Resource Development (Grants Development & Administration) Policy

This Policy replaces the 2010 Grants Development and Administration Policy.

1. **Purpose**
   
   *It is the purpose of this operational policy to:*

   1.1. Establish policies and procedures which ensure that Kapiʻolani Community College proposals and awards for extramurally-funded projects are systematically reviewed and processed on a timely basis;

   1.2. Align campus extramural programs with applicable University of Hawaiʻi executive policies and administrative procedures, as well as federal and state statutes, Hawaiʻi administrative rules and regulations; and

   1.3. Identify key roles for campus administrators, faculty, staff, and private contract employees in applying for extramural funding and managing existing extramural projects.

2. **Definitions**
   
   *All defined terms shall have the meaning as described in applicable UH executive policies and administrative procedures. Campus-specific terminology is defined in this section:*

   2.1. **Account administrator:** administrator, faculty, or staff member (BU08 only; BU03 not allowed) who serves as the primary decision maker for foundation and private funds available through a University of Hawaiʻi Foundation account. Analogous to a principal investigator for extramural accounts.

   2.2. **Award:** award shall have the meaning established in University of Hawaiʻi Administrative Procedure 12.405 Section II. Award refers to the provision of funds by an external organization to UH, based on an approved application and budget or progress report, for the purpose of carrying out a project or activity.

   2.3. **Extramural funds:** extramural funds shall have the meaning established in the University of Hawaiʻi Administrative Procedure 12.203. Extramural funds refers
to external sponsorship of a research or non-research programs and activity such as a federally funded grant or contract.

2.4. **Facilities and administrative ("F&A") costs**: facilities and administrative costs shall have the meaning established by the Code of Federal Regulations §200.56. Indirect (facilities & administrative (F&A)) costs means those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefited, without effort disproportionate to the results achieved. To facilitate equitable distribution of indirect expenses to the cost objectives served, it may be necessary to establish a number of pools of indirect (F&A) costs. Indirect (F&A) cost pools must be distributed to benefitted cost objectives on bases that will produce an equitable result in consideration of relative benefits derived.

2.5. **Federal fiscal year**: federal fiscal year shall commence on October 1 and end on September 30 of the following year.

2.6. **Grants development**: grants development shall refer collectively to “pre-award” processes, including the proposal development and other actions prior to the sponsor providing an award to the College.

2.7. **Grants administration**: grants administration shall refer collectively to “post-award” processes, including the account establishment, procurement, hiring, fiscal administration, and other processes subsequent to the sponsor providing an award to the College.

2.8. **Indirect costs**: used interchangeably with facilities and administrative (“F&A”) costs.

2.9. **Period of performance**: Shall have the meaning established in the Code of Federal Regulations §200.77. Period of performance means the time during which the non-Federal entity may incur new obligations to carry out the work authorized under the Federal award.

2.10. **Sponsor**: general term used to refer to the funding entity providing funds through a grant, contract, private award, etc.

2.11. **State fiscal year**: state fiscal year shall commence on July 1 and end on June 30 of the following year.

3. **Policy**

*It is the policy of Kapiʻolani Community College that administrators, faculty, and staff have the opportunity to:*

3.1. Participate in extramural fundraising efforts with support provided by the College through its Title III Shared Services Center, Office for Institutional Effectiveness, and Business Office, with priority given to projects advancing the College’s Strategic Plan and department tactical planning goals and objectives;
3.2. Receive administrative and fiscal support through the College’s Title III Shared Services Center and Business Office to ensure that extramural projects meet compliance requirements to remain in good standing with the sponsoring entity; and

3.3. Assess and evaluate extramural project deliverables through the College’s Office for Institutional Effectiveness.

4. **Related Policies**

This operational policy is created to implement the following policies and procedures:

<table>
<thead>
<tr>
<th>Policy Code</th>
<th>Policy Title</th>
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<tbody>
<tr>
<td>EP 12.102</td>
<td>Authority to Sign and Execute Extramural Research and Training Contracts/Grants, Agreements and Contract Assignments and Releases</td>
</tr>
<tr>
<td>EP 12.216</td>
<td>Research Training and Revolving Fund</td>
</tr>
<tr>
<td>AP 8.025</td>
<td>Fiscal Responsibilities within the University</td>
</tr>
<tr>
<td>AP 12.401</td>
<td>Procedures for the Preparation and Submission of Proposals to External Sponsors and the Review/Approval Requirements for Sponsored Agreements</td>
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<tr>
<td>UHCC 8.102B</td>
<td>Indirect Cost Reductions and Waivers</td>
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<tr>
<td>RCUH 2.003</td>
<td>RCUH Roles and Responsibilities</td>
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5. **Responsibilities**

Kapiʻolani Community College’s operational units will provide fiscal and administrative support to administrators, faculty, and staff managing extramural funds. The University of Hawaiʻi Foundation is contracted by the College to provide administrative and fiscal support for foundation and private awards. Accordingly, it is the responsibility for the College’s operational units and the UH Foundation to provide the following:

5.1. **The Title III Shared Services Center** (the “Center”) will serve as the primary support unit for extramural projects upon the implementation of this Policy. Upon termination of the Lawelawe Poʻokela project, the Center will transfer its responsibilities to the College for further delegation to its operational units. The Center will:

5.1.1. Provide proposal development support to campus departments and programs for extramural activities that support the College’s Strategic
Plan and department tactical planning goals, in collaboration with the Office for Institutional Effectiveness;

