



UNIVERSITY
of HAWAII®
SYSTEM

UNIV. OF HAWAII
UH BUDGET OFFICE

Office of Research Services

14 JUL 23 10:11

July 21, 2014

The Honorable Shan S. Tsutsui
Lieutenant Governor, State of Hawaii
State Capitol
415 South Beretania Street
Honolulu, HI 96813

Dear Lt. Governor Tsutsui:

Enclosed is a copy of the reorganization of the University of Hawaii's Office of Research Services that was approved by the University of Hawaii's Vice President for Research and Innovation on June 30, 2014.

If you have any questions regarding this matter, please contact me at (808) 956-7800.

Sincerely,

A handwritten signature in black ink, appearing to read "Yaa-Yin Fong" with a date "7/21/14" written below it.

Yaa-Yin Fong
Director
Office of Research Services

cc: UH System Budget Office
UH System Human Resources Office
Hawaii Government Employees Union

2440 Campus Road, Box 368
Honolulu, Hawaii 96822
Telephone: (808) 956-7800
Fax: (808) 956-9081

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APPROVED

Vassilis Symos
Vice President for Research and Innovation
June 30, 2014

OFFICE OF THE VICE PRESIDENT FOR RESEARCH AND INNOVATION		
Vice President for Research and Innovation		89538 ¹

OFFICE OF RESEARCH SERVICES		
Director		89006
Admin Svcs Mgr	PBD	81645
Contr & Grants Spc	PBB	79125
Admin Off. Senior	PBB	81798 ¹
Office Asst IV	SR-10	15410

ADMINISTRATIVE OPERATIONS		
Admin Svcs Mgr	PBC	80161
Hum Res Spc Sr	PBB	81885
Adm & Fis Supp Spc	PBA	78836 ¹

INFORMATION SYSTEMS SUPPORT		
IT Manager	PBC	78631
IT Specialist Sr	PBC	78837 ¹
IT Specialist	PBB	81982
IT Specialist	PBD	81777

CONTRACTS & GRANTS ADMINISTRATION - MANOA SERVICE CENTER		
Con & Gnt Spc	PBC	78632
Con & Gnt Sp	PBB	81259
Con & Gnt Sp	PBB	81471
Con & Gnt Sp	PBB	80976 ¹
Adm & Fis Spc	PBA	78639 ¹
Con & Gnt Sp	PBC	80561
Con & Gnt Sp	PBB	80808
Con & Gnt Sp	PBB	81135
Con & Gnt Sp	PBC	81940
Office Asst IV	SR-10	50041

CONTRACTS & GRANTS ADMINISTRATION - KAKA'AKO SERVICE CENTER		
Con & Gnt Spc	PBC	77464
Con & Gnt Spc	PBB	78029
Con & Gnt Spc	PBB	81970
Adm & Fis Supp Spc	PBA	78635

CONTRACTS & GRANTS ADMINISTRATION - WEST O'AHU SERVICE CENTER		
Con & Gnt Spc	PBB	80309 ¹

CONTRACTS & GRANTS ADMINISTRATION - HILO SERVICE CENTER		
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CONTRACTS & GRANTS ADMINISTRATION - MAUI SERVICE CENTER		
Con & Gnt Spc	PBB	81652

COMPLIANCE		
Fiscal Manager	PBD	81389
Fiscal Sp Sr	PBC	81017
Fiscal Spc	PBB	78800 ¹
Fiscal Spc	PBB	77314

PROJECTS FISCAL ACCOUNTING		
Fiscal Manager	PBC	81930
Fiscal Sp	PBB	79156
Fiscal Sp	PBB	80195
Fiscal Sp	PBB	80147
Adm & Fis Supp Sp	PBA	78537
Adm & Fis Supp Sp	PBA	78361
Fiscal Sp	PBB	80136
Fiscal Sp	PBB	80145
Adm & Fis Supp Sp	PBA	78518
Fiscal Sp	PBB	78363 ¹
Adm & Fis Supp Sp	PBA	78836
Fiscal Sp	PBB	80136
Fiscal Sp	PBB	78369 ¹
Fiscal Sp	PBB	81688
Fiscal Sp	PBB	81961

PROJECTS FINANCIAL SERVICES		
Fiscal Manager	PBC	80266
Fiscal Sp	PBB	81263
Fiscal Sp	PBB	78838 ¹
Adm & Fis Supp Sp	PBA	78638

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

- 1 Excluded from position count, this chart
- 2 Manoa Service Center position no. 81317 is on loan to VPRI
- 3 RTRF Funded

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

CHART I

	Perm
General Fund	43.00
RTRF Fund	10.00
Total	53.00

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Vice President for Research and Innovation
June 30, 2014

PROPOSED
STATE OF HAWAII
UNIVERSITY OF HAWAII
SYSTEMWIDE ADMINISTRATION
OFFICE OF VICE PRESIDENT FOR RESEARCH AND INNOVATION
OFFICE OF RESEARCH SERVICES

FUNCTIONAL STATEMENT

INTRODUCTION

The Office of Research Services (ORS) of the University of Hawai'i (UH) is responsible for providing efficient and effective administration and management for all extramural research and non-research 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.

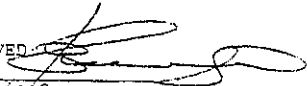
Furthermore, ORS is responsible for ensuring that all contracts and grants are in compliance with funding agency policies by providing oversight and monitoring functions that include: on-going reviews of departmental and systemwide internal controls; coordination of required actions to correct deficiencies; 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. A description of each ORS section follows below.

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 for Research and Innovation and other UH executives on system-wide sponsored research administration policies, procedures and practice;
- Implementing and enforcing federal, state, UH 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;

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June 30, 2014

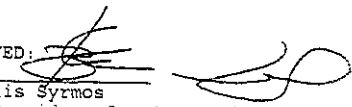
- Signing extramural award contracts and grants on behalf of the UH;
- Negotiating with federal agencies regarding overhead rates, implementation procedures and compliance requirements;
- Assisting auditors in the conduct of scheduled and non-scheduled audits and initiating appropriate remediation actions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

Administrative Operations. Manages and provides administrative support services relating to fiscal and personnel transactions support for ORS. Functional responsibilities include:

- Managing the day-to-day business operations for ORS;
- Overseeing the fiscal and human resources functions of the ORS office;
- Developing and implementing business and personnel operating procedures for ORS;
- Providing fiscal support services to the Director, including, but not limited to, budget projection and preparation; financial managerial reports preparation; and budget monitoring; and
- Providing administrative support for all ORS personnel functions including, but not limited to: payroll; recruitment; position classification (e.g., preparation of position description and reclassification actions); labor relations; implementation of personnel procedures; 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;
- Assisting all sections within ORS with financial, accounting, and facility planning when necessary; and
- Preparing system-wide monthly, quarterly, and annual extramural contract and grants financial reports for ORS Director, UH Executives and Board of Regent.
- Preparing the annual Research and Training Revolving Fund reports to the Governor and the legislature

Information Systems Support Section. Installs and maintains the system-wide grant and contract tracking system, i.e., *myGRANT*, develops system-wide proposal and award statistic reports for ORS Director, UH Executives and Board of Regent 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 Quali-Coeus(*myGRANT*) software to conform the system to university requirements and desired functionality;
- Collaborating with *myGRANT* system users, e.g., researchers, staff, and external agencies, in the identification of necessary program modifications;
- Testing program modification and maintain systems operations;
- Providing training and workshop on the use of *myGRANT* and any sponsor-specific systems to the research community;
- Developing and managing the ORS web site and web reports
- Providing helpline functions for the research community at UH with respect to *myGRANT*, as well as sponsor-specific systems for proposal submission;
- Providing technical support for ORS training programs.

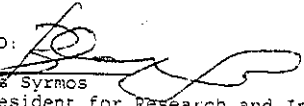
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- Troubleshooting office computer equipment;
- Establishing, monitoring and maintaining the ORS exchange server;
- Planning for future upgrades and system modifications;
- Establishing and maintaining a database for extramurally funded research grants & contracts; preparing research statistic reports for the Board of Regents and upper administration; preparing special reports as requested, and tracking the status of extramural contract and grants;
- Graphic design as needed for e.g., training materials; and
- Advising the Director as to research information system and technology tools and upgrade that may be necessary to meet federal, state and other sponsor requirements.

