

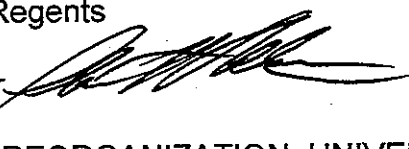


UNIVERSITY  
of HAWAII\*  
SYSTEM

Glenn K. Nakamura  
Interim Budget Director

August 10, 2007

TO: Presley Pang, Interim Executive Administrator and  
Secretary of the Board of Regents

FROM: Glenn Nakamura, Interim Director. 

SUBJECT: NOTIFICATION OF APPROVED REORGANIZATION, UNIVERSITY OF  
HAWAII, OFFICE OF RESEARCH SERVICES

Enclosed for the information of the Board of Regents is a copy of a reorganization approved on April 17, 2007 for the University of Hawai'i, Office of Research Services. The purpose of the reorganization is explained in the accompanying executive summary and proposal narrative.

If there are any questions regarding this matter, please contact Director Yaa-Yin Fong at 956-7800.

Attachment

c: Director Yaa-Yin Fong (w/o attachment)

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Admin Services Bldg 1, Room 101  
Honolulu, Hawai'i 96822  
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**UNIVERSITY OF HAWAII**

Office of Research Services

UNIV. OF HAWAII  
UH BUDGET OFFICE

07 JUL 30 P5:36

**MEMORANDUM**

April 20, 2007

**TO:** Honorable Duke Aiona  
Lieutenant Governor, State of Hawaii

**FROM:** Yaa-Yin Fong   
Director, Office of Research Services

**SUBJECT: NOTIFICATION OF APPROVED REORGANIZATION, UNIVERSITY  
OF HAWAII, OFFICE OF RESEARCH SERVICES**

Enclosed for your files is a copy of a reorganization which was approved by the University for the Office of Research Services. The purpose of the reorganization is explained in the accompanying executive summary.

Should you have any questions regarding this matter, please contact me at 956-7800.

Enclosure

**c:** Georgina K. Kawamura,  
Director, Department of Budget and Finance

Marie C. Laderta  
Director, Department of Human Resources Development

James Gaines  
Interim Vice President of Research

Glenn Nakamura  
Director, Budget Office

Brenna Hashimoto  
Director, Office Human Resources

REORGANIZATION PROPOSAL  
UNIVERSITY OF HAWAII  
OFFICE OF THE VICE PRESIDENT FOR RESEARCH  
OFFICE OF RESEARCH SERVICES (ORS)

EXECUTIVE SUMMARY

In the past five years, the University's extramural funding from all sources has doubled from \$201 million to \$430 million. Continued funding at the current level is likely with the possibility of growth. Coupled with the unprecedented increase in funding, the post Enron-era has given rise to a geometric increase in the complexity of funding agency compliance and reporting requirements, financial and funding agency audit requirements, and federal requirements for electronic grant submission. Responsibility for ensuring compliance with more intense research funding agency and financial audit requirements is the responsibility of ORS.

The purposes of this reorganization are to (1) enhance services to researchers, (2) address issues in critical program areas that have systemwide impact, and most importantly, (3) build adequate infrastructure to support the growth in the University's research enterprise. To achieve these goals, the six existing units (Office of the Director, General Administration, Contract Administration, Sponsored Projects Accounts, Cost Studies and Rate Analysis, and Compliance and Field Services) and their associated staff in ORS will be reorganized into ten units with focused unit functions (Office of the Director, Fiscal Operations, Information Systems Support, Contracts & Grants Administration, Contracts & Grants Administration – Kaka'ako Service Center, Pre-Awards Administration, Compliance, Cost Studies and Rates Analysis, Projects Financial Services, and Projects Fiscal Accounting).

As the systemwide research support office, it is being requested that the leader of each unit be a subject matter expert who will (1) ensure compliance with federal, state and local government rules and regulations as well as University policies and procedures; (2) manage, direct and supervise subordinate journey worker, professional, and clerical personnel assigned to the unit; and (3) design, direct, and implement systemwide administrative and procedural changes necessary to support the research enterprise in their respective functional areas of responsibility.

According to the proposed reorganization, no existing positions will be abolished and all existing staff will continue under their current assignments or be reassigned within ORS. Fifteen positions will be re-described and submitted for position classification reviews; if appropriate, more positions can be reviewed.

Given the critical importance of supporting the University's research enterprise, the Vice President of Research has authorized additional funding from the existing Research and Training Revolving Fund (RTRF), which is intended to provide funding to support research infrastructure at the University. If the requested reclassifications are approved, there will be an estimated additional personnel cost of approximately \$238,466 per year. In addition, \$100,000 in RTRF funds will be needed to accommodate operating needs (e.g., reconfiguration of existing facilities, and installation of modular furniture).

The proposed reorganization has no anticipated adverse impact on faculty, staff, students, or systemwide research support services provided by ORS.

REORGANIZATION PROPOSAL  
UNIVERSITY OF HAWAII  
OFFICE OF THE VICE PRESIDENT FOR RESEARCH  
OFFICE OF RESEARCH SERVICES

**I. Present Organization**

The Office of Research Services (ORS) reports to the University of Hawaii's Vice President for Research. It provides pre- and post-extramural funded grants & contracts administrative services necessary to support sponsored projects systemwide. Currently, the office is organized into four divisions and one staff office that all report to the Office of the Director, ORS.

