

# KAUA‘I COMMUNITY COLLEGE

## Grant Development, Submission, and Management

### 1. Purpose

The purpose of this policy is to provide general information and guidance to faculty and staff regarding the development, submission, and management of grants.

### 2. Policy

Kaua‘i Community College (Kaua‘i CC) relies on external funding to supplement the general operating budget. Grant agreements and funding are binding legal agreements executed by the Office of Research Services (ORS) and awarded to the University of Hawai‘i (UH), not an individual Principal Investigator (PI) or an individual campus, like Kaua‘i CC. Grants and contracts can only be submitted and accepted by ORS authorized signors on behalf of UH.

External grant submissions should be completed by the Grant Office at least seven (7) business days prior to the grant submission deadline, as ORS required five (5) business days for review, approval, and submission. Required approvals (e.g., PI, Co-PIs, Financial Administrator, Division/Unit Chairperson, Chancellor, and ORS) are done electronically via a MyGrant Proposal Development Record. Once a grant or contract is accepted, ORS or the Kaua‘i CC Business Office will provide an account number to the PI.

Failure to meet guidelines and timelines established in the Policy may jeopardize the submission of your proposal.

### 3. Related University Policies

- A. University of Hawai‘i Systemwide Executive Policy EP 12.102, Authority to Sign and Execute Extramural Research and Training Contracts/Grants, Agreements and Contract Assignments and Releases
- B. University of Hawai‘i Systemwide Administrative Procedure AP 12.401, Procedures for the Preparation and Submission of Proposals to External Sponsors and the Review/Approval Requirements for Sponsored Agreements
- C. University of Hawai‘i Systemwide Board of Regents Policy RP 12.202, Principal Investigator

#### 4. Definitions

- A. **MyGRANT:** Software system used by the UH System to develop and track grant proposals and awards.
- B. **Office of Research Services (ORS):** Office that applies for and accepts extramural awards on behalf of the UH; executes legal agreements; establishes project accounts, assuring compliance with applicable laws, regulations, policies, and award terms and conditions; recommends and issues UH policies and procedures relating to extramurally sponsored projects; and reports on sponsored research to the UH Board of Regents and the Office of the President.

#### 5. Responsibilities

##### A. Principal Investigator (PI)

- i. Submit Notice of Intent to apply for a grant to the Grants Development Coordinator (GDC) at least one (1) month prior to the grant due date, including a copy of the Request for Proposals (RFP) and project ideas.
- ii. Work with the GDC or UH Foundation (UHF) to ensure ideas and scientific and/or technical specifications, including goals, objectives, and evaluation plans, are included in grant application (no less than three (3) weeks prior to the grant or UHF due date).
- iii. Work with the GDC to ensure technical or discipline-specific references support the proposal are included in the bibliography (no less than two (2) weeks prior to the grant due date).
- iv. Work with the GDC or UHF to create an overall budget that includes allowable costs that comply with UH regulations and RFP procedures (no less than two (2) weeks prior to the grant due date).
- v. Obtain sharing/matching commitments and/or letters of commitment, when applicable, for the GDC to upload into MyGRANT (no less than one (1) week prior to the grant due date).
- vi. Collaborate with Human Resources (HR) to ensure hiring requests in grant proposals adhere to UH policies and procedures prior to grant submission (no less than three (3) weeks prior to the grant due date).
- vii. When required, collaborate with GDC and Institutional Research (IR) to create an Evaluation Plan and/or Data Management Plan.
- viii. Review the proposal package before it is submitted to ORS.

- ix. Adhere to sponsor deadlines and those established by the GDC, ORS, and/or UHF.
- x. Develop a schedule to ensure all sponsor and ORS reporting deadlines established in the award letter are met. This may require data requests from IR. The schedule should be provided to IR and the Fiscal Administrator (FA) within three (3) months of the award.
- xi. Manage and maintain the budget, which may include requested revisions with the sponsor. All budget modifications must be communicated to the Business Office prior to submission and after approval. Revisions should be provided to the GDC or UHF only after approval by the sponsor.
- xii. Provide the GDC copies of the award letter, submitted reports, and budget amendments to update grant files.
- xiii. Once a grant is submitted, the PI must complete the ORS Grants and Certification program online within three (3) months after an award is made.
- xiv. Submit Quarterly Progress Report (see Appendix A) to GDC for review by Cabinet to ensure spending and scheduling are on target.
- xv. Perform all Project Manager duties if the grant does not support a Project Manager (see Item F below).

