

STATE OF HAWAII
UNIVERSITY OF HAWAII
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.

STATE OF HAWAII
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SYSTEMWIDE ADMINISTRATION
OFFICE OF VICE PRESIDENT FOR RESEARCH
OFFICE OF RESEARCH SERVICES

FUNCTIONAL STATEMENT

INTRODUCTION

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

ORS 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.

Furthermore, ORS is responsible for ensuring that all contracts and grants are in compliance with funding agency policies by providing oversight and monitoring functions 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.

ORS has overall financial reporting responsibilities that include: billing and financial reporting to sponsors; developing and maintaining necessary accounting systems and records that comply with federal cost principles and financial management standards; and preparing indirect cost and other special analytic studies that are periodically required.

MAJOR FUNCTIONS

Office of the Director plans, directs and manages system wide research support services. Functional responsibilities include:

- Creating the vision for system wide research support services and providing leadership to develop long- and short-range strategic planning for effective research service programs to ensure responsive and quality services to the research community system wide;
- Interpretation and application of federal laws and regulations and governing contract and grants as well as all other terms and conditions imposed by a sponsor;
- Making recommendations to the Vice President and other University Executives on system wide sponsored research administration policies, procedures and practice;
- Implementing and enforcing federal, state and Board of Regents policies and procedures as they apply to sponsored research administration;
- Directing research support services through subordinate level subject matter experts;
- Ensuring compliance with federal, state, funding agency, and University rules, regulations, policies and procedures; overseeing research financial

management support systems and the system of internal controls to meet federal criteria and external audit standards;

- Signing on behalf of the University research and training contracts and grants;
- Negotiating with federal agencies regarding overhead rates, implementation procedures and compliance requirements;
- Assisting auditors in the conduct of scheduled and non-scheduled audits and initiating appropriate remediation actions for audit findings;
- Advising the Vice President for Research and other University Executives on research support services in between the University and RCUH;
- Collaborating with faculty researchers to establish communication network (i.e. ORS Advisory Council) for the dissemination of essential grant management information.
- Planning periodic training in research administration to all research personnel at all university campus and programs.

Administrative Operations Unit collects, manages and reconciles projects accounts receivable and provides administrative support services relating to fiscal and personnel transactions support for ORS. Functional responsibilities will include:

- Collecting, managing and reconciling multimillion dollars – approximately \$ 6.5 million – receivable accounts of extramurally funded research and training contracts and grants for the entire University system;
- Recording the collection of sponsored projects accounts receivable;
- Reconciling the accounts receivable and preparing the aging management reports;
- Developing the writing off policy and procedure for the uncollectible accounts;
- Develop and Implement effective business process to collect, manage and reconcile receivables;
- Managing the day to day business operations for ORS;
- Overseeing the fiscal and personnel functions of ORS;
- Developing and implementing business and personnel operating procedures for ORS.
- Providing fiscal support services to the Director this include but not limited to budget projection and preparation, financial managerial reports preparation; and budget monitoring;
- Providing administrative support for all the personnel functions including, but not limited to: recruitment; position classification, e.g., preparation of position description and reclassification actions; labor relations; personnel procedures implementation; processing of personnel transactions to include preparation of personnel documents, e.g., PNFs and SF-1s; maintaining and updating the Human Resource Information System; and providing information and assistance regarding employee benefits.

Information Systems Support Unit installs and maintains new system wide grant and contract tracking system, InfoEd, develops, operates sponsored projects accounts receivable system to automate the University billing system for extramurally funds and provides information technology support to ORS staff, and provides eRA helpline support to faculty and staff system wide. Functional responsibilities include:

- Designing and developing adaptations and program customization of the InfoEd software to conform the University requirements and desired functionality;
- Collaborating with InfoEd system users, e.g., researchers, staff, and external agencies, in the identification of necessary program modifications;
- Testing program modification and maintain systems operations;
- Developing the program to covert the data from the existing database (ORSIS) to InfoEd;