**Office of the Director** is responsible for planning, directing and managing systemwide research support services. Functional responsibilities include:

- Providing vision and leadership to develop long- and short-range plans for effective research service programs to ensure responsive and quality support to serve the research community at UH system;
- Directing research support services through subordinate level subject matter experts;
- Ensuring compliance with applicable federal, state, funding agency, and University rules, regulations, policies, and procedures;
- Signing research and training contracts and grants on behalf of the University;
- Negotiating University overhead rates with the federal government;
- Implementing policies, procedures and compliance requirements;
- Assisting auditors in the conduct of scheduled and non-scheduled audits and initiating remediation actions as appropriate; and
- Advising the Vice President for Research and other University executives on sponsored research administration and services.

**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. Functional responsibilities include:

- Developing, implementing, and maintaining system controls for administrative management of extramural agreements;
- Issuing and updating of systemwide administrative procedures relating to contracts and grants management;
- Presenting periodic workshops and information sessions to familiarize the appropriate University personnel on procedural changes and to discuss and resolve problem areas;
- Providing current information to researchers on funding opportunities in their specialized areas;
- Providing reports to University administration on extramural funding;

- Maintaining a five-year database on proposals and awards;
- Advising researcher and fiscal staff on proposal preparation;
- Ensuring compliance with the regulations of the granting agency, the federal and state governments, and the University;
- Submitting proposals and negotiating awards as appropriate;
- Reviewing, negotiating and recommending acceptance of contracts, grants and cooperative agreements;
- Ensuring the timely processing and execution of new contract and grant awards, renewals, and extensions from sponsoring agencies;
- Maintaining files on all proposed and funded projects and providing advice and assistance to investigators until the projects are complete;
- Reviewing, evaluating and recommending establishment of temporary accounts and advance funding requests, for action on the sponsor's prior approval systems (OPAS and IPAS) and indirect cost adjustments; and
- Monitoring and coordinating the administrative close-out process of extramurally funded research and training contracts and grants and ensuring 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.

**Sponsored Projects Accounting Division** coordinates the financial reporting, accounting, record maintenance, and cash management requirements of the extramurally funded contracts, grants and cooperative agreements. Functional responsibilities include:

- Developing necessary accounting systems to accommodate financial reporting requirements imposed by the federal government and providing meaningful financial data for the review and evaluation of the financial status federally-sponsored programs;
- Maintaining master files and ensuring proper coding and deletion of inactive and terminated accounts;
- Reviewing and approving requests for establishment of accounts and providing assistance to fiscal officers in setting up accounting systems and fiscal controls;
- 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;
- Initiating closing adjustment entries and preparing final financial documents;
- Maintaining contracts, grants and cooperative agreement accounting records and files, including correspondence and other related documents;
- Reviewing, analyzing and projecting cash requirements for all extramurally funded research and training contracts and grants and determining 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 monitoring overhead income accounts and initiating periodic payments to the State Department of Budget and Finance, and UH Research and Training Revolving Fund account; and
- Maintaining and reconciling accounts receivables and advances for sponsors, and preparing fiscal year-end closing and adjusting entries.

**Compliance and Field Support Division** reviews UH business systems to ascertain the adequacy of the University's internal controls to ensure compliance with federal requirements. Functional responsibilities include:

- Reviewing financial management systems and internal controls to ensure strict compliance with federal 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 measures necessary to improve effectiveness and efficiency;
- Coordinating all functional reviews and audit examinations of federally-sponsored programs conducted by Office Naval Research (ONR), Department of Health and Human Services (DHHS) and independent public accounting firms;
- Reviewing and evaluating audit findings, coordinating the implementation of corrective actions by appropriate units, recommending improvements to established systems and procedures, and coordinating the preparation and submission of audit responses;
- Coordinating with the University's internal auditor to ensure external audit requirements that comply with federal regulations are met;
- Reviewing and monitoring Research and Training Budget Status Reports and ensuring expenditure compliance within funding limitations;
- Reviewing and approving cost transfers and adjustments;
- Following up on overdue accounts receivable for all extramurally funded programs;
- 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; and
- Assigning staff auditors and fiscal personnel on an as-needed basis to UH programs that have no administrative support personnel or to programs that require staff augmentation to assure compliance with applicable laws and regulations.

**Cost Studies and Rate Analysis Division** coordinates and performs analytical studies relating to computation of federal and indirect cost rates, and other special studies. It establishes policies for proper accounting and allocation of costs and monitors and revises the UH Disclosure Statement, as necessary, to comply with federal regulations. Functional responsibilities include:

- Preparing the annual indirect cost rate proposal for UH;

- Coordinating the audit review process by the Division of Cost Allocation (DCA) of the Department of Health & Human Services (DHHS) and assisting in the negotiations of annual indirect cost rates;
- Assuring the rate development process is appropriate, equitable and in compliance with applicable federal regulations and requirements;
- Reviewing, analyzing and coordinating the submission of annual financial reports and proposed rate schedules to the DCA for review and approval and coordinating the audit review process; and
- Preparing the annual Research and Training Revolving Fund reports to the Governor and the legislature on the impact of these funds.

**General Administration and Systems Management Unit** 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. Functional responsibilities include:

- Installing, maintaining and troubleshooting staff computer equipment and software in support of the ORS network;
- Reviewing and analyzing data quality to assure accurate reporting;
- Developing ah-hoc reports and creating custom reports for Web access;
- Maintaining research data base systems;
- Managing applications related to the ORS database;
- Acquiring and maintaining maintenance contracts for all hardware, software and equipment; and
- Maintaining the ORS Web site.