5.1.2. Provide fiscal administrator review for all transactions involving extramural funds, in collaboration with the Business Office;

5.1.3. Consult with campus administration on projects requiring cost sharing commitments of cash, in-kind services, facilities, equipment, and other campus resources;

5.1.4. Propose investment strategies for the Research Training and Revolving Funds (RTRF) annual campus allocation;

5.1.5. Assess the return on investment for campus investment strategies for RTRF, in collaboration with the vice chancellor for administrative services and campus budget specialist;

5.1.6. Act on behalf of the Chancellor for all extramurally funded personnel transactions through the Research Corporation of the University of Hawai‘i;

5.1.7. Administer the PCard Program for extramural projects, in consultation with the vice chancellor for administrative services and campus fiscal administrator;

5.1.8. Serve as the primary liaison to the University of Hawai‘i Office of Research Services;

5.1.9. Serve as the primary liaison to the University of Hawai‘i Foundation; and

5.1.10. Provide annual reports on extramural revenue performance to the campus Administrative Staff.

5.2. The extramural project staff refers to the principal investigator, project director, and grant support staff (collectively, the “Project”). The Project will:

5.2.1. Consult with the unit administrator prior to applying for, or entering into binding agreements involving extramural funds;

5.2.2. Prepare proposals with a clear statement of work and project budget;

5.2.3. Prepare project spending plans in accordance with sponsor guidelines and compliance requirements;

5.2.4. Secure cost sharing commitments from the Chancellor or designee to document campus resources that must be provided to secure extramural funding;

5.2.5. Provide timely notification of the proposed extramural activity to allow sufficient time for proper review and consideration of campus resources required to support the proposed activity.

5.3. The Office for Institutional Effectiveness (“OFIE”) will provide institutional support for grants development, institutional research, assessment, and evaluation. OFIE will:
5.3.1. Provide proposal development support to campus departments and programs for extramural activities that support the College’s Strategic Plan and department tactical planning goals, in collaboration with the Title III Shared Services Center;

5.3.2. Recommend potential funding sources to support program goals and objectives;

5.3.3. Design project evaluation plans during the proposal development stage;

5.3.4. Consult with Project staff to assess project evaluation needs and assist with recruiting an external evaluator, when appropriate; and

5.3.5. Facilitate the campus and department planning processes to include a plan to pursue extramural funding.

5.4. The Business Office ("BUSO") will provide fiscal administrative support to campus units for intramural funds, including general funds, tuition and fees, special funds, and other non-extramural accounts. The Business Office will:

5.4.1. Provide notice to the Title III Shared Services Center within 1 business day of any transaction involving extramural funds that require the Center’s action;

5.4.2. Review and approve mixed-source transactions involving intramural and extramural funds, in collaboration with the Center’s fiscal administrator for extramural programs;

5.4.3. Participate in bi-weekly meetings with the Center to discuss fiscal administrative matters that impact intramural and extramural programs;

5.4.4. Provide notice to the Title III Shared Services Center within 1 business day of any financial audit involving extramural funds; and

5.4.5. Assume all responsibilities related to, or arising out of extramural accounts in the event the Title III Shared Services Center is not institutionalized.

5.5. The Human Resources department ("HR") will provide administrative support to Project staff for the recruitment and management of extramurally funded personnel. HR will refer inquiries regarding recruitment through the Research Corporation of the University of Hawai‘i to the Title III Shared Services Center. HR will serve as the primary point for extramurally funded administrator, faculty, staff, casual hire, and student positions. HR will be responsible for inquiries pertaining to:

5.5.1. Recruitment of faculty, staff, casual hire, and student positions;

5.5.2. Management and termination of faculty, staff, casual hire, and student positions;

5.5.3. Payment of faculty and staff overload for services provided on extramural projects;
5.5.4. Temporary assignments for current faculty and staff employed at the College;
5.5.5. Salary adjustments for faculty, staff, casual hire, and student positions;
5.5.6. Collective bargaining cost increases for personnel costs;
5.5.7. Fringe benefit cost adjustments; and
5.5.8. Other actions pertaining to positions recruited through the campus Human Resources department.

5.6. The University of Hawai‘i Foundation (the “Foundation”) will encourage private support for Kapi‘olani Community College programs through foundation and corporate grants, as well as individual gifts. The Foundation will:

5.6.1. Provide proposal development support for funding proposals from foundation, corporate, and private sources;
5.6.2. Serve as the primary point of contact for funding proposals that limit eligibility to 501(c)3 organizations (i.e., the College is ineligible to apply because it is not designated as a non-profit organization);
5.6.3. Consult with UH Foundation Corporate and Foundation Relations to increase the competitiveness of funding proposals; and
5.6.4. Provide training to account administrators to ensure sponsor compliance requirements are met.

6. Contact Information

Subject Matter Experts

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7. It is the responsibility of Kapi‘olani Community College’s Chancellor, in consultation with Administrative Staff, to regularly evaluate the effectiveness of the organizational units in facilitating extramural fundraising and extramural project management. The Chancellor, in consultation with Administrative Staff, shall consider re-organization of existing personnel and units, institutionalization of extramurally funded personnel and projects, and other strategies to improve the overall fiscal stability of the College’s revenue portfolio.

Approval date:

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Louise Pagotto, Chancellor