

**Social Science Research Institute
College of Social Sciences
University of Hawai'i at Mānoa
Grants Administration Procedures (GAP)**

This document (GAP) outlines procedures for administering sponsored awards in the College of Social Sciences. The purpose of this document is to assist Principal Investigators, Project Staff, and Department APTs by providing a guide and summary of responsibilities and procedures for administering grants and contracts, consistent with policies and procedures of the University of Hawai'i (Office of Research Services; ORS), the Research Corporation of the University of Hawai'i (RCUH), and the College of Social Sciences. This document summarizes the following:

- I. Proposal Submission
- II. Opening New Account
- III. Subawards
- IV. Purchasing Goods and Services For Project: Purchase Requisition & Purchase Order (PO)
- V. Purchase Order (PO) Payments
- VI. Authorization for Payment (AFP) of Routine Services
- VII. Compensation for Services Performed by Non-UH Employees
- VIII. Travel Request
- IX. Travel Completion
- X. New Hires
- XI. Personnel Change(s)/Terminations
- XII. RCUH Personnel Timesheet(s)
- XIII. Reconciliation of Account & Account Balances
- XIV. Re-Budget Award & No-Cost Extensions
- XV. Close-out Procedures

Please contact the Fiscal Office of the Social Science Research Institute (SSRI) at 956-8930, if you have any questions about specific transactions or procedures.

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<i>Principal Investigator (PI), Project Staff, & Department</i>	<i>SSRI Fiscal Office</i>
I. PROPOSAL SUBMISSION	
<ul style="list-style-type: none"> ● Extramural funding may be sought for research, training, and special projects (e.g., program development and evaluation, equipment acquisition, faculty and postdoctoral fellowships, doctoral dissertation assistance under sponsorship of a faculty member, and conferences). <p>Note: On November 1, 2011, UH implemented a new electronic proposal development and submission system called <i>myGRANT</i>. This new online system changed the University's grants/contracts proposal submission procedures. Please visit the Office of Research Services website at www.ors.hawaii.edu for recent announcements on training and workshops available for Principal Investigators, project staff, and departmental administrative staff.</p>	
<ul style="list-style-type: none"> ● Proposals are initiated by Principal Investigator (PI) who is a faculty member in the College of Social Sciences (CSS). PI prepares proposal consistent with guidelines and requirements of funding agency. When developing the proposal, PIs are encouraged to meet with the College's Grant Development Specialist for assistance in preparing the budget. ● In <i>myGRANT</i>, create proposal and submit. If you do not have access to the system, please contact the Office of Research Services (ORS) Helpline. ● For additional guidelines in the proposal submission, please visit the ORS website at www.ors.hawaii.edu. 	<ul style="list-style-type: none"> ● Grant Development Specialist provides advice on budget preparation, UH procedures and requirements for proposals or contracts. ● Fiscal Authority (FA) reviews administrative and financial terms of the proposal and assists the PI by providing advice on proper procedures and/or requirements. ● FA, PI, Project Staff, or Grant Development Specialist, works with UH Office of Research Services (ORS) on proposal or contract issues requiring UH approvals prior to submission.

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II. OPENING NEW ACCOUNT	
<p>University must accept grant or contract award before PI is able to initiate the project.</p>	<ul style="list-style-type: none"> ● PI and FA are notified via E-mail from ORS when University accepts new or continuing award. ● FA notifies PI and Department when project account is established and account code is assigned by ORS.
<p>Project fiscal accounts are administered through Research Corporation of the University of Hawaii (RCUH)</p> <ul style="list-style-type: none"> ● PI must have an RCUH username and password to process and manage grant transactions. PI contacts Janice Sato at 988-8345 (jsato@rcuh.com) to establish username and password necessary to access project funds/account. 	
<ul style="list-style-type: none"> ● PI may request an ADVANCE ACCOUNT from UH if: (a) sponsor gives notification that an award is forthcoming AND (b) advance account is necessary to meet critical needs that cannot be delayed without impairing project objectives. The period for an advance account is limited by UH to 90 days. To request an advance account: ● Contact FA to determine advance budget needs. ● Submit to FA a commitment in writing (email or letter) from the sponsoring agency that a program or activity has been approved for funding with a preliminary (a) start and end date; (b) funding amount and program budget (if different from proposal amount); (c) date by which UH will receive appropriate award document(s). ● Attach a signed Request for Advance Fund Account Approval Form. ● PI and Department Chair sign advance request form. The Chair's signature on the form certifies that the Department will be responsible for any unallowable costs incurred if the award does not get funded or for any pre-award costs (reference UH APM A8.952). 	<ul style="list-style-type: none"> ● FA discusses with PI project start-up needs; advises PI on UH and College requirements for advance account requests. ● FA reviews and obtains Dean or SSRI Director's approval. ● FA works with ORS to establish advance account.