Contracts and Grants Administration – Manoa Service Center. The Manoa Service Center provides contracts and grants support services to faculty and staff primary at UH Manoa units excluding the units at Kaka'ako Campus; collaborates with funding agencies on the identification of possible funding opportunities and initiatives, directs principal investigators to funding opportunities, and provides administrative support with the preparation of funding proposals and post award management; Drafts, reviews, and negotiates extramural award terms and conditions between the UH and funding agencies to ensure that awards conform to state and university liability, indemnification and other statutory, regulatory or policy requirements. With primary emphasis on the Units at UH Manoa Campus, but also providing support to other university departments and units as needed, 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;
- Advising faculty and staff on proposal preparation and submission based on funding opportunity information for their specialized areas;
- Reviewing proposals for compliance with federal, state, university and sponsor standards and requirements, as applicable;
- Identifying deficiencies, if any, and the cooperative measures necessary to remediate deficiencies;
- Interpreting and providing guidance as to federal, state, and university guidelines for proposal submission;
- Acting - through delegated authority - as the university's authorized organizational representative to sign and submit proposals and to review, approve and endorse post-award requests for 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 applicable proposal submission requirements;
- Making recommendations for update or revision to UH policies and procedures to meet federal or state mandates, or as otherwise may be necessary; and
- Provide training for research faculty and staff on proposal preparation and submission.
- Drafting, reviewing, and negotiating contracts between the UH 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 negotiating award terms and conditions when appropriate;

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- Ensuring the timely processing and execution of new extramural awards, renewals, and extensions received from sponsors, and
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate UH personnel on procedural changes and/or to discuss and resolve problem areas.

Contracts & Grants Administration – Kaka’ako Service Center. Kaka’ako service center provides contracts and grants support services to faculty and staff primary at UH Kaka’ako campus. While collaborating with Manoa Service Center and other service center counterpart, the Kaka’ako Service Center functions independently, reports to the Director of ORS and has independent authority, in accordance with parameters set forth by the Director. With primary emphasis on the John A. Burn School of Medicine (JABSOM) and the University of Hawai’i Cancer Center proposals and awards, but also providing support to other university departments and units as needed, 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;
- Advising faculty and staff on proposal preparation and submission based on funding opportunity information for their specialized areas;
- Reviewing proposals for compliance with federal, state, university and sponsor standards and requirements, as applicable;
- Identifying deficiencies, if any, and the cooperative measures necessary to remediate deficiencies;
- Interpreting and providing guidance as to federal, state, and university guidelines for proposal submission;
- Acting - through delegated authority - as the university's authorized organizational representative to sign and submit proposals and to review, approve and endorse post-award requests for 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 applicable proposal submission requirements;
- Making recommendations for update or revision to UH policies and procedures to meet federal or state mandates, or as otherwise may be necessary;
- Provide training for research faculty and staff on proposal preparation and submission
- Drafting, reviewing, and negotiating contracts between the UH 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;
- Issuing and updating administrative procedures relating to contracts and grants management that may be specific to the Kaka’ako Service Center;
- Submitting proposals and negotiating award terms and conditions, when appropriate;
- Ensuring the timely processing and execution of new extramural awards, renewals, and extensions received from sponsors; and
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate UH personnel on procedural changes and/or to discuss and resolve problem areas


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Contracts & Grants Administration – Maui Service Center. Maui service center provides contracts and grants support services primary to UH faculty and staff located on Maui, as they relate to extramural proposals and awards. While collaborating with Manoa Service Center and other service center counterpart, the Maui Service Center functions independently, reports to the Director of ORS and has independent authority, in accordance with parameters set forth by the Director. With primary emphasis on University of Hawai'i Maui College awards, but also providing support to other university campuses, departments and units as needed, 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.
- Advising faculty and staff on proposal preparation and submission based on funding opportunity information for their specialized areas;
- Reviewing proposals for compliance with federal, state, university and sponsor standards and requirements, as applicable;
- Identifying deficiencies, if any, and the cooperative measures necessary to remediate deficiencies;
- Interpreting and providing guidance as to federal, state, and university guidelines for proposal submission;
- Acting - through delegated authority - as the university's authorized organizational representative to sign and submit proposals and to review, approve and endorse post-award requests for 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 applicable proposal submission requirements;
- Making recommendations for update or revision to UH policies and procedures to meet federal or state mandates, or as otherwise may be necessary;
- Provide training for research faculty and staff on proposal preparation and submission
- Drafting, reviewing, and negotiating contracts between the UH 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;
- Issuing and updating administrative procedures relating to contracts and grants management that may be specific to the Maui Service Center;
- Submitting proposals and negotiating award terms and conditions, when appropriate;
- Ensuring the timely processing and execution of new extramural awards, renewals, and extensions received from sponsors; and
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate UH personnel on procedural changes and/or to discuss and resolve problem areas

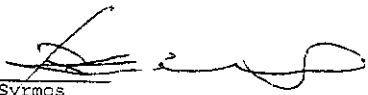
Contracts & Grants Administration – West O'ahu Service Center. West O'ahu service center provides contracts and grants support services primary to faculty and staff located on west O'ahu, as they relate to extramural proposals and awards for the University of Hawai'i West O'ahu and Leeward Community College. While collaborating with Manoa Service Center and other service center counterpart, the West O'ahu Service Center functions independently, reports to the Director of ORS and has independent authority, in accordance with parameters set forth by the

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June 30, 2014

Director. With primary emphasis on University of West O'ahu awards, but also providing support to other university campuses, departments and units as needed, 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;
- Advising faculty and staff on proposal preparation and submission based on funding opportunity information for their specialized areas;
- Reviewing proposals for compliance with federal, state, university and sponsor standards and requirements, as applicable;
- Identifying deficiencies, if any, and the cooperative measures necessary to remediate deficiencies;
- Interpreting and providing guidance as to federal, state, and university guidelines for proposal submission;
- Acting - through delegated authority - as the university's authorized organizational representative to sign and submit proposals and to review, approve and endorse post-award requests for 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 applicable proposal submission requirements;
- Making recommendations for update or revision to UH policies and procedures to meet federal or state mandates, or as otherwise may be necessary;
- Provide training for research faculty and staff on proposal preparation and submission;
- Drafting, reviewing, and negotiating contracts between the UH 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;
- Issuing and updating administrative procedures relating to contracts and grants management that may be specific to the West O'ahu Service Center;
- Submitting proposals and negotiating award terms and conditions, when appropriate;
- Ensuring the timely processing and execution of new extramural awards, renewals, and extensions received from sponsors; and
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate UH personnel on procedural changes and/or to discuss and resolve problem areas.

Contracts & Grants Administration – Hilo Service Center. Hilo service center provides contracts and grants support services primary to faculty and staff located on Hawaii, as they relate to extramural proposals and awards for the University of Hawai'i at Hilo and Hawaii Community College. While collaborating with Manoa Service Center and other service center counterpart, the Hilo Service Center functions independently, reports to the Director of ORS and has independent authority, in accordance with parameters set forth by the Director. With primary emphasis on University of Hawaii at Hilo awards, but also providing support to other university campuses, departments and units as needed, functional responsibilities include:

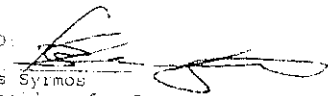
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June 30, 2014

- Collaborating with funding agencies to identify funding opportunities.
- Serving as subject matter experts and directing faculty members system-wide on potential funding opportunities;
- Advising faculty and staff on proposal preparation and submission based on funding opportunity information for their specialized areas
- Reviewing proposals for compliance with federal, state, university and sponsor standards and requirements, as applicable,
- Identifying deficiencies, if any, and the cooperative measures necessary to remediate deficiencies,
- Interpreting and providing guidance as to federal, state, and university guidelines for proposal submission;
- Acting - through delegated authority - as the university's authorized organizational representative to sign and submit proposals and to review, approve and endorse post-award requests for 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 applicable proposal submission requirements.
- Making recommendations for update or revision to UH policies and procedures to meet federal or state mandates, or as otherwise may be necessary;
- Provide training for research faculty and staff on proposal preparation and submission
- Drafting, reviewing, and negotiating contracts between the UH 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;
- Issuing and updating administrative procedures relating to contracts and grants management that may be specific to the Hilo Service Center;
- Submitting proposals and negotiating award terms and conditions, when appropriate;
- Ensuring the timely processing and execution of new extramural awards, renewals, and extensions received from sponsors; and
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate UH personnel on procedural changes and/or to discuss and resolve problem areas

Compliance Section. Monitors the university's administration, finance and research 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 UH policies and procedures. Functional responsibilities include:

- Reviewing financial management systems, internal controls and to ensure strict compliance with federally imposed standards and requirements;
- Reviewing departmental office records to ensure policies and procedures are adequate to provide reasonable and reliable internal controls of assets, liabilities, revenues, and expenses;
- Identifying deficiencies, if any, and the cooperative measures necessary to improve effectiveness and efficiency.
- Coordinating all functional reviews and audit examinations of federally sponsored programs conducted by Office of Naval Research, United States Department of Health and Human Services and independent public accounting firms,

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- 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 audit 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 administrators 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 of university; and
- Ensuring that subrecipient (subaward) monitoring policies and procedures are in compliance with A-133 audit.
- Monitoring the Conflict of Interest and Financial Conflict of Interests policy and procedures to ensure it is in compliance with A-133 and sponsor's requirements.

