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UH BUDGET OFFICE

Office of Research Services

14 OCT 20 P2:25

October 17, 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 October 17, 2014.

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

Sincerely,

A handwritten signature in black ink, appearing to read "Y Y Fong", with the date "10/14" written below it.

Yaa-Yin Fong  
Director 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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Office of Research Services

August 29, 2014

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

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

Dear Mr. Perreira:

Pursuant to Article I, Recognition of the 2013 – 2015 Unit 3 and 8 Agreements and §89-9(c), HRS, the University of Hawaii (UH) hereby transmits to the Hawai'i Government Employees Association (HGEA) a reorganization proposal regarding the Office of Research Services (ORS), University of Hawai'i.

As you are aware, the University of Hawai'i Office of Research Services was recently reorganized in June of 2014. The June 2014 reorganization was driven by a pressing need to accurately portray an ORS organizational structure that had grown and evolved over the past several years. In essence, the former organizational chart was outdated and our efforts at the time were focused on updating an organizational structure to reflect an operating structure that had developed and expanded to include Contracts & Grants Administration Service Centers at West O'ahu, Hilo, Maui and Mānoa.

Now that our organizational chart accurately reflects ORS' current composition, we are better prepared to assess and consider how additional changes might enhance the quality of services we provide. We have spent the past several weeks evaluating how changes to reporting relationships might positively impact our Mānoa Service Center. Our evaluation was prompted when Contracts & Grants Specialist, PBC, position 78632 – a position which resides in the Mānoa Service Center - became unexpectedly vacant. The vacancy occurred as our consultation with the HGEA over our previous reorganization proposal was concluding.

We have since determined that our current proposal, as detailed below, will increase efficiencies and strengthen internal communications within the Mānoa Service Center.

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**Mānoa Service Center – Contracts & Grants Administration**

The Mānoa Service Center consists of the following positions:

- Contracts & Grants Specialist, PBC, 78632
- Contracts & Grants Specialist, PBB, 81259
- Contracts & Grants Specialist, PBB, 81471
- Contracts & Grants Specialist, PBB, 80976
- Administrative & Fiscal Specialist, PBA, 78839
- Contracts & Grants Specialist, PBC, 80581
- Contracts & Grants Specialist, PBB, 80808
- Contracts & Grants Specialist, PBB, 81139
- Contracts & Grants Specialist, PBC, 81940
- Contracts & Grants Specialist, PBB, 78633T
- Contracts & Grants Specialist, PBB, 77994T
- Administrative & Fiscal Support, PBA, 78010T
- Office Assistant IV, SR-10, 50041

Currently, the above noted thirteen members of the Mānoa Service Center report to three (3) different supervisors. Five (5) members report to the Director of Research Services, 89006. Six (6) staff report to Contracts & Grants Specialist, PBC, 78632, and one (1) staffer reports to Contracts & Grants Specialist, PBC, 81940.

We believe the Mānoa Service Center would be better served by a single Contracts & Grants Specialist position that supervises all of the service center's team members. As such, we are currently seeking preliminary approval to redescribe the currently vacant Contracts & Grants Specialist, PBC, position 78632 to fulfill this supervisory role. With this proposed change and the addition of other duties and responsibilities, we also intend on rebanding the position from Pay Band C to Pay Band D. As previously mentioned, these changes were prompted after the position (78632) became vacant and we began to evaluate the potential benefits of redefining the position's role within the Mānoa Service Center.

We believe that the aforementioned changes will help strengthen internal communications and increase efficiencies within the Mānoa Service Center. Establishing a position that oversees the entire Mānoa Service Center team will increase efficiencies related to the management of work priorities and projects while contributing to the development of a more cohesive team environment, thereby enhancing our services to UH faculty and staff.

The proposed reorganization (i.e., changes to reporting relationships) will not impact financial resources since all of the proposed changes are within existing budget allocations. Additionally, there will be no impact on physical resources. We would also like to emphasize that this proposed reorganization will not have any impact or changes to the current duties and responsibilities of any position under the Mānoa Service Center other than Contracts & Grants Specialist, position 78632. Further, aside from the Mānoa Service Center and the Director's Office, all other ORS offices/divisions are unaffected by the proposed reorganization.

