditions for service ordering university funds to RCUH.

II. **Definitions**

No policy specific or unique definitions apply.

A. Extramural contracts and grants – Refers to external sponsorship of research, training, or other activities via a contract, grant or other agreement. In the context of this policy, extramural contracts and grants includes Federal formula funds, but excludes student financial aid.

B. Intramural funds – Refers to funds appropriated to the university such as research and training revolving funds (RTRF) and tuition and fee special funds. In the context of this policy, intramural funds excludes general funds.

C. Mandatory cost sharing or matching – Refers to a sponsor imposed requirement to shared or match intramural funds in order to receive sponsor funds under a grant or other agreement.

D. Research or training project – Refers to research, training or other activities that are funded by external contracts and grants or through an application of intramural funds. Examples of intramural funds that are for research and training projects include a formal seed money grant program as well as projects funded by an academic or research units’ appropriated funds such as RTRF or unrestricted gifts toward pilot projects or faculty start-up costs.

E. Service order – A formal request by the university to utilize RCUH services to assist the university in carrying out its instruction, research, training, or public service mission.
F. University funds – Refers to extramural contracts and grants and intramural funds received by the university.

III. Policy

A. The RCUH was established by state statute, in part, to facilitate the research and training efforts of the University of Hawai‘i. It is a corporate body governed by an independent board separate from members of the university. A statutorily determined number of members of the board also comprise the RCUH board. The board chairperson shall assign two UH board members to the RCUH board annually.

B. The university service orders research extramural contracts and grants to RCUH. However, RCUH shall not be used to circumvent statutes, board policies, contracts, settlements, or regulations.

C. Service ordering of intramural funds to RCUH shall be for the direct support of a research or training projects and shall not include major construction (CIP) and repair and maintenance (R&M) projects, employment of any person in excess of one year, purchases in excess of $500,000 (total value), as a means to supplement existing university contracts or salaries, and contracting of services exceeding $500,000 in total value unless prior board approval is obtained.

1. Except for mandatory cost sharing or matching, prior board approval is required for service order of intramural funds for:

   a. Major construction (CIP) and repair and maintenance (R&M) projects in accordance with the threshold delineated in RP 8.201, Section B.1;

   b. Purchase of goods or services in accordance with the threshold delineated in RP 8.201, Section III.E.1; or

   c. Consultant contracts in accordance with the threshold delineated in RP 8.201, Section III.C.1.

D. No university funds, regardless of source, shall be directed to RCUH or any external agency without being received by the university’s office responsible for the administration of research and training grants and contracts. Extramural proposals and awards must be processed by the university’s office responsible for the administration of research and training grants and contracts. Proposals may not be submitted by or awards made to RCUH on behalf of the university unless the president or president’s designee has made a determination that the research or training project should be processed as an RCUH direct project and RCUH has accepted the responsibility.
E. In the case of intramural funds, requests to service order to RCUH must be received by university officials delegated with approving authority to make such determinations by the president or the president’s designee. Upon receipt, a determination by the university shall be made as to service ordering to RCUH based on this policy.

EF. The board-president or president’s designee shall execute a document of relationship between the university and RCUH delineating the parameters of service to be rendered. This document shall be reviewed annually to allow for periodically amended as necessary.

G. The president or president’s designee shall submit an annual report to the board summarizing the service orders to RCUH by type and the fees paid to RCUH in consideration for its services and pursuant to the agreement between the university and RCUH.

IV. Delegation of Authority

There is no policy specific delegation of authority.

V. Contact Information

Office of the Board of Regent Vice President for Research & Innovation, 956-82435006, borsyromos@hawaii.edu

VI. References

A. http://www.hawaii.edu/offices/bor/
B. AP 8.910, Procedures for the Preparation and Submission of Proposals to External Sponsors and the Review/Approval of Sponsored Agreements
C. AP 8.930, Service Orders to the Research Corporation of the University of Hawai‘i
D. AP 8.931, Revolving Fund Service Orders to the Research Corporation of the University of Hawai‘i

Approved: 

approved as to Form:
Cynthia Quinn         Date
Executive Administrator and Secretary of the Board of Regents