Projects Fiscal Accounting Section. Coordinates post-award accounting, record maintenance, and cash management requirements of extramurally funded awards. There are two teams, with accountants assigned by Contracts and Grants sponsors. Each team comprises of nine (9) members, one (1) team leader who is responsible for day to day management and eight (8) accountants. Functional responsibilities include:

- Reviewing and approving requests for establishment of accounts and provides assistance to fiscal officers in setting up accounting systems and fiscal controls for all the sponsored accounts.
- Preparing and processing financial reports, billings and vouchers in accordance with contract and grant provisions specified by sponsoring agencies;
- Reviewing and calculating final indirect cost charges for contracts and grants; initiates adjusting and closing;
- Maintaining contracts, grants and cooperative agreement accounting records and files including correspondence and related documents.
- Maintaining and reconciling accounts receivables and advances for sponsors, and preparing fiscal-year end closing and adjusting entries.
- Reviewing, analyzing, and projecting cash requirements for all extramurally funded research and training contracts and grants and determines cash drawdown requirements for letter of credit and advance funding agreements;
- Coordinating and processing monthly cash advance requests and reimbursements including the reconciliation of cash advances with actual expenditures;
- Reviewing and clearing UH financial system suspense transactions daily;
- Reviewing and clearing RCUH Cash Clearing accounts;
- Reconciling interest due to the federal government on advances and requesting and submitting payments to the federal government as required;
- Reviewing and approving requests for establishment of accounts and account changes for non-ORS USDA Direct Appropriation accounts and Services Cost Center accounts;
- Providing assistance to administer close-out process of extramurally funded research and training contracts and grants; and
- Assisting with the A-133 audit as needed.

Projects Financial Services Section. Monitors and coordinates the timely processing of the close out of all extramural awards. The Financial Services unit coordinates 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. The Financial Services Unit monitors, reconciles, and coordinates the

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accounts receivable and collections functions for all the extramural awards 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;
- Recording the collection of sponsored projects accounts receivable;
- Reconciling accounts receivables and preparing aging management reports;
- Developing policies and procedures for the write off of uncollectible accounts;
- Developing and Implementing effective business processes to collect, manage and reconcile receivables;
- Maintaining master files and ensuring the proper coding and deletion of inactive and terminated accounts;
- Maintaining and monitoring master files for the projects at the close out stage and providing assistance to fiscal officers and principal investigators with the close out of project accounts;
- Coordinating with the projects fiscal accounting section to prepare and process final financial reports, billings and vouchers in accordance with contract and grant provisions specified by sponsoring agencies;
- Administering accounting records and files for extramural awards, including correspondence and related documents for close out;
- Reviewing daily reports for distribution and problem resolution;
- Coordinating and assisting with the fiscal year beginning and end with the UH financial office;
- Advising with the adjusting of entries related to project close out.
- Monitoring and coordinating the close out of projects with the projects fiscal accounting section and fiscal operations personnel to ensure all the charges and receivables are reconciled, and all the financial and other reports (e.g., management, patent, copyright, property inventory, scientific, technical or other special reports) and documents are submitted to the sponsor in a timely manner;
-
- 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 with the A-133 audit as needed.

Cost Studies and Rate Analysis Section. Coordinates and performs analytical studies relating to computation of federal and indirect cost rates, and other special studies as required. It also 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 the indirect cost rate proposal for the UH as required;
- 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 that the 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 Preparing the annual indirect cost recovered allocation reports for all campuses as requested Reconciling and transferring RTRF allocations to each campus;
- Interpreting applicable rules and regulations and providing technical support to principal investigators and fiscal administrators on cost sharing;
- Monitoring cost sharing data submitted by fiscal officers;

APPROVED:


Vassilis Syrmos

Vice President for Research and Innovation
June 30, 2014

- Monitoring vacation reserve journal vouchers;
- Calculating unemployment insurance and vacation reserve rates and preparing fringe benefit rates schedules;
- Assisting with the A-133 audit as needed



UNIVERSITY
of HAWAII*
SYSTEM

Office of Research Services

May 6, 2014

Randy Perreira
Executive Director
Hawaii Government Employees Association
888 Mililani Street, Suite 601
Honolulu, Hawaii 96813

Dear Mr. Perreira:

RE: Proposed Revised Reorganization of the University of Hawai'i Office of Research Services (ORS)

Pursuant to Article I, Recognition of the 2013 – 2015 Unit 2 and 8 Agreements and §89-9(c), HRS, the University of Hawaii (UH) hereby transmits to the Hawai'i Government Employees Association (HGEA) a revised reorganization proposal regarding the Office of Research Services (ORS), University of Hawai'i.

As you know, ORS submitted two (2) prior reorganization proposals for HGEA's review. In response to both of these reorganization proposals, we received correspondence and communications from Ms. Lena Fernandes, Field Services Officer, expressing concerns and questions regarding the proposed reorganization.

In reviewing the concerns presented by HGEA, we recognized that our reorganization proposals would benefit from additional clarification and information. As such, we have prepared another reorganization proposal which serves as a replacement to all previously submitted versions. We believe the attached reorganization proposal aptly addresses the questions and concerns previously communicated to us by HGEA.

If you wish to meet on the proposed reorganization of the Office of Research Services, please contact Russell Chun at 956-7969 or via email at russell@hawaii.edu to schedule a consultation meeting. Otherwise, I would appreciate any comments you or your organization may have in regards to this proposal.

Thank you for your time and consideration.

Sincerely,

A handwritten signature in black ink, appearing to read "Yaa-Yin Fong".

Yaa-Yin Fong
Director of Research Services

Attachments

cc: Russell Chun

2440 Campus Road, Box 368
Honolulu, Hawai'i 96822
Telephone: (808) 956-7800
Fax: (808) 956-9081

An Equal Opportunity/Affirmative Action Institution

**REORGANIZATION PROPOSAL
OFFICE OF RESEARCH SERVICES
OFFICE OF THE VICE PRESIDENT FOR RESEARCH AND INNOVATION
UNIVERSITY OF HAWAII SYSTEM**

PRESENT ORGANIZATION

The Office of Research Services (ORS) serves to support, facilitate and promote the stewardship of the University's extramurally funded activities by providing a variety of administrative and project management services to faculty and staff throughout the University system. Currently, ORS consists of nine (9) sections and offices that are overseen by the Director of Research Services/Office of Research Services. The nine (9) sections/offices are as follows:

- Administrative Operations
- Information Systems Support
- Contracts & Grants Administration
- Contracts & Grants Administration – Kakaako Satellite Service Center
- Pre-Awards Administration
- Compliance
- Projects Fiscal Accounting
- Projects Financial Services
- Cost Studies and Rate Analysis

PROPOSED REORGANIZATION

This reorganization proposal seeks to:

- Combine "Contracts & Grants Administration" and "Pre-Awards Administration" to create a single service center, named "Contracts and Grants Administration – Manoa Service Center". The combining of sections includes the creation of one (1) supervisory level. The proposed changes also serve to represent current supervisory relationships and responsibilities;
- Create and/or recognize three (3) additional sections named "Contracts & Grants Administration – West Oahu Service Center", "Contracts & Grants Administration – Hilo Service Center" and "Contracts & Grants Administration – Maui Service Center";
- Rename the "Contracts & Grants Administration – Kakaako Satellite Service Center" so it is recognized as the "Contracts & Grants Administration – Kakaako Service Center" and create a new supervisory level within this section; and
- Create a new supervisory level within the "Office of Research Services".

The proposed reorganization will not affect position descriptions, duties or responsibilities of any current positions within ORS. Further, the following ORS offices/sections are unaffected by the proposed reorganization: Administrative Operations, Information Systems Support, Compliance, Projects Fiscal Accounting, Projects Financial Services and Cost Studies and Rate Analysis.