**Hilo Service Center – Contracts & Grants Administration**

We would also like to mention planned changes within our Hilo Service Center. While these plans are unrelated to the proposed reorganization, we thought it would be an opportune time to inform you of our future plans to designate a lead APT position within the "Contracts & Grants - Hilo Service Center" by assigning supervisory duties and possibly rebanding an existing Contracts & Grants Specialist position. The Hilo Service Center is currently comprised only of temporary APT positions. The lead position will serve as the manager of the Hilo Service Center, supervising all Hilo Service Center APT positions. The affected positions, which currently report to the Director of Research Services, are listed below:

- Contracts & Grants Specialist, PBB, 79222T
- Contracts & Grants Specialist, PBB, 78398T
- Contracts & Grants Specialist, PBB, 79150T
- Administrative & Fiscal Support, PBA, 79074T
- Administrative & Fiscal Support, PBA, 77832T

Similar to the rationale for changes within the Mānoa Service Center, the adjustment at Hilo Service Center is being pursued to increase efficiencies and strengthen internal communications. Additionally, the change creates a structure in line with other service centers with more than one staff which all include a lead, supervisory position.

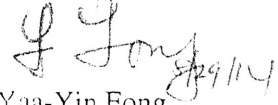
Aside from the above noted improvements to Mānoa Service Center and Hilo Service Center, we are not currently considering any other organizational changes nor are we considering any additional changes to reporting relationships or position descriptions. If serious consideration is given to these options in the future, we will initiate appropriate consultation with the HGEA.

If you wish to meet regarding the proposed reorganization of the Office of Research Services, please contact Russell Chun at (808) 956-7969 or via email at russell@hawaii.edu. I have set aside the following dates, times and location to discuss the proposal:

September 4, 2014	2:00 p.m. – 5:00 p.m.
September 5, 2014	9:00 a.m. – 12 noon
September 9, 2014	9:00 a.m. – 12 noon

Thank you for your time and consideration.

Sincerely,

  
Yaa-Yin Fong  
Director of Research Services

c: Dwight Takeno – Director of Collective Bargaining & Employee Relations





888 Mililani Street, Suite 601  
Honolulu, Hawaii 96813-2991

Telephone: 808 543 0000  
Facsimile: 808 528.4059

[www.hgea.org](http://www.hgea.org)

September 26, 2014

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

Dear Yaa-Yin,

The Hawaii Government Employees Association is in receipt of your proposed reorganization of the Manoa Service Center within the Office of Research Services. This proposal adds a level of line authority for the Manoa Services Center by adding a PBD position directly under the Director and having all other Contracts and Grants Specialists report to the newly established PBD.

The following are our concerns and questions:

1. The proposal states that a vacant PBC position will be converted to a PBD and an open recruitment shall happen to fill the rebanded position. And once this proposal is concluded, the established organizational structure will have this PBD supervise veteran PBC positions. What will qualify this person to be the supervisor if the person comes from outside the department?
2. The proposal states that there will be no impact on physical resources. HGEA is assuming this to mean impact to existing employees' workload. Is this assumption true?
3. Will the newly established PBD also be assigned Contracts and Grants Specialist type of work? If not, where will the workload of the vacated position go?
4. It is our understanding that there are employees designated currently as "point of contacts" that are required to report to the director. Will this practice cease once the new line of authority is set in place?
5. The proposal explains the line of authority in place currently and states there are three different supervisors. Was there consideration given to reband and redescribe an incumbent already supervising?

Thank you for the opportunity to provide input. We will await your response in writing.

Sincerely,

Lena Fernandes  
Field Services Officer



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Office of Research Services

September 30, 2014

Ms. Lena Fernandes  
Field Services Officer  
Hawaii Government Employees Association  
888 Mililani Street, Suite 601  
Honolulu, Hawaii 96813

RE: Proposed Reorganization of the University of Hawai'i Office of Research  
Services (ORS) dated August 29, 2014

Dear Ms. Fernandes:

The University of Hawai'i (UH) is in receipt of your letter dated September 26, 2014 regarding the proposed reorganization of the Office of Research Services (ORS). Pursuant to Article I, Recognition of the 2013 – 2015 Unit 3 and 8 Agreements and §89-9(c) HRS, 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**.