- Providing training on the use of InfoEd and eRA administration to the research community;
- Developing and managing ORS web site;
- Providing eRA helpline function for the research community at UH in regard to the technical support for the Grants.gov, and all other eRA tools for the proposals submission;
- Providing technical support to ORS training programs;
- Trouble shooting office computer equipments;
- Establishing, monitoring and maintaining ORS exchange server;
- Planning for future upgrades and system modifications;
- Establishing and maintaining a database for extramurally funded research grants & contracts; preparing research statistic reports for the Board and upper administration; and tracking the status of contract and grants during the process.
- Assisting in implementing a sponsored projects accounts receivable system;
- Graphic design as needed for the training materials;
- Advising research information system and technology tools and upgrade to meet the federal, state and other sponsored agencies requirements.

Contracts & Grants Administration Unit drafts, reviews, and negotiates contracts & Grants between the University and funding agencies for the purposes that contract conform to state and University liability, indemnification and other statutory, regulatory or policy requirements. Functional responsibilities include:

- Drafting, reviewing, and negotiating contracts between the University and funding agencies to ensure conformity with statutory, regulatory, and University policy and procedural requirements;
- Developing, implementing, and maintaining system controls for administrative management of extramural agreements;
- Ensuring compliance with the regulations of the granting agency, the Federal and State governments, and the UH;
- Issuing and updating system wide administrative procedures relating to contracts and grants management;
- Submitting proposals and negotiates provisions of the award, when appropriate;
- Reviewing, negotiating, and making the effective recommendation to accept or reject contracts and grants, and cooperative agreements;
- Ensuring the timely processing and execution of new contracts and grant awards, renewal, and extensions from sponsoring agencies;
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate University personnel on procedural changes and to discuss and resolve problem areas.

Contracts & Grants Administration – Kaka’ako Satellite Service Center is an off-campus satellite center that provides contracts and pre-award research support services, as it relate to research and training conducted by the John A. Burns School of Medicine (JABSOM), the Cancer Research Center of Hawai’i (CRCH), and in the future the Regional Bio-Containment Laboratory. While collaborating with its on-campus counterpart units of Contract and Pre-Awards Administration, the Kaka’ako Center functions independently, reports to the Director ORS and has independent authority, in accordance with parameters set forth by the Director, equivalent to that provide the on-campus Contracts unit chief and Pre-Awards subject matter experts. Functional responsibilities include:

- Drafting, reviewing, and negotiating contracts between the University, in particular JABSOM and CRCH, and funding agencies to ensure conformity with statutory, regulatory, and University policy and procedural requirements;

- Developing, implementing, and maintaining controls for administrative management of extramural agreements for the center;
- Ensuring compliance with the regulations of the granting agency, the Federal and State governments, and the UH;
- Issuing and updating administrative procedures relating to contracts and grants management unique to the center;
- Acting- through delegated authority- as the University's authorized organizational representative to sign and submit proposals and to review post-award modifications for the center;
- Reviewing, negotiating, and recommending acceptance of contracts and grants, and cooperative agreements;
- Ensuring the timely processing and execution of new contracts and grant awards, renewal, and extensions from sponsoring agencies;
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate University personnel on procedural changes and to discuss and resolve problem areas;
- Providing faculty members with current information on funding opportunities for their specialized areas;
- Providing reports to the UH administration on extramural funding as requested;
- Advising faculty and fiscal staff on proposal preparation and submission;
- Maintaining files on all proposed and funded projects and provides advice and assistance to the investigators until the projects have been completed.