Note: The proposed organization chart includes seven (7) new positions allocated to ORS in 2014 from the Office of the Vice President for Research and Innovation. The positions replace existing temporary positions, therefore no additional funds are required. The positions and their placements are noted below:

- 81688, 81961: Fiscal Specialists within Projects Fiscal Accounting Section
- 78029, 81970: Contracts and Grants Specialists within proposed Kakaako Service Center
- 77314: Fiscal Specialist within Compliance Section
- 81777: IT Specialist within Information Systems Support Section
- 81652: Contracts and Grants Specialist within Maui Service Center

Also notable is the absence of a 0.5 FTE position count on the proposed chart. The position was formerly included in the Administration Operations Section but was swept in 2014.

BACKGROUND AND REASONS FOR REORGANIZATION

The proposed reorganization will allow ORS to improve its services to the University community, thereby enhancing research, training and other sponsored programs and activities. It is expected that the University's annual extramural funding will double to \$1 billion within the next ten years. The proposed reorganization will support ORS by increasing its capacity to provide essential contracts and grants administrative services, especially as increasing amounts of extramural funding are pursued and received by University faculty and staff. The following are the objectives of the proposed reorganization:

- **Strengthen working relationships with ORS "customers"**, namely faculty, staff, and external agencies. The reorganization will pair specific colleges/units/campuses with specific ORS "Contracts and Grants Administration" staff. The proposed service centers will be modeled after the existing "Kakaako Satellite Service Center". This center has consistently demonstrated that a service center that is devoted to a particular group of staff/faculty allows for the provision of more consistent and seamless pre-award and post-award services.
- **Increase efficiency of services.** Since 2010, there has been a notable increase in federal rules and regulations pertaining to extramural funding (e.g., Federal Funding Accountability Transparency Act, Financial Conflict of Interest, Office of Management and Budget Reforms). In addition, separate internal guidelines and procedures exist at certain campuses. ORS staff must be well-acquainted with the aforementioned rules, regulations and procedures to properly process extramural awards. Designating positions to serve specific colleges/units/campuses allows ORS staff to better support faculty in properly addressing internal and external rules and regulations that may accompany grant applications and awards.
- **Foster teamwork within ORS.** Combining "Contracts and Grants Administration" and "Pre-Awards Administration" will foster additional collaboration between the now-separate sections. Although position duties and responsibilities are unchanged, it is expected that the merging of sections will engender an increased sense of teamwork to enhance customer service and provide additional opportunities for mentoring.
- **Increase breadth of services.** The proposed creation of the West O'ahu and Hilo Service Centers will allow ORS to meet increasing needs from specific colleges/units/campuses. For example, UH West O'ahu received 72% more funding in fiscal year 2012 as compared to fiscal year 2011. Also notable, UH Hilo submitted proposals totaling \$52 million and generated \$17 million in awards during fiscal year 2012.

In summary, the reorganization is being proposed in response to, and in anticipation of, increased volume of extramural funding in both proposals and awards. The reorganization addresses the

importance of providing efficient, personalized contract/grant services to our systemwide University community.

IMPACT ON STAFFING AND RESOURCES

As mentioned, ORS has determined that its services to faculty and staff would be best utilized with the establishment and recognition of five (5) distinct service centers. The service centers will provide services to specifically designated colleges/departments/campuses. Additionally, specific "pre-award administration" and "contracts and grants administration" positions will be paired and assigned to serve specific colleges/departments/campuses, thereby enabling increased communication and collaboration between these functional areas. It is important to note that though certain positions will be "paired", the responsibility to perform respective pre-award or post-award services will be unaffected by the proposed reorganization.

Mānoa Service Center

The proposed Mānoa Service Center will consist of the current "Contracts & Grants Administration" and "Pre-Awards Administration" sections. As such, the following positions, currently included in the Pre-Awards Administration or Contracts and Grants Administration, would be housed within the Mānoa Service Center:

- Contracts & Grants Specialists:
 - PBC: 78632, 80581, 81940
 - PBB: 81259, 81471, 80976, 80808, 81139, 78633T, 77994T
- Administrative & Fiscal Specialists:
 - PBA: 78839, 78010T
- Office Assistant IV: 50041

The functions, duties and responsibilities of the aforementioned positions will be unaffected by the proposed reorganization. However, as mentioned, the consolidation of the now-separate sections will allow for additional collaboration and teamwork amongst ORS staffers.

In regards to reporting relationships, the proposed organizational chart reflects supervisory relationships and responsibilities as follows:

- Office Assistant IV, position 50041, will continue to report to staff associated with pre-award functions and will report to position 81940, Contracts & Grants Specialist. Position 81940 is currently working supervisor (i.e., point of contact) to the Office Assistant IV, position 50041.

All Contracts & Grants Specialist positions in the current "Pre-Awards Administration" section will continue to report to position 89006, Director of ORS.

- Office Assistant IV, position 15410, is one (1) of two (2) positions from the current "Contracts and Grants Administration" and "Pre-Awards Administration" sections that will not be included in the Mānoa Service Center. The position will instead be assigned to the Office of the Director, ORS, and will report to Senior Administrative Officer, position number 81798. This proposed change will create a new supervisory level within the Office of the Director. The relocation of position 15410 to the Office of the Director is being proposed to recognize the position's responsibility, as reflected in incumbent's

- Contracts and Grants Specialists, PBB: 79222T, 78398T, 79150T
- Administrative and Fiscal Support Specialists, PBA: 79074T, 77832T

The Contracts and Grants Specialist positions will report to the Director of ORS, position number 89006. Administrative and Fiscal Support Specialists will report to the designated Point of Contact (POC) Contracts and Grants Specialist PBB position, which will be determined when these positions are filled.

The existing Fiscal Specialist (i.e., Compliance Officer), position number 79204T, currently located at UH Hilo campus, would continue to report to position number 81389, Fiscal Manager of the ORS Compliance section. Duties and responsibilities for Fiscal Specialist, position number 79204T, will be unaffected by the proposed reorganization.

Currently, only temporary ORS positions exist to serve UH Hilo faculty and staff; however, the proposed reorganization includes the establishment of the UH Hilo Service Center in recognition of the integral services provided by ORS staff to UH Hilo and ORS' intent to establish permanent positions within this service center in the future.

Kaka'ako Service Center

The proposed reorganization includes a title change for the current "Contracts & Grants Administration – Kaka'ako Satellite Service Center" so it is recognized as "Contracts & Grants Administration – Kaka'ako Service Center".

The proposed reorganization also includes the addition of two (2) permanent positions to the Kaka'ako Service Center: positions 81970 and 78029. The addition of these positions creates a new supervisory level within the section, and the two (2) new positions will report to Contracts and Grants Specialist, position number 77464.

It is also proposed that position number 78635, currently vacant and located within the Project Fiscal Accounting Section, be relocated to the Kaka'ako Service Center to serve as an Administrative and Fiscal Support Specialist, PBA. This Administrative and Fiscal Support Specialist position would also report to Contracts and Grants Specialist, position 77464.

Impact on Resources

The proposed reorganization will not impact financial resources since all of the proposed changes are within existing VPRI and ORS budget allocations. There will be no impact on physical resources as existing space will be used.

The proposed reorganization will enable ORS to provide more efficient and effective services to the research community and to further establish a solid foundation to accommodate future growth for all ten (10) campuses.

job description, to provide administrative support to all ORS sections, not just to the Pre-Award Administration section.

It is important to note that within the past several years, supervisory relationships and responsibilities within the "Pre-Awards Administration" section have shifted. The aforementioned supervisory relationships are representative of these changes.

Maui Service Center

The proposed Maui Service Center officially recognizes the role ORS staff has in administering extramural funding for Maui College. ORS staff has provided services for Maui College for several years via a temporary position. Recently, a permanent position was allocated to ORS to serve Maui College. As such, this service center now needs to be recognized on the ORS organizational chart.

As reflected in the proposed organizational chart, the Maui Service Center is staffed by Contracts and Grants Specialist, position number 81652, PBB, who reports to the Director of ORS, position number 89006. Duties and responsibilities for the Contracts and Grants Specialist are unaffected by the proposed reorganization.

West O'ahu Service Center

As mentioned, extramural funding for the UH West O'ahu campus has increased significantly over the past few years. It is expected that extramural funding will continually increase as the campus develops and expands. As such, there is a need to formally recognize a separate, dedicated service center that will primarily serve faculty at UH West O'ahu and Leeward Community College.

The proposed West O'ahu Service Center will be staffed by Contracts and Grants Specialist, position number 80399, currently located within the "Contracts & Grants Administration" section. The position's current incumbent was recruited with the knowledge that the position would be stationed at the UH West O'ahu campus, and the proposed reorganization does not change the position's assigned location at the UH West O'ahu campus.

