

1. IDEA inception (faculty, staff) OR identification of extramural award/grant opportunity (Institute of Engaged Scholars (IES), faculty, staff)
 - a. If applicable, respective faculty/staff will contact IES to determine what extramural award/grant opportunities may be available. IES will review terms/conditions of extramural award/grant to determine that respective faculty/staff is eligible and appears to be a good candidate for the respective extramural award/grant.
 - b. If applicable, IES to determine and approach potential faculty/staff that would be good candidates (i.e., serve as Principal Investigator (PI)) for the respective extramural award/grant).
 - c. IES to review terms/conditions of the extramural award/grant to determine that respective faculty/staff is eligible and appears to be a good candidate for the respective extramural award/grant.

2. Step #1: **Consultation with IES** (Melissa, Donna, Grants Writer) and PI (including any other applicable members of PI's division)
 - a. PI to complete "Proposal Concept Form" (PCF) located on the IES website. NOTE: The purpose of the PCF is to provide parties that will be eventually required to review/approve the proposal a "heads-up" that a proposal is in progress. The PCF provides an overview of the project—including project information (title, period), sponsor information (name, deadline, website), description of project, estimated funding, identification of UH or off-campus partners, cost sharing requirements, and other requirements (IT, facility, etc.). The PCF is routed to the following:
 - i. IES (Melissa)
 - ii. BA (Sheri, Keith)
 - iii. HR (Nancy, Janice)
 - iv. Office of Research Services (ORS) (Melody)
 - v. Respective Division Chair and Vice Chancellor
 - vi. Chancellor
 - b. If there are specific requirements related to campus resources (IT, facilities, etc.), the BA will route PCF to the responsible Director with copy to Vice Chancellor for Administration.
 - c. Any comments/concerns related to the PCF should be communicated to IES within 5 business days of PCF submission to various parties noted above.
 - d. Develop proposal development timeline to ensure appropriate deadlines are met.

3. Step #2: **Proposal Development**

- a. PI to consult with IES. Based on scope/goals of the proposal, the PI will be directed to work with the appropriate Administrative Officer (AO) (i.e., Donna-Chancellor Office/IES AO, Adrian-OVCAA AO, or OVCSA AO) to develop proposal—including scope, goals, timeline, budget, etc.
- b. If applicable, PI will consult with the Institutional Review Board (IRB)..
- c. If applicable, PI will consult with UHWO Director of Evaluation and UHWO Director of Institutional Research (IR)
- d. PI will provide the budget to BA and HR a minimum of 10 working days prior to the proposal deadline for review (allowability, appropriateness of rates used—e.g., fringe rates, and personnel) and suggested modifications.
- e. PI will input proposal into myGrants in consultation with IES and BA a minimum of 7 working days prior to proposal deadline. NOTE: ORS requires the input of the completed proposal and budget in myGrants at minimum 5 working days prior to the proposal deadline to allow for review and approval.
 - i. Include credit (RTRF) allocations and effort certifications.
 - ii. Include appropriate Aggregators (individuals that will have the ability edit the proposal) in myGrants.
 - iii. Routing through myGrants for approvals from administration.
 - iv. ORS will review proposal and approve.
- f. Proposal will be submitted to the sponsoring agency typically by ORS. The PI may be required to submit the proposal in certain situations (e.g., Kamehameha School).
- g. The sponsoring agency will provide update on status of the proposal. If status is favorable, the PI should seek necessary approvals (Export Controls, Internal Review Board, etc.) as directed by ORS.
- h. In the event the sponsoring agency indicates a change in scope is necessary for the proposal (e.g., budget reduction, etc.), the PI would contact IES, the respective AO, and the BA to assist in revising proposal. Proposal revisions are rerouted through myGrants.

4. Step #3: **Award**

- a. ORS receives and accepts Grant Award Notification.
- b. BA to provide PI access to KFS (if applicable).
- c. ORS establishes an account in KFS. NOTE: If necessary approvals (as noted above—e.g., Export Controls, Internal Review Board, etc.) are not received, the PI will not be allowed to begin work on the respective award/grant.
- d. BA is informed of KFS account establishment and will notify PI.