Pre-Awards Administration Unit provides pre-award support services to researcher system wide, collaborating with funding agencies on the identification of possible funding opportunities and initiatives, directing investigators to funding opportunity and providing administrative support in the preparation of funding proposals and post awards revision management. Functional responsibilities include:

- Collaborating with funding agencies to identify funding opportunities;
- Serving as subject matter experts and directing faculty members system wide on potential funding opportunities and advising faculty and staff on proposal preparation and submission based on the information on funding opportunities for their specialized areas;
- Reviewing proposals for compliance with federally mandated standards and requirements;
- Identifying deficiencies, if any, and the cooperative measures necessary to remediate deficiencies;
- Reviewing, approving and endorsing post awards revisions management; Coordinating non-financial award documentation to ensure the awards compliance with all terms and conditions of the funding agencies.
- Designing, preparing and maintaining a reporting system to the UH administration on extramural funding;
- Interpreting federal, state, and University guidelines for the director, senior level administrators, faculty and staff in proposal submission;
- Acting- through delegated authority- as the University's authorized organizational representative to sign and submit proposals and to review and authorized post-award modifications;
- Exercising considerable knowledge and expertise in the use of federally-mandated electronic research administration systems;
- Developing, modifying and implementing procedures to ensure University proposals are in compliance with federal, state and university guidelines;
- Keeping abreast of current eRA proposal submission requirements, recommending update and revision on University policy and procedures to meet the Federal Mandates;
- Provide training for research faculty and staff on proposal preparation and submissions.

Compliance Unit monitors the University's compliance with UH business systems; personnel; procurement and property management; research administration; accounting and financial reporting requirements and ascertains the adequacy of the UH's efforts to confirm with federal, funding agency, state, and University policies and procedures. Functional responsibilities include:

- Reviewing financial management systems, internal controls and to ensure strict compliance with federally imposed standards and requirements;
- Reviewing departmental office records to ensure policies and procedures are adequate to provide reasonable and reliable internal controls of assets, liabilities, revenues, and expenses;
- Identifying deficiencies, if any, and the cooperative measures necessary to improve effectiveness and efficiency;
- Coordinating all functional reviews and audit examinations of federally sponsored programs conducted by ONR, DHHS and independent public accounting firms;
- Reviewing and evaluating 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;
- Coordinating the University's internal auditor to ensure external audit requirements imposed by the federal government are met;
- Ensuring expenditure compliance within funding limitations; reviews and approves cost transfers and adjustments;
- Providing 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.
- Ensuring the sub-recipients monitoring policy and procedures are in compliance with A-133 audit.

Projects Fiscal Accounting Unit coordinates the post awards accounting, record maintenance, and cash management requirements of the extramurally funded contracts and grants and cooperative agreements. Under this reorganization each colleges or research unit will have a fiscal team assigned to each unit. Each team comprises of four members - two Fiscal Accounting Specialists - PBB and two Acct Clerks - SR. The assigned team will be the primary support for the specific unit and to be backup support for each other or to other units in the event of the unavailability of the assigned primary support personnel. Functional responsibilities include:

- Reviewing and approving requests for establishment of accounts and provides assistance to fiscal officers in setting up accounting systems and fiscal controls for all the sponsored accounts;
- Preparing and processing financial reports, billings and vouchers in accordance with contract and grant provisions specified by sponsoring agencies;
- Reviewing and calculating final indirect cost charges for contracts and grants; initiates adjusting and closing;
- Maintaining contracts, grants and cooperative agreement accounting records and files including correspondence and related documents;
- Maintaining and reconciling accounts receivables and advances for sponsors, and preparing fiscal-year end closing and adjusting entries;
- Reviewing, analyzing, and projecting 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;
- Coordinating and processing monthly cash advance requests and reimbursements including the reconciliation of cash advances with actual expenditures;
- Reviewing and clearing UH financial system suspense transactions daily;
- Reviewing and clearing RCUH Cash Clearing accounts;

- Reconciling interest due to the Federal Government on advances and requesting and submitting payments to the Federal Government as required;
- Reviewing and approving requests for establishment of accounts and account changes for non-ORS USDA Direct Appropriation accounts and Services Cost Center Accounts;
- Providing assistance to administer close-out process of extramurally funded research and training contracts and grants;
- Assisting A-133 audit as needed.