**The proposal states that a vacant PBC position will be converted to a PBD and an open recruitment shall happen to fill the rebanded position. And once this proposal is concluded, the established organizational structure will have this PBD supervise veteran PBC positions. What will qualify this person to be the supervisor if the person comes from outside the department?**

Response: "We believe that the minimum qualifications for the position will eliminate any potential applicants who wouldn't necessarily qualify, based on work experience, for a position that includes the expectation to supervise veteran positions within the organization. The minimum qualifications of the Contracts and Grants Specialist position, PBD, 78632 include the following: baccalaureate degree and eight years of progressively responsible professional experience with responsibilities for preparation, review, negotiation and/or interpretation of legal documents or equivalent education/training or experience; extensive knowledge of principles, rules, regulations and systems associated with contracts and extramurally funded projects; demonstrated ability to develop and implement short and long term action plans; proven ability to use persuasion and negotiation to build consensus, cooperation and leadership; and a demonstrated ability to manage employee relations, among other skills, knowledge and abilities.

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Attached for your reference is the position description for Contracts and Grants Specialist, PBD, position number 78632 which further details the minimum and desirable qualifications of the position. Both internal and external applicants must meet minimum qualifications to be considered for the position."

**The proposal states that there will be no impact on physical resources. HGEA is assuming this to mean impact to employees' workload. Is this assumption true?**

Response: "Our statement regarding "physical resources" was made in regards to additional space or equipment that is sometimes required due to reorganization. In this case, physical resources are not impacted. In regards to impact on employees' workload, please see our below response."

**Will the newly established PBD also be assigned Contracts and Grants Specialist type of work? If not, where will the workload of the vacated position go?**

Response: "The newly redescribed PBD position will be responsible for duties that are typically assigned to Contracts and Grants Specialist positions, including but not limited to: institutional review of proposals, signing and submitting proposals and certifications, and reviewing and recommending for acceptance awards and post-award modifications for ORS.

In response to the question of "workload", the reorganization will not directly impact the workload of existing Contracts and Grants Specialist positions."

**It is our understanding that there are employees designated currently as "points of contacts" that are required to report to the director. Will this practice cease once the new line of authority is set in place?**

Response: "Correct. When the proposed reorganization is approved, Contracts and Grants Specialist, PBD, 78632 will be the sole position within the Mānoa Service Center that reports directly to the Director of Research Services, 89006.

All other positions, as noted below, will report directly to the established PBD, position 78632:

- Contracts & Grants Specialist, PBB, 81259;
- Contracts & Grants Specialist, PBB, 81471
- Contracts & Grants Specialist, PBB, 80976
- Administrative & Fiscal Specialist, PBA, 78839
- Contracts & Grants Specialist, PBC, 80581
- Contracts & Grants Specialist, PBB, 80808
- Contracts & Grants Specialist, PBB, 81139
- Contracts & Grants Specialist, PBC, 81940
- Contracts & Grants Specialist, PBB, 78633T

Lena Fernandes  
September 30, 2014  
Page 3 of 3

- Contracts & Grants Specialist, PBB, 77994T
- Administrative & Fiscal Support, PBA, 78010T
- Office Assistant IV, SR-10, 50041"

**The proposal explains the line of authority in place currently and states that there are three different supervisors. Was there consideration given to reband and redescribe an incumbent already supervising?**

Response: "Of the three positions that currently supervise Mānoa Service Center staff, two (2) are APT positions: the now-vacant position 78632 and position 81940. Currently, Contracts and Grants Specialist position 81940 supervises one (1) Office Assistant IV, position 50041 and the Contracts and Grants Specialist, position 78632 is expected to supervise six (6) Mānoa Service Center staff.

After evaluating existing reporting relationships and contemplating the proposed organizational changes, we determined that it would be preferable to redescribe and reband the Contracts and Grants Specialist, position 78632. Among other benefits, this particular course of action allows current ORS staff members, including current supervisors, to apply for the PBD position if they so desire."

I hope that the above responses to your questions will provide the HGEA with the relevant and pertinent information necessary to fully review the proposed reorganization.

If you or your organization has additional comments or questions regarding the ORS reorganization proposal, I would appreciate receiving them by Wednesday, October 8, 2014.

Thank you for your time and attention.

Sincerely,



Yaa-Yin Fong  
Director of Research Services

cc: Dwight Takeno – Director of Collective Bargaining & Employee Relations



888 Mililani Street, Suite 601  
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October 13, 2014

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


Dear Yaa-Yin,

The Hawaii Government Employees Association is in receipt of your response to the proposed reorganization of the Manoa Service Center within the Office of Research Services.

With your response to our concern regarding recruitment for the PBD position, our concern still stands that the finding a person qualified will be difficult. If the position does not get filled, will the reorganization still occur? Understandably, this question can not be answered at this time as the position is still open for recruitment. Therefore, at this time, the HGEA has no further questions or concerns and will await implementation. At the time of implementation, HGEA reserves the right to reopen consultation if concerns arise. Thank you for the opportunity to provide input.