Position 80399 currently reports to Contracts and Grants Specialist, position number 78632. However, as the lead Contracts & Grants Specialist for the West O'ahu Service Center, it is proposed that position 80399 report to the Director of ORS, position 89006. As noted in the proposed chart, the lead Contracts & Grants Specialists at the Kaka'ako and Maui Service Centers also report directly to the Director of ORS. Duties and responsibilities for Contracts and Grants Specialist, position number 80399, will be unaffected by the proposed reorganization.

Hilo Service Center

Due to a growth in extramural funding received by UH Hilo, its administration has requested the establishment of a dedicated service center. ORS agrees with the need to establish a service center located at UH Hilo, and has also recognized the campus need for compliance monitoring as necessitated by new federal government reporting requirements. Five (5) temporary positions have been established to serve UH Hilo faculty and staff. These temporary positions, noted below, will be funded by existing revolving funds provided by the Office of the Vice President for Research and Innovation:

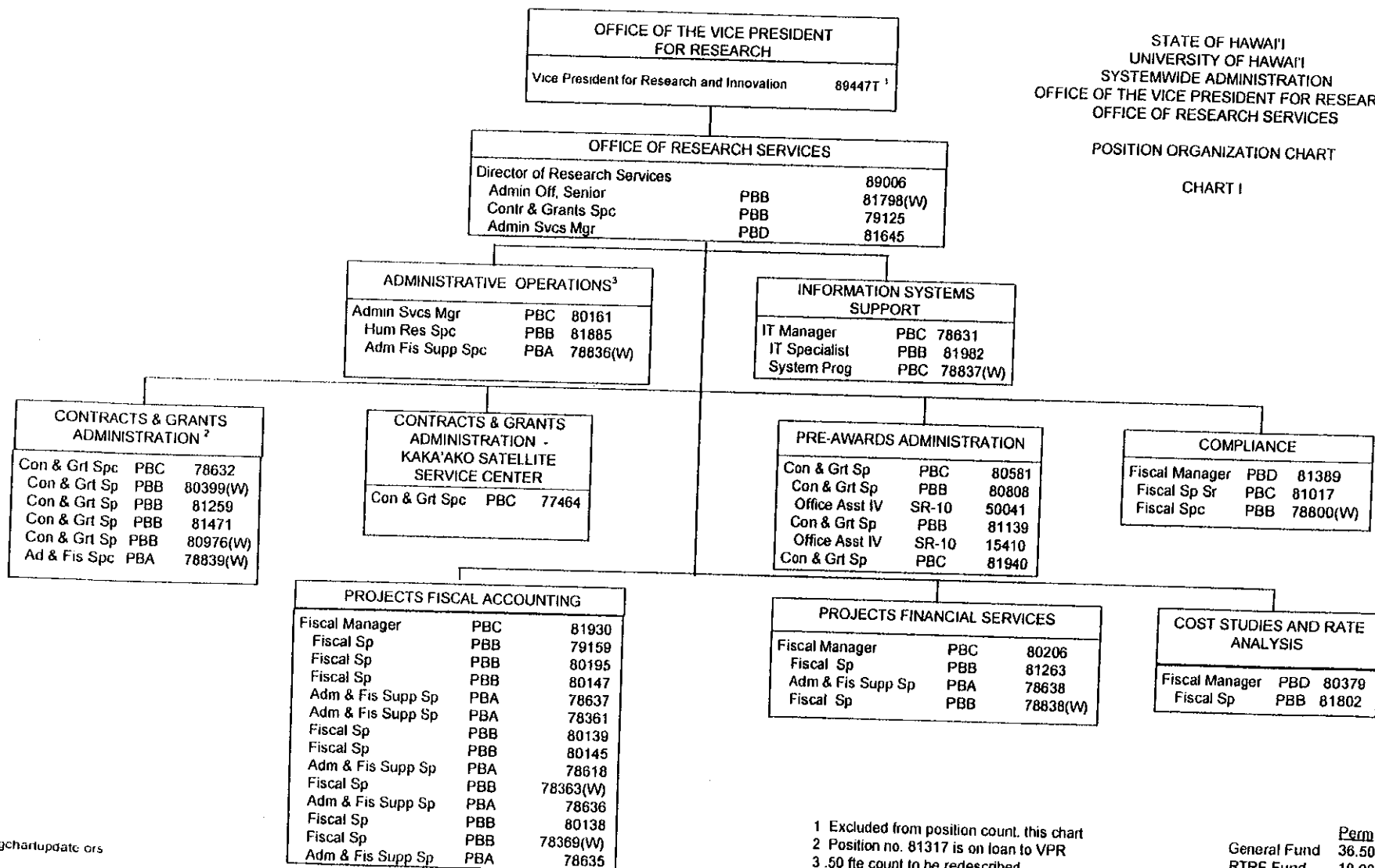
POSITIONS AFFECTED BY THE PROPOSED REORGANIZATION OF ORS

Position No.	Title	Status	Impact
78632	Contracts & Grants Sp	Occupied	Reorganize: Mānoa Service Center
78633T	Contracts & Grants Sp	Occupied	Reorganize: Mānoa Service Center
80581	Contracts & Grants Sp	Occupied	Reorganize: Mānoa Service Center
80808	Contracts & Grants Sp	Occupied	Reorganize: Mānoa Service Center
80976	Contracts & Grants Sp	Occupied	Reorganize: Mānoa Service Center
81139	Contracts & Grants Sp	Occupied	Reorganize: Mānoa Service Center
81259	Contracts & Grants Sp	Occupied	Reorganize: Mānoa Service Center
81471	Contracts & Grants Sp	Occupied	Reorganize: Mānoa Service Center
81940	Contracts & Grants Sp	Occupied	Reorganize: Mānoa Service Center
77994T	Contracts & Grants Sp	Occupied	Reorganize: Mānoa Service Center
78010T	Admin & Fiscal Supp	Occupied	Reorganize: Mānoa Service Center
78839	Admin & Fiscal Supp	Occupied	Reorganize: Mānoa Service Center
50041	Office Asst IV	Occupied	Reorganize: Mānoa Service Center;
			new reporting line to 81940
81652	Contracts & Grants Sp	Occupied	New segment: Maui Service Center
80399	Contracts & Grants Sp	Occupied	New segment: UH West Oahu;
			change in supervisor to 89006
79222T	Contracts & Grants Sp	Vacant	New segment: UH Hilo
78398T	Contracts & Grants Sp	Vacant	New segment: UH Hilo
79150T	Contracts & Grants Sp	Vacant	New segment: UH Hilo
79074T	Admin & Fiscal Supp	Vacant	New segment: UH Hilo
77832T	Admin & Fiscal Supp	Vacant	New segment: UH Hilo
79204T	Fiscal Specialist	Occupied	New segment: UH Hilo
15410	Office Asst IV	Occupied	Relocate to Office of Director;
			new reporting line to 81798
81798	Admin Officer, Senior	Occupied	New supervisory level, establish
			15410 as a direct report to 81798
78635	Admin & Fiscal Supp	Vacant	Relocate to Kakaako Service Center
77464	Contracts & Grants Sp	Occupied	New supervisory level, establish
			81970, 78029, 78635 as direct
			reports to 77464

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

POSITION ORGANIZATION CHART

CHART I



- 1 Excluded from position count, this chart
2 Position no. 81317 is on loan to VPR
3 .50 fle count to be redescribed

	Perm
General Fund	36.50
RTRF Fund	10.00
Total	46.50

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

FUNCTIONAL STATEMENT

INTRODUCTION

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

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

Furthermore, ORS is responsible for ensuring that all contracts and grants are in compliance with funding agency policies by providing oversight and monitoring functions that include: on-going reviews of departmental and systemwide internal controls; coordination of required actions to correct deficiencies; post-audit activities to ensure compliance with federal and state laws and University policies and procedures; coordination and resolution of audit findings and questioned costs with sponsoring agencies; and the provision of counsel and guidance directly to UH executives, administrators, principal investigators, and fiscal staff on all matters relating to extramurally funded programs including the interpretation and application of contract and grant terms and conditions.