## **II. Proposed Organization**

The purpose of this reorganization is to enhance the service to researchers, to address issues in critical program areas that have systemwide impact, and most importantly, to build adequate infrastructure to support the growth in the University's research enterprise. To achieve this purpose, the six existing units (Office of the Director, General Administration, Contract Administration, Sponsored Projects Accounts, Cost Studies and Rate Analysis, and Compliance and field Services) and their associated staff in ORS will be reorganized into ten units with focused unit functions (Office of the Director, Fiscal Operations, Information Systems Support, Contracts & Grants Administration, Contracts & Grants Administration – Kaka'ako Satellite Service Center, Pre-Awards Administration, Compliance, Cost Studies and Rates Analysis, Projects Financial Services, and Projects Fiscal Accounting).

As the systemwide research support office, it is proposed that each unit be led by a subject matter expert who will ensure implementation compliant with applicable legal, regulations and procedural requirements; who will manage, direct and supervise, and implement changes necessary to support the research enterprise in their respective functional areas of responsibility. In the proposed reorganization, no existing positions will be abolished and most existing ORS positions and associated personnel will be reassigned to one of the new units. As appropriate, existing positions will be submitted for classification reviews.

### **III. Background/Reasons for the Proposal**

In the past five years, the University's extramural funding from all sources has doubled from \$201 million to \$430 million annually. Continued funding at the current level is likely with the possibility of growth. Coupled with the unprecedented growth in funding, the post Enron-era has given rise to a geometric increase in the complexity of funding agency compliance and reporting requirements, financial and funding agency audit requirements, and federal requirements for electronic grant submission. Responsibility for ensuring compliance with more intense research funding agency and financial audit requirements is the responsibility of ORS.

The proposed reorganization recognizes the need for greater professional expertise to meet the burgeoning demands by funding agencies and auditors. In order to facilitate the implementation of the proposed reorganization, rather than wait for legislative authorization for new positions, existing G-funded vacant ORS positions are being reassigned. For example, vacant Position No. 14776, Account Clerk IV, is being reassigned from the former Sponsored Project Accounting Unit to the proposed Information Systems Support Unit. Position No. 14776 will be redescribed to serve as the subject matter expert and unit supervisor. Once reassigned and reclassified, recruitment will be initiated for Position No. 14776 thereby providing an opportunity for all interested employees to apply and be considered.

In addition, a number of vacant clerical positions (e.g., Account Clerk IV, Position No. 48522 to be redescribed as a Fiscal Account Specialist PBA) will be submitted for redescription and conversion from a clerical to a professional position to meeting changing operational and skill set needs. See attached summary matrix of position reassigned and proposed reclassifications.

Finally, the system level administration has authorized the creation of temporary positions to be funded by RTRF funds to support ORS operations. While recognizing that temporary positions are not reflected on official organization charts, an INFORMATION ONLY organization chart has been attached showing the current temporary positions and planned temporary positions that will provide additional staffing support.

ORS is to be organized into ten units: Office of the Director, Fiscal Operations, Information Systems Support, Contracts & Grants Administration, Contracts & Grants Administration – Kaka'ako Service Center, Pre-Awards Administration, Compliance, Cost Studies and Rates Analysis, Projects Fiscal Accounting, and Projects Financial Services. All existing ORS positions and associated personnel will be reassigned to one of the new units. The unit functions and position assignments will be as follows:

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

- Creating the vision for systemwide 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 systemwide;

- Interpreting and applying 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 systemwide sponsored research administration policies, procedures and practices;
- 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 research and training contracts and grants on behalf of the University;
- Negotiating overhead rates with the federal government;
- Developing and implementing policies and procedures to meet compliance requirements;
- Assisting auditors in the conduct of scheduled and non-scheduled audits and initiating remediation actions as necessary;
- Advising the Vice President for Research and other University executives on research support services between the University and RCUH;
- Collaborating with faculty researchers to establish a communication network (i.e. ORS Advisory Council) for the dissemination of essential grant and contract management information; and
- Planning periodic training in research administration for all research personnel at all University campuses and programs.

The following positions will continue to be assigned to the Office of the Director: Position No. 89006, Director of Research Service, Position No. 19369, Secretary III, SR-16 and Position No. 81645, Associated Director of Research, PBD. To meet professional administrative and research support services A new temporary Position Administrative Officer, PBB, will be created to assist the Director with responsibility to provide professional staff support in completing special projects assignments, research data tracking, analysis & reporting, and other duties necessary to support the operations of the Office. Position No. 50041, Clerk-Stenographer III, has been reassigned to the Pre-Award Administration Unit.

**Administrative Operations** collects, manages and reconciles projects accounts receivable and provides administrative support services relating to fiscal and personnel transactions support for ORS.

The collection of accounts receivable is crucial to supporting the University's financial position. Due to the exponential growth in awards and related project accounts, it has become increasingly difficult for Sponsored Projects Accounting to follow-up on delinquent

receivables in addition to their daily responsibilities. For example, the allowance for doubtful accounts has risen from \$4 million to \$6.5 million over the past three years.

If this continues, it will create pressure on the financial system to cover uncollectible accounts. In addition, for proper segregation of duties, the collection and deposit of receivables should be separated from those with the ability to generate invoices. For these reasons, we believe that it is more appropriate and effective to transfer this responsibility to the Fiscal Operations unit from Sponsored Projects Accounting. Functional responsibilities will include:

- Recording the collection of sponsored projects accounts receivable;
- Reconciling accounts receivable and preparing the aging management reports;
- Developing the write-off policy and procedure for uncollectible accounts;
- Developing and implementing effective business processes 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, including budget projections and preparation and monitoring of other financial management reports; and
- Providing administrative support for all personnel functions, including recruitment; position classification; labor relations; personnel procedures implementation; processing of personnel transactions, including preparation of personnel documents; maintaining and updating PeopleSoft; and providing information and assistance regarding employee benefits.