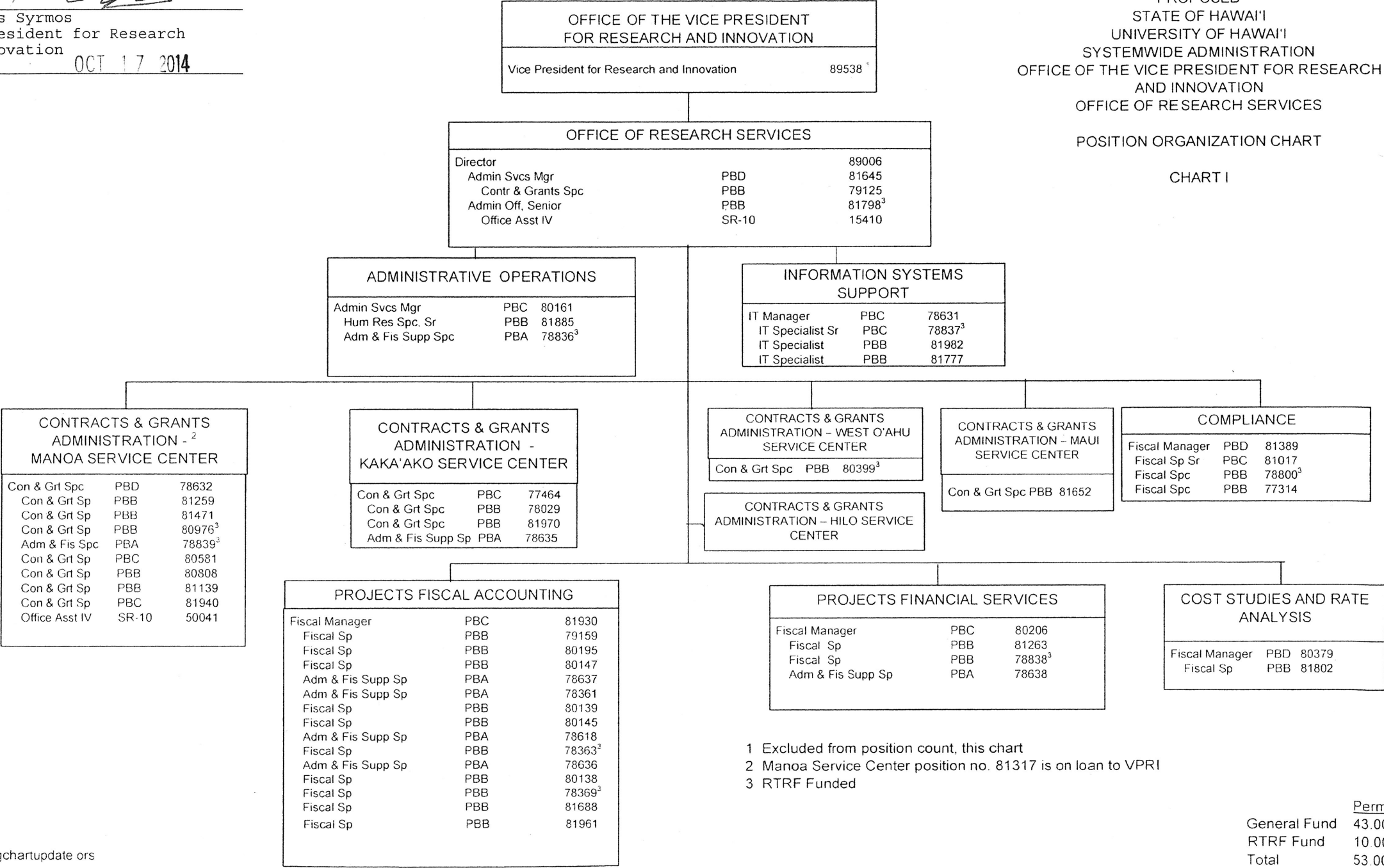
Sincerely,

Lena Fernandes  
Field Services Officer

APPROVED   
Vassilis Syrmos  
Vice-President for Research  
and Innovation  
DATE: OCT 17 2014


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

APPROVED:

  
Vassilis Syzmos  
Vice-President for Research  
and Innovation  
DATE: OCT 17 2014

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;
- 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 Kuali-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;
- 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;
- 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.