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

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

- Creating the vision for system wide research support services and providing leadership to develop long- and short-range strategic planning for effective research service programs to ensure responsive and quality services to the research community system wide;
- Interpretation and application of federal laws and regulations and governing contract and grants as well as all other terms and conditions imposed by a sponsor;
- Making recommendations to the Vice President and other University Executives on system wide sponsored research administration policies, procedures and practice;
- Implementing and enforcing federal, state and Board of Regents policies and procedures as they apply to sponsored research administration;
- Directing research support services through subordinate level subject matter experts;
- Ensuring compliance with federal, state, funding agency, and University rules, regulations, policies and procedures; overseeing research financial management support systems and the system of internal controls to meet federal criteria and external audit standards;
- Signing on behalf of the University research and training contracts and grants;
- Negotiating with federal agencies regarding overhead rates, implementation procedures and compliance requirements;
- Assisting auditors in the conduct of scheduled and non-scheduled audits and initiating appropriate remediation actions for audit findings;
- Advising the Vice President for Research and other University Executives on research support services 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 manages and provides administrative support services relating to fiscal and personnel transactions support for ORS. Functional responsibilities will include:

- Managing the day to day business operations for ORS;
- Overseeing the fiscal and human resources functions of ORS Office;
- 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: payroll; 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.
- Assisting all sections within ORS for financial, accounting, and facility planning when necessary.

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

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

- Drafting, reviewing, and negotiating contracts between the University and funding agencies to ensure conformity with statutory, regulatory, and University policy and procedural requirements;
- Developing, implementing, and maintaining system controls for administrative management of extramural agreements;
- Ensuring compliance with the regulations of the granting agency, the Federal and State governments, and the UH;
- Issuing and updating system wide administrative procedures relating to contracts and grants management;
- Submitting proposals and negotiates provisions of the award, when appropriate;
- Reviewing, negotiating, and making the effective recommendation to accept or reject contracts and grants, and cooperative agreements;

- Ensuring the timely processing and execution of new contracts and grant awards, renewal, and extensions from sponsoring agencies;
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate University personnel on procedural changes and to discuss and resolve problem areas.

Contracts & Grants Administration – Kaka'ako Satellite Service Center is an off-campus satellite center that provides contracts and pre-award research support services, as it 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 of ORS and has independent authority, in accordance with parameters set forth by the Director, equivalent to that provided by the on-campus Contracts unit chief and Pre-Awards subject matter experts. Functional responsibilities include:

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

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

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

- Developing, modifying and implementing procedures to ensure University proposals are in compliance with federal, state and university guidelines;
- Keeping abreast of current eRA proposal submission requirements, recommending update and revision on University policy and procedures to meet the Federal Mandates;
- Provide training for research faculty and staff on proposal preparation and submissions.

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

- Reviewing financial management systems, internal controls and to ensure strict compliance with federally imposed standards and requirements;
- Reviewing departmental office records to ensure policies and procedures are adequate to provide reasonable and reliable internal controls of assets, liabilities, revenues, and expenses;
- Identifying deficiencies, if any, and the cooperative measures necessary to improve effectiveness and efficiency;
- Coordinating all functional reviews and audit examinations of federally sponsored programs conducted by ONR, DHHS and independent public accounting firms;
- Reviewing and evaluating audit findings, coordinates the implementation of corrective actions by appropriate units, recommends improvements to established systems and procedures, and coordinates the preparation and submission of audit responses;
- Coordinating the University's internal auditor to ensure external audit requirements imposed by the federal government are met;
- Ensuring expenditure compliance within funding limitations; reviews and approves cost transfers and adjustments;
- Providing counsel and guidance to principal investigators and fiscal officers on program administrative matters including the interpretation of contract and grant terms and conditions relating to the reprogramming of project funds, allowability and allocability of costs, and the transfer or subcontracting of project scope to another College or University.
- Ensuring the sub-recipients monitoring policy and procedures are in compliance with A-133 audit.

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

- Reviewing and approving requests for establishment of accounts and provides assistance to fiscal officers in setting up accounting systems and fiscal controls for all the sponsored accounts;
- Preparing and processing financial reports, billings and vouchers in accordance with contract and grant provisions specified by sponsoring agencies;
- Reviewing and calculating final indirect cost charges for contracts and grants; initiates adjusting and closing;
- Maintaining contracts, grants and cooperative agreement accounting records and files including correspondence and related documents;
- Maintaining and reconciling accounts receivables and advances for sponsors, and preparing fiscal-year end closing and adjusting entries;
- Reviewing, analyzing, and projecting cash requirements for all extramurally funded research and training contracts and grants and determines cash drawdown requirements for letter of credit and advance funding agreements;
- Coordinating and processing monthly cash advance requests and reimbursements including the reconciliation of cash advances with actual expenditures;
- Reviewing and clearing UH financial system suspense transactions daily;
- Reviewing and clearing RCUH Cash Clearing accounts;
- Reconciling interest due to the Federal Government on advances and requesting and submitting payments to the Federal Government as required;
- Reviewing and approving requests for establishment of accounts and account changes for non-ORS USDA Direct Appropriation accounts and Services Cost Center Accounts;

- Providing assistance to administer close-out process of extramurally funded research and training contracts and grants;
- Assisting A-133 audit as needed.

The Fiscal Accounting unit is divided into four teams. The assigned team will be the primary support for the specific sponsors. Each team has a team leader to handle day-to-day coordination.

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;
- 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;
- 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;
- 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.



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Honolulu, Hawaii 96813-2991

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www.hgea.org

June 30, 2014

Yaa-Yin Fong
Director of Research Services
University of Hawaii
2440 Campus Rd, Box 368
Honolulu, HI 96822

Dear Ms. Fong,

The Hawaii Government Employees Association is in receipt of your third revision of the proposed reorganization of the Office of Research Services. We have the following questions:

Proposed Reorganization

Combine "Contracts and Grants Administration" and "Pre-Award Administration" to create "Contracts and Grants Administration" and the creation of one supervisory level.

- Will this level consist of a new position or from an existing incumbent?
- If supervisory duties will be taken on by an existing employee:
 - How will the employee be selected?
 - How will that employee be compensated for the additional complexity of duty?
 - Will the position be rebanded?

Kakaako Satellite Service Center and the creation of one supervisory level.

- Same questions as above.

For Manoa Service Center proposed combination of Pre-Awards and Contracts sections, proposal states, "position descriptions and duties will remain unchanged."

- How will two Manoa divisions be combined effectively without changing position descriptions?
- Will job descriptions be changed so that each specialist performs BOTH pre-award activities and contract review and negotiation?
- Will coordinator and support staff be similarly required to support BOTH pre-award activities and contract review and negotiation? If yes, then what is the process and timeline, with dates?

Background and reasons for reorganization

Strengthen working relationships with ORS "customers.."

- How does pairing of ORS Contracts and Grants Administration staff help the field? Can the benefit be quantified?
- In theory, having one person perform two different areas of service could lead to output of lower quality. Employees that are spread thin could end up performing with superficial breadth, not with expertise and depth.
- Please expound on the statement regarding the Kakaako Center has shown "more consistent and seamless pre-award and post-award services." How will a model such as this work system wide?

Increase efficiency of services.

- The increase in federal rules and regulations since 2010 impacts ORS Compliance activities. However, the ORS Compliance section is "unaffected" by this proposal. Please explain how impacting the Contracts and Grants section, not Compliance, will increase efficiency in this area.

Impact of staffing resources

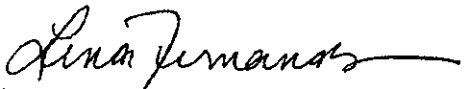
- Please explain what "paired" implies in reference to this proposed reorganization.
- Proposal states that all Contracts and Grants Specialist positions in "Pre-Award" will continue to report to director. Why is the "new supervisory level" not recognized on the organizational chart?

The HGEA is aware that temporary positions are not formally listed on an organizational chart but because of the large number of "T" positions affected, please list the positions in their respective sections.

Since the last consultation response from the HGEA, we have become aware that the director has directly and pointedly asked employees if they contributed to the union's response. That type of behavior could be construed as retaliation. Chapter 89-9(c) provides the right of all affected employees to provide input for conditions relating to work through the exclusive representative. Do not diminish these rights by interfering with an employee's ability to do so.

We look forward to your response in writing.

Sincerely,



Lena Fernandes
Field Services Officer



UNIVERSITY
of HAWAII
SYSTEM

Office of Research Service

July 7, 2014

Ms. Lena Fernandes
Field Services Officer
888 Mililani Street, Suite 601
Honolulu, Hawai'i 96813-2991

RE: Proposed Reorganization dated May 6, 2014, of the University of Hawai'i Office of Research Services (ORS)

Dear Ms. Fernandes:

The University of Hawai'i (UH) is in receipt of your letter dated June 30, 2014 regarding the proposed reorganization of the Office of Research Services (ORS). Pursuant to Article I, Recognition of the 2013 – 2015 Unit 2 and 8 Agreements and Hawaii Revised Statutes § 89-9(c), below is our response to questions presented by the Hawaii Government Employees Association (HGEA) regarding the ORS reorganization proposal. The questions included in the aforementioned letter are below in **bold**.