The Fiscal Accounting unit will be divided into four teams. The assigned team will be the primary support for the specific school/programs. Tentatively the assignments are as follows:

- College of Education, college of Business, ETC, Maui community College, HI commission Nat'l Community Services, Facility management Upward Bound, CLLL, CRDG, ITS, Libraries, School of Law, Student Affairs and other small units will be supported by Position No. 80195, Fiscal Accounting Specialist PBB, Position No. 81263, Fiscal Accounting Specialist, PBB, and Position No. 48521 Account Clerk IV, SR 13 and a temporary position No to be determined Fiscal Accounting Specialist PBA.
- SOEST, Sea grants, IFA, College of Natural Sciences, College of Social Sciences, Hawaii Community College, CCECS, College of Engineering, Kauai community college, SSRI and HIMB will be supported by Position No. 80145, Fiscal Accounting Specialist PBB, Position No. 80147, Fiscal Accounting Specialist, PBB, and Position No. 48524 Account Clerk IV, SR 15, and Position No. 15526 Account Clerk IV, SR 13.
- JABSOM, HCC, KCC, LCC, OTTED, West Oahu, School of Nursing, School of Public health, and CRCH will be supported by Position No. 80138, Fiscal Accounting Specialist PBB, and Position No. Temporary to be determined, Fiscal Accounting Specialist, PBB, and Position No. 48522 and 48523 Account Clerk IV, SR 13.
- CTAHR, School of Architecture, School of Social Work, Waikiki Aquarium, Windward Community College, TIM, HNEI and College of Arts & Humanities and Auxiliary Services will be supported by two temporary Positions No. to be determined, Fiscal Accounting Specialist PBB, and Position No. 31590 and 14020 Account Clerk IV, SR 13.

Projects Financial Services Unit monitors and coordinates the timely submission of all requirements of the project close out of the extramurally funded contracts and grants and cooperative agreements. Under this reorganization, Financial Services unit will coordinate system wide requirement for each extramurally funded project to ensure all the requirements are met based the funding agencies and the project is closed promptly and timely. Functional responsibilities include:

- Developing 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;
- Maintaining master files and ensures proper coding and deletion of inactive and terminated accounts;
- Maintaining and monitoring master files for the projects at the close out stage and provide assistance to fiscal officers and Pls in regard to the project accounts close-out
- Coordinating with projects accounting unit to prepare and process final financial reports, billings and vouchers in accordance with contract and grant provisions specified by sponsoring agencies;
- Administering contracts, grants and cooperative agreement accounting records and files including correspondence and related documents for the close out;
- Reviewing daily reports for distribution and problem resolution;

- Coordinating and assisting with the Fiscal Year beginning and ending with University financial office;
- Advising adjusting entries related with the project close out.
- Coordinating close-out projects with projects fiscal accounting and fiscal operations personnel to ensure all the charges and receivables are reconciled, and all the financial reports and documents are submitted timely;
- Monitoring and coordinating 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;
- Developing, modifying, and updating accounting systems that are implemented on a system wide basis to accommodate research financial reporting requirements imposed by the federal governments and the auditors.
- Assisting in design, development, implementation, and maintenance of computer generated financial management reports;
- Assisting A-133 audit as needed

Cost Studies and Rate Analysis Unit 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. Functional responsibilities include:

- Preparing annual indirect cost rate proposal for the UH;
- Coordinating 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;
- Assuring rate development process is appropriate, equitable, and in compliance with applicable federal regulations and directives;
- Reviewing, analyzing, and coordinating 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;.
- Monitoring Indirect Cost Recovered Accounts and UH Research and Training Revolving Fund account; Reconciling and transferring monthly RTRF allocations to each campus;
- Interpreting applicable rules and regulations and providing technical support to PIs and FOs on cost sharing; Reviewing cost sharing data submitted by fiscal officers;
- Reviewing vacation reserve journal vouchers;
- Calculating unemployment insurance and vacation reserve rates and preparing fringe benefit rates schedules;
- Assisting A-133 audit as needed;
- Preparing the annual Research and Training Revolving Fund reports to the Governor and the legislature.

**STATE OF HAWAI'I
UNIVERSITY OF HAWAI'I
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.