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III. SUBAWARDS	
<p>University must accept grant or contract award before PI is able to initiate the project.</p>	<ul style="list-style-type: none"> ● PI and FA will receive an award notice from ORS when an award from an extramural sponsor is accepted by UH. ● If any subawards are indicated in project proposal, ORS will include a Subaward Startup Checklist with the award notice.
<ul style="list-style-type: none"> ● Email the Subaward Startup Checklist items and related documents to: subaward@ors.hawaii.edu. ● ORS will email a draft subaward to the PI for review and approval, with a copy to FA. Any desired changes must be sent to ORS within five (5) business days of the date of the email. ● When subaward is fully executed, ORS will email an electronic copy to the PI, FA, and subrecipient. Inform ORS if an original signed copy is required by the subrecipient. ● To check on the status of the award at any time, please see the Subaward Status Log. ● Initiate and process purchase requisition for subaward via RCUH Financial Portal. 	<ul style="list-style-type: none"> ● FA reviews, approves, and transfers purchase requisition to PO. ● FA verifies that the subaward is in budget and in compliance with UH policies, State and Federal laws, rules and regulations. ● FA prints PO, include necessary attachments, and sends original and copy to the department for handling.

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IV. PURCHASING GOODS AND SERVICES FOR PROJECT: PURCHASE REQUISITION & PURCHASE ORDER (PO)	
<ul style="list-style-type: none"> • A Purchase Order (PO) is the University's basic purchasing document necessary to procure goods and services costing less than \$25,000. 	
<ul style="list-style-type: none"> • Initiate and process purchase requisition for goods and services online via RCUH Financial Portal; purchases must be consistent with approved budget (unallowable purchases are listed at UH APM A8.225). • For purchases \$3500 and above, see Attachment 28, RCUH Procurement Checklist for specific instructions, <ul style="list-style-type: none"> (a) Print applicable form(s), PI signs, and sends hardcopy to FA (b) PO attachment(s) requires PI/Designee's signature • Indicate on the purchase requisition if the vendor copy should be returned to the PI/Department/Project for distribution to vendor. 	<ul style="list-style-type: none"> • FA reviews, approves, and transfers purchase requisition to PO. • FA is responsible for verifying that purchases are in compliance with UH policies, State, and Federal laws, rules and regulations. • FA prints PO, include necessary attachments, and send to Requisitioner/Department/Project to mail to vendor.
V. PURCHASE ORDER (PO) PAYMENTS	
<ul style="list-style-type: none"> • Upon receipt of goods, services, and receipt of original invoice from vendor, initiate PO payment online via RCUH Financial Portal. • Sign and submit hardcopy of receiving report with original invoice to SSRI Fiscal Office. 	<ul style="list-style-type: none"> • FA reviews and approves payment online after receiving signed receiving report and original invoice. • RCUH mails check payment to vendor (unless specified by Department to return check to Department).