Proposed Reorganization

Mānoa Service Center

Combine "Contracts and Grants Administration" and "Pre-Award Administration" to create "Contracts and Grants Administration" (i.e., *Manoa Service Center*) and the creation of one supervisory level.

- **Will this level consist of a new position or from an existing incumbent?**

Response: *"The combining of "Contracts and Grants Administration" and "Pre-Award Administration" will create a new supervisory level within ORS' Office of the Director.*

Specifically, Senior Administrative Officer, PBB, position number 81798 will begin supervising Office Assistant IV, position 15410. Position 15410 currently resides in "Pre-Award Administration". This position is one (1) of two (2) positions from the current "Contracts and Grants Administration" and "Pre-Awards Administration" divisions that will not be included in the Mānoa Service Center.

The proposed Mānoa Service Center also recognizes that Contracts and Grants Specialist, PBC, position 81940 will supervise Office Assistant IV, position 50041.

Incumbents exist within all aforementioned positions."

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Fax: (808) 956-9081

An Equal Opportunity/Affirmative Action Institution

- **If supervisory duties will be taken on by an existing employee: How will the employee be selected? How will that employee be compensated for the additional complexity of duty? Will the position be rebanded?**

Response: "Supervisory duties have been assigned to the above-noted positions based on the organizational needs of ORS. At this time, there are no plans to reband or otherwise additionally compensate the Senior Administrative Officer, PBB, position 81798 or Contracts and Grants Specialist, PBC, position 81940 solely based on the expectation that they will supervise Office Assistant IV 15410 and 50041 respectively."

Kaka'ako Satellite Service Center

- **Same questions as above**

Response: "The proposed reorganization includes the addition of two (2) permanent PBB Contracts and Grants Specialist positions to the Kakaako Service Center: positions 81970 and 78029. The addition of these positions creates a new supervisory level within the division. The two (2) new PBB positions will report to Contracts and Grants Specialist, PBC, position number 77464."

It is also proposed that position number 78635, located within the Project Fiscal Accounting Section, be relocated to the Kakaako Service Center to serve as an Administrative and Fiscal Support Specialist, PBA. This Administrative and Fiscal Support Specialist position would also report to Contracts and Grants Specialist, PBC, position 77464."

Incumbents exist within all aforementioned positions.

The Contracts and Grants Specialist PBC, position 77464 was established to manage and maintain the Kaka'ako Service Center. Duties and responsibilities of this position include supervising and training Kakaako Service Center staff. The Contracts and Grants Specialist, PBC, position 77464 supervised the former, temporary PBB Contracts and Grants Specialist positions and is likewise now responsible for supervising aforementioned permanent PBB Contracts and Grants Specialist positions as well as other support positions."

For Mānoa Service Center proposed combination of Pre-Awards and Contracts sections, proposal states, "position descriptions and duties will remain unchanged."

- **How will two Mānoa divisions be combined effectively without changing position descriptions?**

Response: "Combining "Contracts and Grants Administration" and "Pre-Awards Administration" will foster additional collaboration between the now-separate divisions. Although duties and responsibilities of positions are unchanged, it is expected that the merging of divisions will engender an increased sense of teamwork and additional opportunities for mentoring within ORS."

- **Will job descriptions be changed so that each specialist performs BOTH pre-award activities and contract review and negotiation?**

Response: *"The proposed reorganization does not present any changes to position descriptions, duties or responsibilities."*

- **Will coordinator and support staff be similarly required to support BOTH pre-award activities and contract review and negotiation? If yes, then what is the process and timeline, with dates?**

Response: *"The proposed reorganization does not establish any changes to the duties or responsibilities of the coordinator or support staff (i.e., Administrative and Fiscal Support Specialist, 78839; Office Assistant IV, 50041) of the Mānoa Service Center."*

Background and reasons for reorganization

- **How does pairing of ORS Contracts and Grants Administration staff help the field? Can the benefit be quantified?**

Response: *"Combining "Contracts and Grants Administration" and "Pre-Awards Administration" will foster additional collaboration between the now-separate divisions. Although duties and responsibilities of positions are unchanged, it is expected that the merging of divisions will engender an increased sense of teamwork and additional opportunities for mentoring. It is expected that the increased levels of teamwork between pre-award and post-award staff will increase the quality of service ORS provides to faculty and staff."*

- **In theory, having one person perform two different areas of service could lead to output of lower quality. Employees that are spread thin could end up performing with superficial breadth, not with expertise and depth.**

Response: *"The proposed reorganization does not present any changes that require a single person to perform two (2) different areas of service. We would like to note, however, that certain ORS staff members are currently responsible for performing both pre-award and post-award duties. Our experience has shown that ORS staff members can effectively perform both pre-award and post-award duties without sacrificing the quality of services provided to faculty and staff. We continue to monitor and evaluate whether this arrangement continues to yield favorable outcomes as it has been showing."*

- **Please expound on the statement regarding the Kakaako Center has shown "more consistent and seamless pre-award and post-award services." How will a model such as this work system wide?**

Response: *"Kakaako Service Center staff are assigned to serve specific schools and departments (e.g., JABSOM, Cancer Center). This practice has enabled service center staff to become more familiar with specific needs (e.g., grant application and reporting requirements) of the faculty and staff they serve, thereby increasing levels of customer*

service and satisfaction. It is expected that this practice will achieve similar results when applied to the Mānoa Service Center and other service centers across the system."

- **The increase in federal rules and regulations since 2010 impacts ORS Compliance activities. However, the ORS Compliance section is "unaffected" by this proposal. Please explain how impacting the Contracts and Grants section, not Compliance, will increase efficiency in this area.**

Response: "Contracts and Grants Administration staff also need to maintain knowledge of applicable federal rules and regulations. Because Contracts and Grants Administration staff will be assigned to specific departments/colleges/schools, they will become well acquainted with rules and regulations that are pertinent to pre- and post-award administration duties (e.g., budget preparation, cost-sharing calculations, subaward agreements) thereby enabling more efficient and effective service to faculty and staff."

Impact of staffing resources

- **Please explain what "paired" implies in reference to this proposed reorganization.**

Response: "ORS staff members with pre-award and post-award duties will be "paired" and assigned to work with one another and with specific colleges, departments and/or campuses. The responsibility of ORS staff to perform respective pre-award or post-award services will be unaffected by the proposed reorganization."

- **Proposal states that all Contracts and Grants Specialist positions in "Pre-Award" will continue to report to director. Why is the "new supervisory level" not recognized on the organizational chart?**

Response: "For clarification, Pre-Award staff (positions 80581, 80808, 81139 and 81940) will report to the Director of Research Services, position 89006. The proposed organizational chart reflects the reporting relationship between aforementioned pre-award staff and the Director of Research Services. These reporting relationships do not necessitate the creation of a "new supervisory level" on the proposed organizational chart as it recognizes the existing reporting structure of the organization."

- **The HGEA is aware that temporary positions are not formally listed on an organizational chart but because of the large number of "T" positions affected, please list the positions in their respective sections.**

78633T	Contracts & Grants Sp	Occupied	Mānoa Service Center
77994T	Contracts & Grants Sp	Occupied	Mānoa Service Center
78010T	Admin & Fiscal Supp	Occupied	Mānoa Service Center
79222T	Contracts & Grants Sp	Occupied	UH Hilo

78398T	Contracts & Grants Sp	Occupied	UH Hilo
79150T	Contracts & Grants Sp	Occupied	UH Hilo
79074T	Admin & Fiscal Supp	Occupied	UH Hilo
77832T	Admin & Fiscal Supp	Vacant	UH Hilo
79204T	Fiscal Specialist	Occupied	UH Hilo

As stated, the ORS reorganization proposal does not include any changes to the current duties and responsibilities performed by the current ORS staff members. However, as we continuously seek to enhance the quality of the services we provide to the UH community, we may examine or consider additional improvements to the organization of ORS. For example, future improvements may include additional changes to reporting relationships or position redescrptions. If serious consideration is given to these options, we will initiate appropriate consultation with the HGEA.