The following existing positions will be reassigned from the Compliance and Field Services Division to the Fiscal Operations Unit: Position No. 80161, Fiscal Accounting Specialist, PBB; Position No. 81885, Personnel Officer, PBB; and Position No. 80180, Administrative Officer, PBB. Currently, the University has an accounts receivable balance of \$6.5 million. Timely collection of receivables is crucial to the University's financial position. Position No. 80161 will be re-described to reflect responsibility for serving as subject matter expert with a particular focus on applying expertise in the collection, management and reconciliation of accounts receivable and for supervising and management subordinate unit personnel responsible for collection of outstanding receivables owed to the University.

**Information Systems Support Unit** installs and maintains a new systemwide grant and contract tracking system (InfoEd), assists in the development of the sponsored projects accounts receivable system to help automate the University billing system for extramural funds, provides information technology support to ORS staff, and provides eRA (electronic research administration) helpline support to investigators and research staff systemwide. Functional responsibilities include:

- Designing and developing adaptations and program customization of the InfoEd software to accommodate the University's 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 modifications and maintaining systems operations;
- Developing the program to convert the data from the existing database (ORSIS) to InfoEd;
- Providing training on the use of InfoEd and eRA to the research community;
- Developing and managing ORS web site;
- Providing electronic research administration (eRA) helpline function to the research community at UH for Grants.gov, Fastlane and all other eRA tools for proposal submissions;
- Providing technical support to ORS training programs;
- Troubleshooting office computer equipment;
- 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 of Regents and University executive offices;
- Assisting in implementing a sponsored projects accounts receivable system;
- Providing graphic design as needed for the training materials; and
- Advising on information system and technology tools for research administration and on upgrades to meet the ever-changing federal, state and sponsoring agency requirements.

The following positions will be reassigned from the former General Administration Unit to the Information Systems Support Unit: Position No. 81982, IT Specialist, PBB will be reassigned. Position No. 14776, Account Clerk IV, SR-13, will be reassigned from the former Sponsored Projects Accounts units and will re-described to serve as both the subject matter expert on information systems design, development and implementation and for the supervision and management of subordinate unit personnel.

One temporary IT Specialist, PBB, Position No. 79946T and one temporary IT Specialist, PBA, Position 79966T currently provide IT support services. Systemwide research IT needs have grown and are expected to further expand due to the mandate for e-submission from the federal government and the demand for electronic databases and connectivity to funding agencies.

**Contracts & Grants Administration Unit** drafts, reviews, and negotiates contracts and grants between the University and funding agencies to ensure that they 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, federal and state governments and with UH policies and procedures;
- Issuing and updating systemwide administrative procedures relating to contracts and grants management in the functional area;
- Submitting proposals and negotiating provisions relating to awards;
- Reviewing, negotiating and making appropriate recommendation to accept or reject contracts, grants and cooperative agreements;
- Ensuring the timely processing and execution of new contract and grant awards, renewals, and extensions from sponsoring agencies; and
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate University personnel on procedural changes and to discuss and resolve problems.

The following existing positions will be reassigned from the Sponsored Projects Accounts Unit to the new Contracts & Grants Administration Unit: Position No. 41987, Clerk Typist II, SR-08 will be reassigned and will be re-described with responsibility for serving both as the unit's subject matter expert on contracts and for the supervision and management of subordinate unit personnel. Position No. 81317, Administrative Officer, PBC will be reassigned from the former Contract Administration Unit and re-described. Positions No. 81259 and 81471, Administrative Officer, PBB will be reassigned from the former Contract Administration Unit to the Contracts & Grants Administration Unit.

**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 relates 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 provided to the on-campus Contracts unit chief and Pre-Awards subject matter experts.

Medical research has unique research administration challenges and the planned concentration of biomedical research units on the Kaka’ako Campus provided the impetus to set up a separate services unit. Several of our mainland counterparts have established separate units or centers to handle medical research/campuses and we believe that such an organizational structure is appropriate for ORS. 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 policies and procedures;
- Developing, implementing, and maintaining controls for administrative management of extramural agreements;
- Ensuring compliance with the regulations and requirements of the granting agency and federal and state governments, as well as UH policies and procedures;

- Issuing and updating administrative procedures relating to contracts and grants management unique to the satellite 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 satellite 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 problems related to the satellite center;
- Providing researchers with current information on funding opportunities for their specialized areas;
- Providing reports to the UH administration on extramural funding as requested;
- Advising researcher and fiscal staff on proposal preparation and submission; and
- Maintaining files on all proposed and funded projects and providing advice and assistance to investigators until the projects are complete.

The Position No. 77464, Administrative Officer, PBB will be re-assigned from the former Contract Administration Unit to the Kaka'ako Satellite Service Center. Additionally, temporary Position No. 77502T, Administrative Officer, PBB has been established and will report to Position No. 77464, which will be re-described to serve as the satellite center's subject matter expert as well as the unit supervisor responsible for supervising and managing subordinate unit personnel.