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VI. AUTHORIZATION FOR PAYMENT (AFP) OF ROUTINE SERVICES	
<ul style="list-style-type: none"> • The AFP form is used to process payment of normal, routine services such as subscriptions, and postal charges which do not require a Purchase Requisition once the initial request is approved. AFP is also used when use of Purchase Orders are not expedient or practical (refer to Section 2.702 Direct Vendor Payments (AFP Form)). 	
<ul style="list-style-type: none"> • Project staff and PIs may make small purchases of \$500 or less with personal funds and request reimbursement. The single transactional dollar limit of \$500 includes sales and excise taxes, deposits, and/or other surcharges. RCUH requires FA's prior approval for reimbursements exceeding \$500. • RCUH's form is not to be used to reimburse travel, including abstract or conference fees, and mileage claims and not used to reimburse third party payments. • Initiate and process the AFP form online via RCUH Financial Portal. • Sign and submit hardcopy of the AFP form along with original receipt(s) to SSRI Fiscal Office. RCUH requires additional signature of higher authority (e.g., Department Chair) if reimbursement is for cash purchases by PI. 	<ul style="list-style-type: none"> • FA reviews and approves payment online after receiving the signed AFP form with original receipt(s). • Upon receipt of check from RCUH, FA sends check to Department.
VII. COMPENSATION FOR SERVICES PERFORMED BY NON-UH EMPLOYEES	
<ul style="list-style-type: none"> • Before services are performed by non-UH employee on grant/contract, PI submits an Employee Independent Contract (EIC) Review to RCUH Human Resources no later than seven (7) working days prior to start of service/activity; refer to Section 3.225 RCUH Employee-Independent Contractor Review. • Upon notification from RCUH Human Resources regarding the EIC determination/classification, process according to RCUH instructions on the determination/classification. 	<ul style="list-style-type: none"> • FA provides consultation to PI on EIC Review procedures and requirements. • FA reviews and approves payment to non-UH employees.

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VIII. TRAVEL REQUEST	
<ul style="list-style-type: none"> • PI initiates RCUH Travel Request form online via the RCUH Financial Portal and prints hardcopy. • Attach supporting documents (i.e., conference brochure, travel itinerary) to Travel Request form (reference UH APM A8.851). Frequently Asked Questions (FAQs) available at the UH E-Travel website (http://www.hawaii.edu/etravel/). • Obtain Traveler, PI and Traveler's Supervisor's (e.g., Department Chair) signatures and submit travel request and applicable travel documents to SSRI Fiscal Office. • If a travel advance is requested, the original Travel Request form and supporting documents must be submitted to FA not earlier than 30 business days prior to departure. (If UH E-Travel, not later than 10 days prior to departure). 	<ul style="list-style-type: none"> • FA reviews and approves online Travel Request after receiving hardcopy with supporting documents. • FA obtains Dean's or SSRI Director's signature and hold in pending file until Travel Completion form is received.
<ul style="list-style-type: none"> • Initiate any purchase requisition(s) for airfare and/or conference fees, if necessary, online via RCUH Financial Portal. 	<ul style="list-style-type: none"> • FA reviews, approves, and transfers purchase requisition to PO. • FA prints PO, include necessary attachments, and send to Requisitioner/Department/Project to mail to vendor.

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IX. TRAVEL COMPLETION	
<ul style="list-style-type: none"> • PI initiates RCUH Travel Completion form online via the RCUH Financial Portal and print hardcopy. • Attach original airline ticket receipt along with other original receipts for reimbursement (i.e., lodging, taxi, etc.). Reference UH APM A8.851. Frequently Asked Questions (FAQs) available at the UH E-Travel website (http://www.hawaii.edu/etravel/). • Obtain signatures of Traveler, Traveler's Supervisor and PI and submit to SSRI Fiscal Office. • If a travel advance received, a Travel Completion form must be submitted to FA within 21 business days upon completion of the trip. (If UH E-Travel, within seven (7) business days). 	<ul style="list-style-type: none"> • FA reviews and approves online Travel Completion after receiving hardcopy with original receipts. • FA obtains Dean's or SSRI Director's signature and attach to Travel Request form. • Upon receipt of reimbursement check from RCUH, FA sends check to Department.
X. NEW HIRES	
<p>FOR UH PERSONNEL (e.g. Faculty, Graduate Assistants, etc.):</p> <ul style="list-style-type: none"> • PI/Department initiates the following personnel transactions and submits required UH documents (refer to CSS Checklist) to SSRI Fiscal Office: <ul style="list-style-type: none"> - Faculty hire - Faculty buyout - Graduate Assistant hire - Overload - Student Assistant hire 	<ul style="list-style-type: none"> • FA verifies FTE, certifies availability of funds for personnel documents (i.e., SF-1, PNF, Form 6, etc.) and submits to Dean's office for approval.