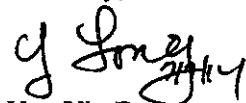
I hope that our responses to your questions clarify our proposed reorganization dated May 6, 2014 and that it provides HGEA with the relevant and pertinent information necessary to fully review the proposal. If you believe a meeting is necessary, I have set aside the following dates and times to conduct a follow-up meeting:

July 15, 2014 Available from 10:00 a.m. to 12 noon

July 17, 2014 Available from 11:00 a.m. to 12 noon, then from 1:00 p.m. to 5:00 p.m.

Otherwise, I would appreciate receiving any additional comments you or your organization may have regarding the ORS reorganization proposal by Monday, July 21, 2014. Thank you for your time and attention.

Sincerely,



Yaa-Yin Fong
Director of Research Services

cc: Dwight Takeno, University of Hawai'i Office of Human Resources

Russell Chun

From: Fernandes, Lena M. [lfernandes@hgea.org]
Sent: Tuesday, July 08, 2014 8:35 AM
To: Russell Chun
Cc: Yaa-Yin Fong
Subject: RE: ORS reorganization response

Hi Russell and Yaa-Yin –

Thank you for a quick response. Unfortunately I will be out of town starting today and will not return until July 24. If there are any further questions, I will send them to you via email prior to July 17.

Lena Fernandes

Field Services Officer

Hawaii Government Employees Association / AFSCME Local 152
888 Milliani Street, Suite 601, Honolulu, HI 96813-2991
Main 808.543.0000 | Direct 808.543.0061 | Fax 808.528-4059
lfernandes@hgea.org | www.hgea.org | [Facebook](#) | [Twitter](#)

From: Russell Chun [<mailto:russell@hawaii.edu>]
Sent: Monday, July 07, 2014 5:27 PM
To: Fernandes, Lena M.
Cc: Yaa-Yin Fong
Subject: ORS reorganization response

Lena,

Please find our response to HGEA's letter dated June 30, 2014. Hard copy will also be mailed.

Regards,

Russell Chun
University of Hawaii
Office of Research Services
2425 Campus Road, Sinclair Room 1
Honolulu, HI 96822
Ph. 808-956-7969
Fax 808-956-9081

Mailing Address:
2440 Campus Road, Box 368
Honolulu, HI 96822

Russell Chun

From: Yaa-Yin Fong
Sent: Monday, May 05, 2014 10:26 AM
To: Russell Chun; Darcie Yoshinaga; Dwight Takeno
Subject: ORS Reorg

Dwight,

The Manoa Faculty Senate Committee on Administration and Budget (CAB) thoroughly reviewed the ORS reorganization. CAB supports the reorganization. Can we move forward to submit to UHGA and UHPA?

Thanks,

Yaa-Yin

From: Michelle Isa [mailto:isam@hawaii.edu]
Sent: Friday, May 02, 2014 5:20 PM
To: 'Vincent, Douglas'
Cc: uhm-faculty-senate-cab@lists.hawaii.edu; SEC; Vassilis Syrmos; Yaa-Yin Fong; Marlene Moe; Stacy Sanders
Subject: RE: add issue for CAB (ORS reorg)

Dear Dr. Vincent (and members of the SEC and CAB),

Thank you very much for your review and support of the proposed ORS reorganization.

We appreciate the Committees' time and efforts put in to this review process.

Thank You,
Michelle

Michelle Isa
Office of the Vice President
for Research and Innovation
University of Hawai'i
2444 Dole Street, Bachman Hall 204
Honolulu, Hawai'i 96822
Phone: (808) 956-5006
Fax: (808) 956-5286
Email: isam@hawaii.edu

From: Vincent, Douglas [mailto:VincentD@ctahr.hawaii.edu]
Sent: Friday, May 02, 2014 5:01 PM
To: Michelle Isa
Cc: uhm-faculty-senate-cab@lists.hawaii.edu; SEC
Subject: Fwd: add issue for CAB

Aloha, Michelle

I appreciate your patience with us in getting this information to you. The Manoa Faculty Senate Committee on Administration and Budget (CAB) thoroughly reviewed the ORS reorganization. CAB supports the

reorganization. The initial documents lacked some necessary information about the RTRF earnings from the various subcenters, which you were so kind to provide to us. This information provided the impetus for CAB to support the reorganization. See below for more information. Because ORS has UH system responsibilities, we did not bring a motion or resolution to the full Manoa Faculty Senate. In lieu of formal action of the Senate, this email indicates our support for the reorganization. If you have questions, please contact me at vincent@hawaii.edu. Thanks again for allowing to provide input.

Doug Vincent
SEC liaison to CAB

Sent from my iPhone

Douglas L. Vincent, Ph.D., P.A.S.
Professor and Animal Scientist
Department of Human Nutrition, Food and Animal Sciences
College of Tropical Agriculture and Human Resources
Agricultural Sciences 216
University of Hawaii at Manoa
1955 East-West Rd
Honolulu, HI 96822
808-956-8393 (HNFAS)
808-956-4024 (fax)
vincent@hawaii.edu
<http://www.ctahr.hawaii.edu/hnfas/>
<http://www.ctahr.hawaii.edu/ctahr2001/>
http://www.ctahr.hawaii.edu/CS/blogs/sustainable_agriculture/default.aspx
Make a gift to the Department of Human Nutrition Food and Animal Sciences
"I begin with the proposition that eating is an agricultural act"
-- Wendell Berry, from What are people for? 1990.

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Begin forwarded message:

From: "David Chin" <chin@hawaii.edu>
To: "Kristin Herrick" <uhmfs@hawaii.edu>
Cc: "Vincent, Douglas" <VincentD@ctahr.hawaii.edu>
Subject: add issue for CAB

Hi Kristin,
CAB was asked by the SEC on April 1 to review the UH System reorganization proposal for ORS (Office of Research Services). I have attached the proposal, some additional information from OVPRI (Office of the Vice President for Research and Innovation), and here is the result (so the issue should be considered closed as of today):

Hi Doug,

Please convey to Michelle Isa and the SEC that CAB has reviewed the proposed reorganization of ORS and supports the reorganization. Because the proposal lacked important details such as the research overhead generated by each campus and the costs of the proposed Maui, UHWO, and UH Hilo service centers, it was very unclear from simply reading the proposal whether or not the new service centers made sense. Fortunately Michelle Isa from the OVPRI was able to provide us this information, which clearly supports the establishment of the service centers.

These service centers will bring ORS services closer to the faculty and staff who need them, so CAB supports the reorganization.

Sincerely,

David N. Chin

Chair, Manoa Faculty Senate Committee on Administration and Budget

Additional data from OVPRI:

1. See below for F&A recovery by campus:

F&A Cost Recovery by Campus

Campus

O/H Earned

Mānoa

40,756,730.67

Hilo, Includes SBDC

3,064,054.02

West O‘ahu

32,619.54

Windward CC

146,867.57

VP for CC

111,865.54

Honolulu CC

84,059.50

Kapi‘olani CC

279,116.69

Maui CC

882,385.10

Kaua'i CC

71,074.11

Leeward CC

97,498.47

Hawai'i CC

92,698.79

System, includes EPSCoR

5,079,307.48

FY 2013 Total

50,698,277.48

2. Costs for Service Centers (ORS service centers campus assignments can also be viewed at the following link:<http://www.ors.hawaii.edu/index.php/ors-assignments#kapiolani-cc>):

Service Centers

Costs

Maui Service Center - Serves Maui College, IfA Maui, UHPCC, ITS, Kauai CC and Hawaii CC (transition to Hilo service center in July)

\$70K

UH West Oahu Service Center -Serves UH West Oahu, LCC, HCC, WCC, KCC and School of Hawaiian Knowledge at UHM

\$70K

UH Hilo Service Center - Serve UH Hilo & Hawaii CC (starting July 1)

\$300K

May 7, 2014

J.N. Musto, Ph.D.
Executive Director
University of Hawai'i Professional Assembly
1017 Palm Drive
Honolulu, Hawai'i 96814-1928

RE: Proposed Reorganization of the University of Hawaii Office of Research Services (ORS)

Dear Dr. Musto,

Attached for your information is a reorganization proposal regarding the Office of Research Services (ORS) at the University of Hawaii.

The proposed reorganization seeks to streamline the administrative and project management services that ORS provides to faculty and staff. Though the proposed reorganization will not have a direct impact on any Unit 7 Faculty, we would like to make UHPA aware of the proposed changes.

If you have any questions or comments regarding the proposed reorganization of the Office of Research Services, please contact Russell Chun at 956-7969 or via email at russell@hawaii.edu.

Sincerely,

A handwritten signature in black ink, appearing to read 'Y. Fong', with a date '5/14' written below it.

Yaa-Yin Fong
Director of Research Services

Attachments

c: Russell Chun