**Pre-Awards Administration Unit** provides pre-award support services to researchers systemwide, collaborating with funding agencies on the identification of possible funding opportunities and initiatives, directing investigators to funding opportunities and providing administrative support in the preparation of funding proposals and post-award revisions. Functional responsibilities include:

- Collaborating with funding agencies to identify funding opportunities;
- Serving as subject matter experts and directing faculty researchers systemwide on potential funding opportunities and advising researchers and staff on proposal preparation and submission;
- Reviewing proposals for compliance with federal standards and requirements;
- Identifying deficiencies, if any, and the measures necessary to remediate them;
- Reviewing, approving and endorsing post award revisions, and coordinating non-financial award documentation to ensure compliance with all terms and conditions of the funding agencies;
- Providing reports to the UH administration on extramural funding, as requested;
- Interpreting federal, state and University guidelines on proposal submissions for the director, senior level administrators, researchers, and research staff;

- Acting, through delegated authority, as the University's authorized organizational representative to sign and submit proposals and to review and authorize 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 applicable regulations and guidelines;
- Keeping abreast of current eRA proposal submission requirements, recommending update and revision of University policies and procedures to comply with federal requirements; and
- Providing training for investigators and research staff on proposal preparation and submission.

The following positions will be reassigned from the former Contract Administration Unit to the Pre-Awards Administration Unit: Positions nos. 81139, 80581, and 81940, Administrative Officers, PBB and Position No. 15410, Clerk Typist III, SR-10. Position No. 50041, Clerk Stenographer III, SR-11 will be reassigned to the Pre-Awards Administration unit from the Office of the Director. Position no 80808, Administrative Officer, PBB will be reassigned to the Pre-Awards Administration unit from the General Administration unit. Position Nos. 81139, 80581, and 81940, Administrative Officer, PBB will be re-described as subject matter experts with responsibility for contracts and grants relating to research, training, and National Science Foundation respectively. Positions Nos. 81139, 80581, and 81940 will have supervisory responsibilities for subordinate level journey worker professionals Position No. 80808, Administrative Officer, PBB; Position Nos. 77503T, Administrative Officer, PBB; and 77505T, Administrative Officer, PBA respectively.

**Compliance Unit** reviews UH business systems and internal controls to determine the adequacy of the University's efforts to comply with federal, funding agency, state, and University policies and procedures. Functional responsibilities include:

- Reviewing financial management systems and internal controls 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 measures necessary to correct them;
- Coordinating all functional reviews and audit examinations of federally-sponsored programs conducted by Office of Naval Research (ONR), Department of Health and Human Services (DHHS) and independent public accounting firms;
- Reviewing and evaluating audit findings, coordinating the implementation of corrective actions by appropriate units, recommending improvements to established systems and procedures, and coordinating the preparation and submission of audit responses;
- Coordinating with the University's internal auditor to ensure external audit requirements imposed by the federal government are met;

- Ensuring expenditure compliance within funding limitations; reviewing and approving cost transfers and adjustments;
- Conducting site visits as needed to ensure systemwide research programs – system are in compliance with OMB A-133 audit standards;
- 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; and
- Ensuring the sub-recipient monitoring policies and procedures are in compliance with OMB A-133 requirements.

The following positions will be reassigned from the former Compliance and Field Services Unit to the Compliance Unit: Position No. 81389, Fiscal Accounting Specialist, PBB, and Position No. 81017, Fiscal Accounting Specialist, PBC. Position 81389 will be re-described to serve as both the compliance subject matter expert and the supervisor/manager of subordinate unit personnel. Two additional temporary Fiscal Accounting Specialist, PBB, Position nos. 78008T and another yet to be established position, will be assigned to the unit and report to Position No. 81389.

**Projects Fiscal Accounting Unit** coordinates the post award accounting, record maintenance, and cash management requirements of extramurally funded contracts and grants. Under this reorganization each college 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 Account Clerks – SR and/or Fiscal Accounting Specialists - PBA. 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 providing assistance to fiscal officers in setting up project financial 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 the projects;
- 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 determining 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;

- 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 the close-out process for extramurally funded research and training contracts and grants; and
- Assisting in the A-133 audit, as needed.

The following positions will be reassigned from the former Sponsored Projects Accounts Unit to Projects Fiscal Accounting Unit: Position Nos. 81930, 80195, 81263, 80138, 80147 80145 Fiscal Accounting Specialists, PBB, Position Nos. 15526, 48522, 48521, 31590, and 14020 Account Clerk IV, SR-13, and Position No. 48524 Account Clerk V, SR-15. Position No. 81930, Fiscal Accounting Specialist, PBB will be re-described with responsibility for serving as both the unit's subject matter expert on fiscal accounting and for the supervision and management of subordinate unit. Furthermore, the Position Nos. 48521, 31590, 14020, and 48522, Account Clerk IV, SR-13 are to be re-described as Fiscal Accounting Specialists, PBA and will report to Position No. 81930, Fiscal Accounting Specialist, PBB. Three temporary Fiscal Accounting Specialist, PBB positions and two temporary Fiscal Accounting Specialists, PBA will be established and report to Position no 81930, Fiscal Accounting Specialist, PBB.

The Fiscal Accounting unit will be divided into four teams. The direct federal grants/awards under the letter-of-credit (LOC) system will be assigned by the federal LOC sponsors for cash reconciliation purposes, although the assigned team will be the primary support for the specific school/programs. One team leader will be assigned to each team once we fill the vacant positions in the unit. Tentatively the school/college/research unit/departmental assignments are as follows:

- College of Education, College of Business, Employment Training Center, Maui Community College, Hawaii Commission National and Community Service, Facilities Management, Upward Bound, College of Languages Linguistics and Literature, Curriculum Research and Development Group, Information Technology Services, 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.
- School of Ocean Earth Sciences and Technology, Sea Grant, Institute for Astronomy, College of Natural Sciences, College of Social Sciences, Hawaii Community College, College of Continuing Education and Community Services, College of Engineering, Kauai Community College, Social Sciences Research Institute, and Hawaii Institute of Marine Biology 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.
- John A. Burns School of Medicine, Honolulu Community College, Kapolei Community College, Leeward Community College, Office of Technology



Transfer and Economic Development, UH West Oahu, School of Nursing, Office of Public Health Studies, and Cancer Research Center of Hawaii 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, Account Clerk IV, SR 13 and a temporary position No to be determined Fiscal Accounting Specialist PBA.