B. Grants Development Coordinator (GDC)

- i. Research grants that support programs, campus-wide improvements and initiatives, and innovation after consultation with PIs, Division/Unit Chairperson, Program Coordinators, and/or Executive Management to identify needs and projects.
- ii. Provide guidance and assistance in the interpretation of funding regulations and requirements.
- iii. Identify trends in policies and funding that may impact the Kaua'i CC and advise Executive Management.
- iv. When required, collaborate with PI and IR to create an Evaluation Plan and/or Data Management Plan.
- v. Research, write, compile, and submit grant proposal in collaboration with PIs.
- vi. Provide the FA with a draft of the grant proposal budget, which includes the budget narrative, at least two (2) weeks prior to the grant submission date.
- vii. Liaise with ORS regarding all aspects of grant proposal development, submission, and management.

- viii. Works with PI and/or Project Manager to ensure coordination of post-award grants to ensure that administrative policies, procedures, and agency requirements are being followed.
- ix. Assist PI and FA with the monitoring, reporting, and renewal of existing grants.
- x. Provide PIs and Executive Management with biannual reports (August and February) on the status of current and pending grants.

C. Fiscal Administrator (FA)

- i. Review grant proposal budgets prior to submission to ORS.
- ii. Upon award, establishes and/or communicates new account numbers to the PI and/or Program Manager.
- iii. Establishes and/or communicates approved budget within Kualu Financial System.
- iv. Submits RCUH Financial and Human Resource Portal access forms, once they are completed and provided by the PI.
- v. Assists PI with assuring all project costs are allowable, allocable, and reasonable and posted in a timely manner to the Kualu Financial System.
- vi. Works with the PI to confirm final expenditures for financial account.
- vii. Verifies that encumbrances and expense items are cleared.
- viii. Provides approval to process final invoice and/or report.
- ix. Provides detailed schedules and backup documentation, if required by sponsor.
- x. Provides the PI and GDC with expenditure reports semi-annually, per the reporting schedule developed by the PI.

D. Human Resources (HR)

- i. Review all hiring requests and provide employee data in grant proposals prior to submission to ensure they adhere to UH policies and procedures (at least three (3) weeks prior to the grant due date).
- ii. Provide PIs with RCUH HR contact information.
- iii. Collaborate with PI and GDC to ensure correct personnel costs, including fringe benefits, are included in grant proposals.

E. Institutional Research (IR)

- i. Work with PI to provide student data required to support grant reporting needs.
- ii. Provide data to PI and GDC to support grant proposals.
- iii. When required, collaborate with PI and GDC to create an Evaluation Plan and/or Data Management Plan.
- iv. Requests to IR should be made at least two (2) weeks prior to PIs deadline.

F. Project Manager (if NOT the PI)

- i. Develop a schedule, collaboratively with the PI, to ensure all sponsor and ORS reporting deadlines established in the award letter are met. This may require data requests from IR. This should be provided to IR and the FA within the first three (3) months of the award.
- ii. Manage and maintain budget, which may include requested revisions with the sponsor. All budget modifications must be communicated to the Business Office prior to submission and after approval. Revisions should be provided to the GDC only after approval by the sponsor.
- iii. Provide the GDC with copies of the award letter, submitted reports, and budget amendments to update grant files.
- iv. The Project Manager must complete the ORS Grant and Certification program online. This must be completed within three (3) months of hire.

G. UH Foundation (UHF)

- i. Work with PI when grant requires a 501c3 (non-profit status).
- ii. Assist in identifying potential corporate, foundation, and/or private donors for requests at least \$10,000, but preferably \$25,000 or more.
- iii. Assist in transfer of funds or account setup with FA and PI after award are made.

## APPENDIX A

Quarterly Progress Report Form due to GDC each quarter (e.g., May 1, August 1, November 1, and February 1).

### **Name of Project**

PI:

Start and Finish Dates:

Today's Date:

Budget:

Funding Agency:

Brief Scope:

### **Budget Reporting**

Projected Expense at End of This Quarter:

Actual Expenditures:

Status (circle one): Good, Cautionary, Poor

Explanation:

### **Time Reporting**

Project % Task Completed:

Actual % Completed:

Status (circle one): Good, Cautionary, Poor

Explanation:

### **Next Report Date**