**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 MauiService 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 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:

- 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 confirm 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;

- 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

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:

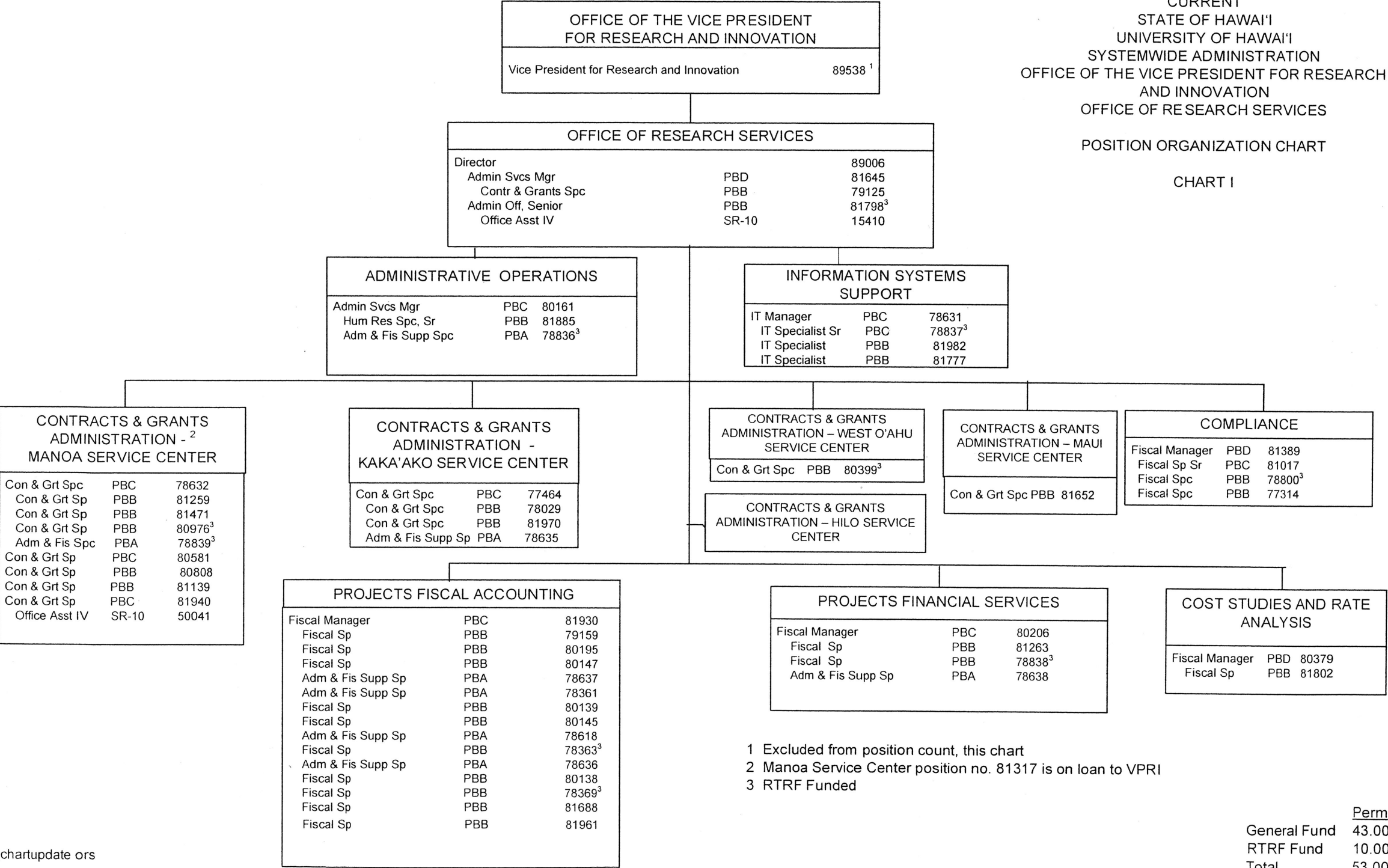
- Preparing the indirect cost rate proposal for the UH as required;
- Coordinating the audit review process by the Division of Cost Allocation (DCA) and the Department of Health & Human Services (DHHS) and assists in the negotiations of rates;
- Assuring that the rate development process is appropriate, 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;

- 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.



CURRENT  
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



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

	<u>Perm</u>
General Fund	43.00
RTRF Fund	10.00
Total	53.00