- College of Tropical Agriculture and Human Resources, School of Architecture, School of Social Work, Waikiki Aquarium, Windward Community College, School of Travel Industry Management, Hawaii Natural Energy Institute, and College of Arts & Humanities and Auxiliary Enterprises 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 required reports at project close out for extramurally funded contracts and grants to ensure all funding agency requirements are met and the project is closed promptly.

In addition to the large number of open accounts that place pressure on the financial system, a renewed interest by the federal government in delinquent reporting by grant recipients has made it necessary to set up a separate unit whose focus is on timely closing of project accounts and submitting required reports. Functional responsibilities include:

- Developing necessary business processes to accommodate financial reporting requirements imposed by the federal government and providing meaningful financial data for the review and evaluation of the financial status federally-sponsored programs;
- Maintaining master files and ensuring proper coding and deletion of inactive and terminated accounts;
- Maintaining and monitoring master files for projects at the close-out stage and providing assistance to fiscal officers and PIs in regard to account close-out activities;
- Coordinating with Projects Fiscal Accounting to prepare and process final financial reports, invoices 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 opening and closing with the University Financial Management Office, General Accounting, and other central offices;
- Advising fiscal officers and/or preparing adjustment entries related with the project close out;
- Coordinating with project fiscal accounting and fiscal operations personnel to ensure all charges and receivables are reconciled and all financial reports and documents are submitted in a timely manner;
- Monitoring and coordinating the close-out process to ensure 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 systemwide accounting systems to accommodate research financial reporting requirements of the federal government and auditors;
- Assisting in design, development, implementation, and maintenance of computer generated financial management reports; and
- Assisting with the annual OMB A-133 audit as needed.

The following position will be reassigned from the former Sponsored Projects Accounts Unit to Projects financial Services Unit: Position Nos. 80206, Fiscal Accounting Specialist, PBC, and 80139, Fiscal Accounting Specialist, PBB, and Position No. 48523, Account Clerk IV, SR-13. Position, 48523, Account Clerk IV, SR- 13 is to be re-described as Fiscal Accounting Specialist, PBA and will report to Position No. 80206. It is planned that two temporary Fiscal Accounting Specialist positions PBB will be established to support the unit's function.

**Cost Studies and Rate Analysis Unit** coordinates and performs analytical studies relating to computation of indirect cost rates, and other special studies as required. It establishes policies for proper accounting and allocation of costs and monitors and revises 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 review process by the Division of Cost Allocation (DCA) of the Department of Health & Human Services (DHHS) and assisting in the negotiations of indirect cost 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 the DCA for review and approval, and coordinating the review by DCA;
- Monitoring Indirect Cost Recovered Accounts and UH Research and Training Revolving Fund account, and reconciling and transferring monthly RTRF allocations to each campus;
- Interpreting applicable rules and regulations and providing technical support to PIs and fiscal officers on cost sharing, and 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; and
- Preparing the annual Research and Training Revolving Fund reports to the Governor and the Legislature.

Position No. 80379, Fiscal Accounting Specialist, PBD, and 81802, Fiscal Accounting Specialist, PBB, will continue to be assigned to the Cost Studies and Rate Analysis Unit with

no change in position functions or supervisor/subordinate reporting relationships. A temporary Position No. 77911T, Fiscal Accounting Specialist, PBA, has been established to support the unit's functions.

#### **IV. Impact on Staffing and Resources**

In recognition of the systemwide support function of ORS and the need to have subject matter experts to provide effective day-to-day management and definitive guidance in the functional areas, fifteen positions will be re-described accordingly:

Position No. 80161, Administrative Officer, PBB – Fiscal Operations Unit;  
Position No. 14776, Account Clerk IV, SR 13 – Information System Support Unit;  
Position No. 41987, Clerk Typist II, SR 08 – Contracts & Grants Administration Unit;  
Position No. 81317, Administrative Officer, PBB – Contracts & Grants Administration;  
Position No. 77464, Administrative Officer, PBB – Kaka'ako Center Unit;  
Position No. 81139, Administrative Officer, PBB – Pre-Awards Administration Unit;  
Position No. 80581, Administrative Officer, PBB – Pre-Awards Administration Unit;  
Position No. 81940, Administrative Officer, PBB – Pre-Awards Administration Unit;  
Position No. 81389, Fiscal Accounting Specialist, PBB – Compliance Unit;  
Position No. 81930, Fiscal Accounting Specialist, PBB – Projects Fiscal Accounting Unit.

Furthermore, in recognition of the need for professional skill set in response to changing reporting and auditing requirements, five Civil Service positions will be re-described as Fiscal Accounting Specialists, PBA: Position no 48523 Account Clerk IV, SR-13 in Projects Financial Services and Positions Nos. 31590, 14020, 48521 and 48522, Account Clerks IV, SR 13 in Projects Fiscal Accounting Unit will be re-described as Fiscal Accounting Specialists, PBA.

