

STATE OF HAWAI'I
UNIVERSITY OF HAWAI'I
SYSTEMWIDE ADMINISTRATION
OFFICE OF THE VICE PRESIDENT
FOR RESEARCH

FUNCTIONAL STATEMENT

INTRODUCTION

The office of the Vice President for Research has systemwide leadership responsibility for planning, developing, and coordinating systemwide research policies and procedures of the University of Hawai'i. Serves as chief research policy advisor to the President and other University executives.

MAJOR FUNCTIONS

- Provides policy leadership and administrative support to system wide and Mānoa campus research institutes and programs. Fosters and monitors inter-campus collaborative research efforts.
- Develops system wide research plans, goals, policy, and objectives in consultation with campus senior executives. Coordinates in consultation with campus senior executives, system wide policies reflecting research priorities and direction.
- Develops system wide research policies and procedures, including long-range and planning studies.
- Develops and maintains an international standard of research excellence. Serves as the University's expert on research policy matters.
- Coordinates and monitors research efforts of statewide concern.
- Monitors and assesses the University's administrative compliance and recommends revisions as necessary.
- Represents the University in system wide policy research issues involving governmental, private, international, and other external agencies.
- Assures efficient and effective financial management of all extramural research and training contracts and grants that are entered into by the University.
- Facilitates and encourages technology transfer and economic development activities by the University on a system wide basis.

UNIVERSITY OF HAWAII
OFFICE OF VICE PRESIDENT FOR RESEARCH

OFFICE OF RESEARCH SERVICES

MAJOR FUNCTIONS

The Office of Research Services (ORS) of the University of Hawai'i (UH) is responsible for assuring efficient and effective financial management of all extramural research and training contracts and grants that are entered into by the University.

ORS, in collaboration with the Research Corporation of the University of Hawai'i (RCUH), is administratively responsible for: review and approval of proposals and offers to extramural sponsors; acceptance of grants, contracts, subcontracts, cooperative agreements and all other extramural agreements on behalf of the UH; negotiation of the award terms and conditions; resolution of disputes and other issues with sponsors; development of systemwide administrative policies and procedures relating to extramurally financed programs; and the provision of training and coordinating services in these matters.

ORS has compliance responsibilities that include: on-going reviews of departmental and systemwide internal controls; coordination of required actions to correct deficiencies; post-audit activities to ensure compliance with federal and state laws and University policies and procedures; coordination and resolution of audit findings and questioned costs with sponsoring agencies; and the provision of counsel and guidance directly to UH executives, administrators, principal investigators, and fiscal staff on all matters relating to extramurally funded programs including the interpretation and application of contract and grant terms and conditions.

In collaboration with RCUH, ORS has accounting and financial reporting responsibilities that include: preparation and issuance of billings and financial reports to sponsors; development and maintenance of the necessary accounting systems and records that comply with federal cost principles and financial management standards; and preparation of the indirect cost and other special analytic studies that are periodically required.

OBJECTIVES

The objectives of the ORS are: to inform faculty of extramural funding programs that are available; perform institutional review and submission of proposals for extramural funding; negotiate and execute awards for extramural projects; provide all central financial management services in support of extramural projects; and exercise necessary oversight to assure full compliance with all laws, regulations and contract provisions.

The services provided by ORS are available to all faculty, programs, departments and institutes throughout the UH system.

ORGANIZATION

All extramurally sponsored research and training funds for the UH are administered by the Office of the Director for Research Services. Related project services and revolving fund and direct project support are administered by the designated section of RCUH.

The Office of Research Services is to be organized into one staff office and four line divisions as follows:

1. General Administration and Systems Management is a staff office that provides technical support services as necessary for the development, improvement and revisions to the Financial Management Information System (FMIS), cost accounting sub-systems, allocation methods, data compilation, and cost estimating/projections used by ORS and RCUH.
2. The Contracts Administration division is responsible for processing all extramurally

funded contracts, grants, and cooperative agreements through the various pre-award, post-award, and close-out phases. These responsibilities also include:

Development, implementation, and maintenance of system controls for administrative management of extramural agreements; the issuance and updating of systemwide administrative procedures relating to contracts and grants management and presentation of periodic workshops and information sessions to familiarize appropriate University personnel on procedural changes and to discuss and resolve problem areas.