- e. The award/grant will identify award funding type (i.e., cost-reimbursement, fixed price, upfront payment). ORS handles all invoicing and drawdowns (as necessary and applicable).
 - f. IES calls a briefing meeting that walks all appropriate units through the awarded grant/contract. Attendees would include at minimum: PI, AO, IES representative, BA, HR, Evaluation/IR (others as appropriate). Discussion will include, at a minimum: description of purpose and outcomes, PI and AO responsibilities, budgeting/accounting elements, human resource needs, evaluation/data needs, and so on. The intent of the meeting is to ensure that all concerned are briefed on the grant activities and how best to support the work. A Gantt Timeline and a budget should be developed.
5. Post-Award
- a. Non- HR expenditures are primarily processed through RCUH, with the exception of PCard and internal bill transactions.
 - b. PIs will work with respective administrative staff to process purchases:
 - i. PI and Project Director to meet periodically (beginning, midway, end of award year—at a minimum) with administrative staff and BA to inform them of initiatives/plans related to purchasing/procurement. Additionally, BA can discuss current budget/actual financial schedules. NOTE: This will provide administrative staff and BA a “heads-up” to gain an understanding of future procurement transactions. Additionally, if there are questions related to the processing of these transactions (e.g., allowability, documentation requirements/additional forms, etc.), BA may provide additional guidance to allow for more streamlined processing.
 - ii. Administrative staff in consultation with appropriate AO initiates documents.
 - 1. Sets up vendors
 - 2. Fills out applicable University forms (i.e. meals, protocol items, etc.)
 - 3. Obtains applicable info (i.e. quotes, tax clearance, etc.)
 - 4. Processes payment documents in KFS
 - iii. PI certifies relatedness to project scope and goals and availability of funds.
 - iv. BA reviews documents for completeness, compliance with Federal and University policies and fund availability.
 - 1. Works with administrative staff on applicable documentation.
 - 2. Works with Central Office (i.e. UH Procurement or RCUH Procurement) on documents above signing authority.

3. Works with Central Office on vendor terms and conditions.
4. Approves purchasing and payment documents.
- v. BA to update internal spreadsheet, which tracks expenditure transactions.
- c. Work with UHWO HR on personnel staffing (PI, AO)
 - i. Administrative staff initiates hiring or filling of positions.
 - ii. HR assists with document preparation.
 - iii. PI certifies relatedness to project scope and goals and availability of funds.
 - iv. BA certifies availability of funds.
- d. BA works with PI or VC/appropriate AO staff on cost-sharing.
- e. Monitoring of balances (PI, Project Director, AO, BA)
 - i. The appropriate unit AO (Chancellor, OVCAA, OVCSA) works with both the PI as well as BA, HR, ORS.
 - ii. Periodically print and review RCUH financial report (includes all expenditures and encumbrances recorded to RCUH general ledger)
 - iii. AO or administrative staff prints monthly financial report from Page Center (includes comparison of award/grant budget to actual expenditures recorded in KFS—this will include payroll which is processed through the University and expenditures paid through RCUH) and meets with PI to discuss current expenditures as compared to the budget. NOTE: Upon request, the BA may prepare other financial reports (e.g., reports generated through eThORITY) based on requirements specified by the PI, Project Director and/or respective AO.
 - iv. Administrative staff maintain a budget/actual financial schedule to track expenditures.
 - v. BA to monthly reconcile internal spreadsheet (used to track actual expenditures, forecast payroll/other expenditures and compare to budget) to Page Center report. Share with PI, Project Director, respective AO and administrative staff.
- f. Reports
 - i. PI, AO, and if applicable Director of Evaluation and Director of IR are responsible to prepare technical reports (as required by award/grant—e.g., Annual Performance Reports, deliverables, etc.).
 1. Submission dependent upon what award terms and conditions require.
 2. Copy of transmittal letter (re: technical report) is forwarded to BA.
 3. A copy of all Annual Performance Reports should be sent to BA and IES.
 - ii. ORS handles financial reports and applicable invoicing.

1. BA to assist ORS in providing any required documentation (i.e. copies of invoices).
- g. Close-out
- i. ORS notifies PI of close out with 90, 60, and 30 day notices.
 - ii. Purchase requisitions should be submitted to BA no later than 30 days prior to the end of the extramural award/grant period.
 - iii. Invoices and disbursement vouchers should be submitted to BA and purchasing card purchases made no later than 15 days prior to the end of the extramural award/grant period.
 - iv. PI should take appropriate actions (i.e., no-cost extension or prepare project close-out report—as required by award/grant). PI work with AO, Evaluation/IR Office.
 - v. ORS will request BA to verify financial figures included in the project close-out report.