If the proposed reclassifications are approved, as requested, there is an estimated additional cost of approximately \$238,466/year associated with the reclassifications. Given the critical importance to support the research enterprise, the University's system level administration has committed the necessary additional funding from existing Research and Training Revolving Funds, which are intended to support the research infrastructure at the University.

There will be no adverse impact on faculty, staff or students or research support services provided by ORS. The proposed reorganization should also clarify operational and reporting relationships within ORS and between ORS and University units and researchers, which will help us attain our stated goals of improving services to researcher and addressing the needs in critical program areas.

It is envisioned that existing facilities will need to be reconfigured to be able to accommodate the proposed changes. The costs to re-configure the existing space (e.g., installation of modular furniture) are estimated at approximately \$100,000, which will be funded with RTRF funds. Existing office space will be reconfigured as necessary to accommodate the reassignment of positions and personnel and any growth in positions. ORS is the only

administrative support office that is nearly 100% recoverable for indirect cost purposes. Thus, a portion of the costs will be recovered through future indirect cost charges to sponsored projects.

**V. Alternatives Considered**

Maintaining the organizational status quo is not a viable alternative, as it would not allow the Vice President for Research and the Director of Research Services to effectuate the necessary changes to address important issues in the specialty areas, meet researchers' needs and accommodate future research enterprise growth.

**Matrix of ORS Positions Effected by the Proposed Reorganization**

<b>Position No.</b>	<b>Position Status</b>	<b>Current ORS Location</b>	<b>Proposed ORS Location</b>	<b>Current Position Classification</b>	<b>Proposed Position Classification</b>
80161	Vacant	Compliance and Field Services	Fiscal Operations	Fiscal Accounting Specialist, PBB	Fiscal Accounting Specialist, PBC
14776	Vacant	Sponsored Projects Accounting	Information System Support	Account Clerk IV, SR 13	Fiscal Accounting Specialist, PBC
41987	Vacant	Contract Administration	Contract & Grants Administration	Clerk Typist II, SR 8	Fiscal Accounting Specialist, PBC
81317	Filled	Contract Administration	Contract & Grants Administration	Administrative Officer, PBB	Administrative Officer, PBB
77464	Filled	Contract Administration	Contract & Grants Administration – Kaka'ako Satellite Service Center	Administrative Officer, PBB	Administrative Officer, PBC
81930	Vacant	Sponsored Projects Accounts	Project Fiscal Accounting	Fiscal Accounting Specialist, PBB	Fiscal Accounting Specialist, PBC
48521	Vacant	Sponsored Projects Accounts	Project Fiscal Accounting	Account Clerk IV, SR 13	Fiscal Accounting Specialist, PBA
48522	Filled	Sponsored Projects Accounts	Project Fiscal Accounting	Account Clerk IV, SR 13	Fiscal Accounting Specialist, PBA
31590	Filled	Sponsored Projects Accounts	Project Fiscal Accounting	Account Clerk IV, SR 13	Fiscal Accounting Specialist, PBA
14020	Vacant	Sponsored Projects Accounts	Project Fiscal Accounting	Account Clerk IV, SR 13	Fiscal Accounting Specialist, PBA
81139	Filled	Contract Administration	Pre-Award Administration	Administrative Officer, PBB	Administrative Officer, PBC
80581	Filled	Contract Administration	Pre-Award Administration	Administrative Officer, PBB	Administrative Officer, PBC
81940	Filled	Contract Administration	Pre-Award Administration	Administrative Officer, PBB	Administrative Officer, PBC
81389	Vacant	Compliance and Field Services	Compliance	Fiscal Accounting Specialist, PBB	Fiscal Accounting Specialist, PBC
48523	Vacant	Sponsored Projects Accounts	Project Financial Services	Account Clerk IV, SR 13	Fiscal Accounting Specialist, PBA

CURRENT

OFFICE OF THE VICE PRESIDENT FOR RESEARCH		
Vice President for Research	89447T^	

STATE OF HAWAII  
UNIVERSITY OF HAWAII  
SYSTEMWIDE ADMINISTRATION  
OFFICE OF THE VICE PRESIDENT FOR  
RESEARCH  
OFFICE OF RESEARCH SERVICES  
POSITION ORGANIZATION CHART

OFFICE OF RESEARCH SERVICES		
Director of Research Services		89006
Secretary III	SR-16	19369
Associate Dir of Research	PBD	81645
Clerk-Stenographer III	SR-11	50041

GENERAL ADMINISTRATION		
IT Specialist	PBB	81982
Admin Off	PBB	80808

CONTRACT ADMINISTRATION		
Admin Off	PBB	81139
Admin Off	PBB	80581
Clk-Typist III	SR-10	15410
Admin Off	PBB	81940
Clk-Typist II	SR-08	41987
Admin Off	PBC	81317
Admin Off	PBB	81259
Admin Off	PBB	77464
Admin Off	PBB	81471

SPONSORED PROJECTS ACCOUNTS		
Fiscal Acctg Sp	PBC	80206
Fiscal Acctg Sp	PBB	81263
Acct Clk V	SR-15	48524
Acct Clk IV	SR-13	15526
Acct Clk IV	SR-13	14776
Acct Clk IV	SR-13	31590
Acct Clk IV	SR-13	14020
Acct Clk IV	SR-13	48521
Acct Clk IV	SR-13	48522
Acct Clk IV	SR-13	48523
Fiscal Acctg Sp	PBB	80195
Fiscal Acctg Sp	PBB	80139
Fiscal Acctg Sp	PBB	80147
Fiscal Acctg Sp	PBB	80138
Fiscal Acctg Sp	PBB	80145
Fiscal Acctg Sp	PBB	81930

COST STUDIES AND RATE ANALYSIS		
Fiscal Acctg Sp	PBD	80379
Fiscal Acctg Sp	PBB	81802

COMPLIANCE AND FIELD SERVICES		
Fiscal Acctg Sp	PBC	81017
Personnel Off	PBB	81885
Admin Off	PBB	80180(.5
Admin Off	PBB	81389
Fiscal Acctg Sp	PBB	80161

^ Excluded from position count, this chart

# CURRENT

## 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.

# CURRENT

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 the 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, renewal, 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 the 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 the 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,



# CURRENT

Maintains contracts, grants and cooperative agreement accounting records and files including correspondence 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 for 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

# CURRENT

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.