Pre-award activities which provide individual faculty members with current information on funding opportunities for their specialized areas; provide reports to the UH administration on extramural funding; and maintain a five-year database on proposals and awards. Also, provides advice to the faculty and fiscal staff on proposal preparation; ensures compliance with the regulations of the granting agency, the Federal and State governments, and the UH; submits the proposal and negotiates the award when appropriate. Reviews, negotiates, and recommends acceptance of contracts and grants, and cooperative agreements; ensures the timely processing and execution of new contracts and grant awards, renewals, and extensions from sponsoring agencies. Maintains files on all proposed and funded projects and provides advice and assistance to the investigators until the projects have been completed.

Post-award activities that include reviews, evaluations and recommendations for the establishment of temporary accounts and advance funding requests, for action on sponsor's prior approval systems (OPAS and IPAS) and indirect cost adjustments.

This division monitors and coordinates the administrative close-out process of extramurally funded research and training contracts and grants and ensures timely submission of required management reports, patent or copyright reports, property inventory reports, scientific and technical reports, and other special reports that may be required by sponsoring agencies.

3. The Sponsored Project Accounting division coordinates the financial reporting, accounting, record maintenance, and cash management requirements of extramurally funded contracts and grants and cooperative agreements. This division:

Develops necessary accounting systems to accommodate financial reporting requirements imposed by the federal government and provides meaningful financial data for the review and evaluation of the financial status federally sponsored programs; is responsible for the maintenance of master files and ensures proper coding and deletion of inactive and terminated accounts; reviews and approves requests for establishment of accounts and provides assistance to fiscal officers in setting up accounting systems and fiscal controls.

Prepares and processes financial reports, billings and vouchers in accordance with contract and grant provisions specified by sponsoring agencies.

Reviews and calculates final indirect cost charges for contracts and grants; initiates adjusting and closing entries and prepares final, financial closing documents.

Maintains contracts, grants, and cooperative agreement accounting records and files including correspondences and related documents.

Reviews, analyzes, and projects cash requirements for all extramurally funded research and training contracts and grants and determines cash drawdown requirements for letter of credit and advance funding agreements.

Coordinates and processes monthly cash advance requests and reimbursements including the reconciliation of cash advances with actual expenditures.

Reviews and monitors overhead income accounts and initiates periodic payments to State Department of Budget and Finance, and UH Research and Training Revolving Fund account.

Maintains and reconciles accounts receivables and advances from sponsors, and prepares fiscal-year end closing and adjusting entries.

4. The Compliance and Field Support division reviews UH business systems such as personnel, procurement and property management, research administration, accounting, and financial reporting to ascertain the adequacy of the UH's financial management systems, internal controls and to ensure strict compliance with federally imposed standards and requirements. It also:

Reviews departmental office records to ensure policies and procedures are adequate to provide reasonable and reliable internal controls of assets, liabilities, revenues, and expenses. Identifies deficiencies, if any, and the cooperative measures necessary to improve effectiveness and efficiency.

Coordinates all functional reviews and audit examinations of federally sponsored programs conducted by ONR, DHHS and independent public accounting firms. Reviews and evaluates audit findings, coordinates the implementation of corrective actions by appropriate units, recommends improvements to established systems and procedures, and coordinates the preparation and submission of audit responses.

Coordinates with the University's internal auditor to ensure external audit requirements imposed by the federal government are met.

Reviews and monitors Research and Training Budget Status Reports and ensures expenditure compliance within funding limitations; reviews and approves cost transfers and adjustments.

Follows up on late accounts receivable for all extramurally funded programs. Provides counsel and guidance to principal investigators and fiscal officers on program administrative matters including the interpretation of contract and grant terms and conditions relating to the reprogramming of project funds, allowability and allocability of costs, and the transfer or subcontracting of project scope to another College or University.

Assigns staff auditors and fiscal personnel on an as-needed basis to UH programs which have no administrative support personnel or programs which require staff augmentation to assure compliance with all laws and regulations.