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<p>FOR RCUH PERSONNEL:</p> <ul style="list-style-type: none"> • Initiate and process an Attachment B (Authorization to Acquire RCUH employees) form online via the RCUH Financial Portal, to obtain approval from UH Office of Human Resources to hire through RCUH. This is required for all new positions (except student assistants). • After submitting Attachment B online, notify FA. • Upon UH approval of Attachment B, refer to RCUH Human Resources Policies and Procedures, Section 3.210 Hiring Options Through RCUH for hiring options and procedures. • For procedures on how to initiate a Request to Hire for Non-Recruited Hires (or temporary hires), please contact the RCUH Human Resources Employment Department at rcuh_employment@rcuh.com. • For procedures on how to initiate a Request to Hire for Regular-Status, please see RCUH Policy 3.234 Recruitment of Regular Hires. • RCUH personnel transactions are initiated online via the RCUH Human Resources Portal. 	<ul style="list-style-type: none"> • FA verifies FTE, certifies availability of funds, and approves personnel transactions online via RCUH Human Resources Portal. • RCUH Human Resources to contact PI/Department for follow-up questions regarding position establishment. Final selection is subject to approval by RCUH Human Resources.
XI. PERSONNEL CHANGE(S)/TERMINATIONS	
<p>FOR UH PERSONNEL:</p> <ul style="list-style-type: none"> • Initiate personnel changes using the pink Request for Position Action form (Form SF-1). • Obtain PI and Department Chair's signature and submit to FA for review/approval. • For terminations: <ul style="list-style-type: none"> - If the employee resigns, submit a copy of employee's resignation letter to FA. - If the PI is terminating the employee, PI informs employee of termination in writing and provide a copy of the letter to FA. 	<ul style="list-style-type: none"> • FA verifies FTE, certifies availability of funds, and forwards the Form SF-1 to Dean's Office for final approval. • For terminations, FA submits a copy of employee's resignation or termination letter to Dean's Office for final approval.

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<p>FOR RCUH PERSONNEL:</p> <ul style="list-style-type: none"> • Initiate and process RCUH personnel changes online via the RCUH Human Resources Portal. • Refer to RCUH's Personnel Action and Payroll Schedule for personnel action deadlines. Please note deadlines change each calendar year. • For terminations, refer to RCUH Human Resources Policies and Procedures Section 3.285 RCUH Termination of Employment. 	<ul style="list-style-type: none"> • FA verifies FTE, certifies availability of funds, and approves personnel transactions online via RCUH Human Resources Portal.
XII. RCUH PERSONNEL TIMESHEET(S)	
<ul style="list-style-type: none"> • RCUH employee and student timesheet submission is the responsibility of the PI and/or designated person. Refer to RCUH Human Resources Policies and Procedures Section 3.810 RCUH Time Reporting. 	
XIII. RECONCILIATION OF ACCOUNT & ACCOUNT BALANCES	
<ul style="list-style-type: none"> • Maintain project balances by keeping a shadow budget as necessary. • Budget Status Report containing project financial information may be obtained online via the RCUH Financial Portal. 	<ul style="list-style-type: none"> • FA provides PIs consultation on account balances. • FA responds to PI inquiries about the Budget Status Report.
XIV. RE-BUDGET AWARD & NO-COST EXTENSIONS	
<ul style="list-style-type: none"> • For re-budgeting and no-cost extensions, please contact FA. 	

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XV. CLOSE-OUT PROCEDURES	
<ul style="list-style-type: none"> • Prior to end of project, PI informs project employee(s) of termination or transfer of employment to another project. • PI ensures that all goods and/or services are received prior to end of award. 	<ul style="list-style-type: none"> • FA contacts PI several months prior to end of project to facilitate close-out of award. • FA works with PI to resolve liquidation of outstanding PO(s) and/or contract encumbrances.
<ul style="list-style-type: none"> • PI is responsible for all final project reports required by the sponsoring agency other than fiscal reports. • PI submits to ORS a copy of transmittal/cover letter documenting submission of final report to sponsoring agency. 	<ul style="list-style-type: none"> • FA works with ORS on final financial report if necessary.

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ADDITIONAL RESOURCES:

- ❖ The Resource Corporation of the University of Hawai'i (RCUH)
www.rcuh.com
- ❖ University of Hawai'i System Office of Research Services (ORS)
www.ors.hawaii.edu
- ❖ UH Systemwide Policies and Procedures Information Systems
<http://www.hawaii.edu/policy/>