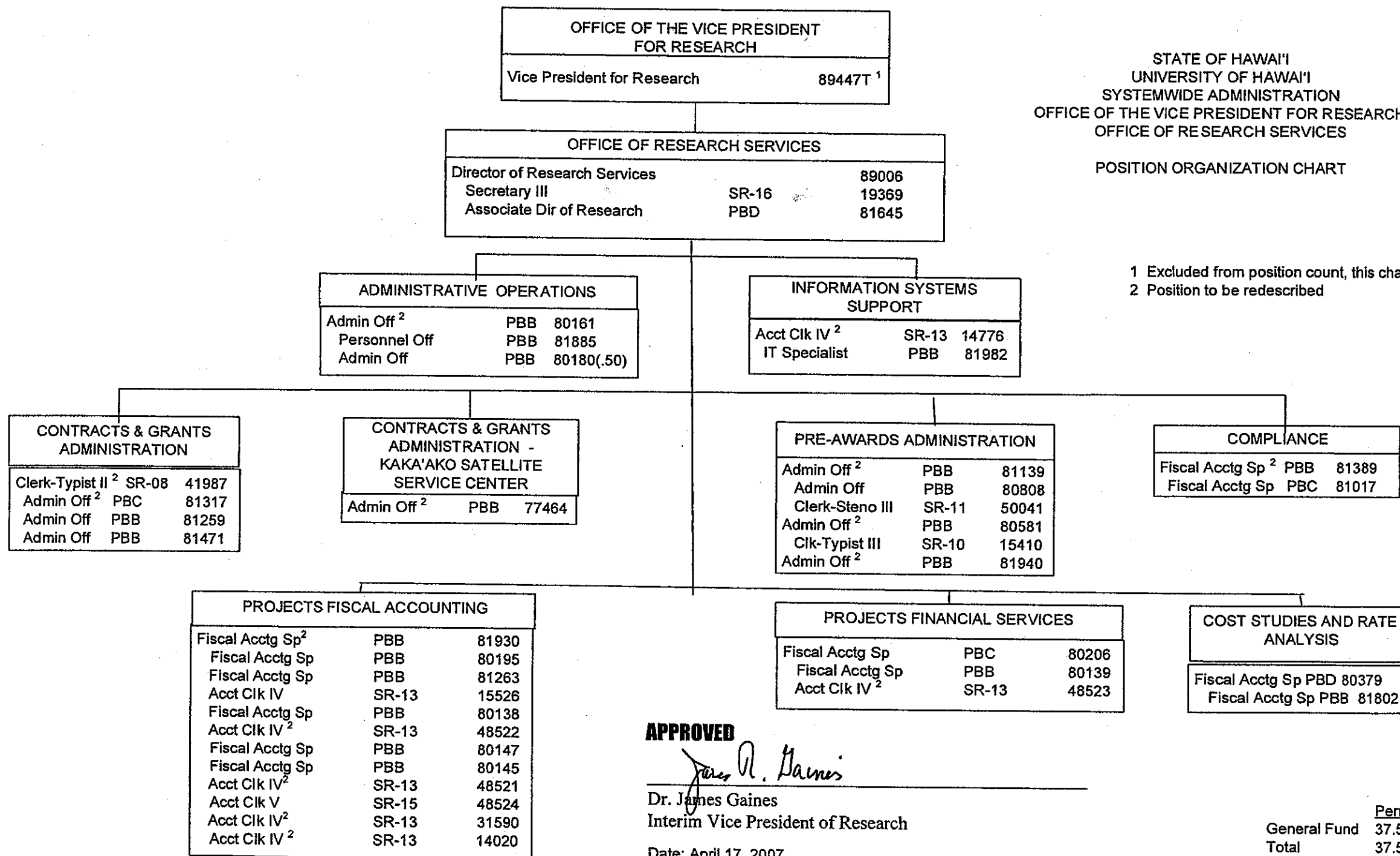
This division also prepares the annual Research and Training Revolving Fund reports to the Governor and the legislature on the impact of these funds.

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  
SYSTEMWIDE ADMINISTRATION  
OFFICE OF THE VICE PRESIDENT FOR RESEARCH  
OFFICE OF RESEARCH SERVICES

POSITION ORGANIZATION CHART

1 Excluded from position count, this chart  
2 Position to be redescribed



**APPROVED**

*James R. Gaines*  
Dr. James Gaines  
Interim Vice President of Research

Date: April 17, 2007

General Fund Perm 37.50  
Total 37.50

## 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 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.

**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 an 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;

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- 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;

## APPROVED April 17, 2007

- 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 in 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;

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- 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 conform with federal, funding agency, state, and University policies and procedures. Functional responsibilities include:

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- 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;



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- 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 PIs 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;

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- 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.