5. The Cost Studies and Rate Analysis division coordinates and performs analytical studies relating to computation of federal and indirect cost rates, and other special studies as required. It establishes policies for proper accounting treatment and allocation of costs and must monitor and revise the UH Disclosure Statement as necessary to comply with federal regulations. The functions of this division include:

This division prepares the annual indirect cost rate proposal for the UH; coordinates the audit review process by the Division of Cost Allocation (DCA) and the Department of Health & Human Services (DHHS) and assists in the negotiations of

rates. Assures rate development process is appropriate, equitable, and in compliance with applicable federal regulations and directives. Reviews, analyzes, and coordinates the submission of annual financial reports and proposed rate schedules to cognizant federal agency for review and approval; and coordinates the audit review process by DCA.

This division also prepares the annual Research and Training Revolving Fund reports to the Governor and the legislature on the impact of these funds.

In addition to these four functional divisions, the Director of Research Services is the UH official authorized to approve certain changes on behalf of the Public Health Service and the National Science Foundation for funded projects at the UH and his office is responsible for maintaining the documentation for audits.

**STATE OF HAWAII
UNIVERSITY OF HAWAII
VICE PRESIDENT OF RESEARCH
OFFICE OF TECHNOLOGY TRANSFER
AND ECONOMIC DEVELOPMENT**

FUNCTIONAL STATEMENT

Facilitate and encourage technology transfer and economic development activities by the University of Hawaii on a system wide basis.

- Ensure the efficient and effective commercial transfer of the University's intellectual property and resources to the public and private sectors of the community-at-large.
- Market, promote and license University-owned intellectual property to generate revenues for the support of the University's technology transfer and economic development programs.
- Facilitate economic development through the education, training and research missions of the University.
- Support and nurture the creative and innovative use of science and technology to solve human problems.
- Work to broaden statewide public access to University-based technology, technical and scientific expertise, information and technical assistance programs by the citizens of Hawaii.
- Promulgate and administer University policies to assist our faculty, students and the community-at-large achieve the goals as described in the five functional statements listed above.

Program and Administrative Functions

**Intellectual Property and Technology Licensing and
Economic Development and Outreach, Marketing and Education Program**

Intellectual Property and Technology Licensing Function

- Implement the University's Patent, Copyright and Technology Licensing Program including the day-to-day administration of the University Patent and Copyright Policy.
- Support the University's technology transfer programs.
- Work with the academic, business, and government communities on issues that deal with technology transfer and intellectual property.
- Advise and support the University Patent and Copyright Committee (PCC), a system wide committee by:
 - Analyzing the technical and scientific merit and economic feasibility of invention disclosures submitted by University employees.
 - Providing technical support to determine ownership of intellectual property developed at the University.
 - Developing recommendations to the President for the retention or release of intellectual property rights.
- Support related activities that contribute to the efficient operation of the office.

- Actively support the program goals of the office and the University of Hawaii.

Economic Development and Outreach, Marketing and Education Program

Economic Development

- Develop and implement Business and Economic Development support programs and activities to stimulate the economic development of the state.
- Work with local economic development organizations and the business community to channel University resources to resolve the problems of businesses and participate with local, state, and federal agencies in various economic development activities.
- Provide assistance to faculty entrepreneurs in the creation of new business enterprises based on the commercial application of University licensed intellectual property.
- Support related activities that contribute to the efficient operation of the office.
- Actively support the program goals of the office and the University of Hawaii.

Outreach, Marketing and Education

- Coordinate outreach activities to stimulate public awareness and understanding of new developments in science and technology.
- Develop and implement marketing and promotional programs and strategies to generate interest in the commercial application of University-owned intellectual property.
- Develop and coordinate outreach programs to attract potential students to careers in science and technology.
- Support related activities that contribute to the efficient operation of the office.
- Actively support the program goals of the office and the University of Hawaii.

ADMINISTRATIVE AND FISCAL SERVICES

- Provide administrative, fiscal, and logistical support for the various programs and general operation of the Office of Technology Transfer and Economic Development.
- Provide for the preparation, processing, and accounting of all business transactions, including personnel and contract administration.
- Provide for the day-to-day management of the Discoveries and Inventions Revolving Fund including the operation and maintenance of a short-term cash investment plan, the receipt and distribution of royalty and technology licensing revenues, and the preparation of financial statements and management reports.
- Administer and manage off-campus facilities which are leased or assigned to the University in the Manoa Innovation Center and the Maui Research and Technology Center.
- Provide for program development, long-range planning, and executive policy development.
- Actively support the program goals of the office and the University of Hawaii.