



OPERATIONS MANUAL 2006-07



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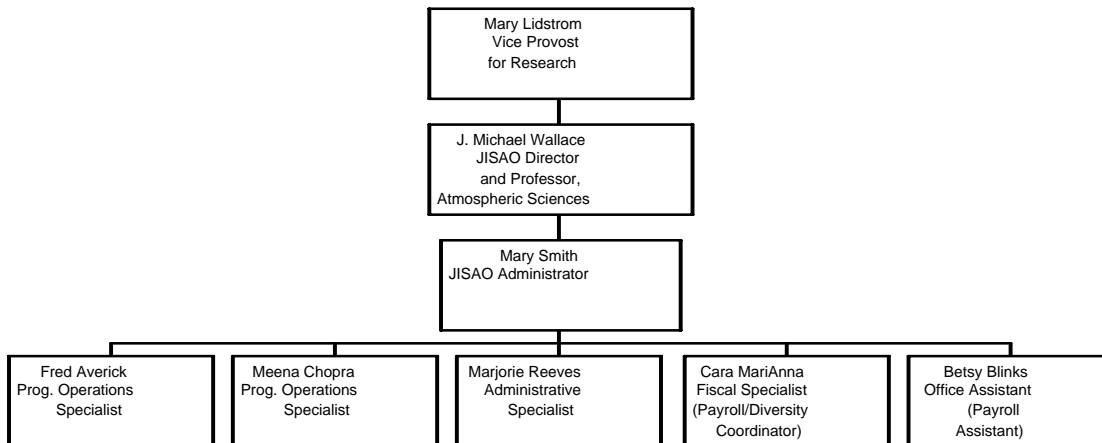
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I. INTRODUCTION

The Joint Institute for the Study of the Atmosphere and Ocean (JISAO), established in 1977, is a NOAA Cooperative Institute at the University of Washington (UW). JISAO fosters collaborative, multi-disciplinary research under four major research themes of regional, national and global significance: 1) Climate; 2) Environmental Chemistry; 3) Marine Ecosystems; and 4) Coastal Oceanography. Research partnerships have been established with the Pacific Marine Environmental Lab (PMEL) and the Office of Atmospheric and Oceanic Research (OAR), the National Weather Service, the National Marine Fisheries Service (NMFS), the National Center for Tsunami Research (NCTR) and a number of UW departments, schools and colleges, including Atmospheric Sciences, Earth and Space Sciences, Oceanography, Aquatic and Fishery Sciences, Marine Affairs, Engineering, Program on Climate Change and the Evans School of Public Affairs. A five-year NOAA Cooperative Agreement is the primary funding source for JISAO, but the institute's research is also funded by other NOAA grants as well as grants from other funding agencies such as NSF. JISAO reports directly to the UW's Office of the Vice Provost for Research at the university level and to the NOAA/OAR Cooperative Institute Program Office at the national level.

This administrative operations manual is for all JISAO faculty, staff and students who follow University of Washington and NOAA rules and regulations in the management of institute operations. These procedures are summarized on the JISAO website at: <http://www.jisao.washington.edu> under the 'Administrative' link, and include activities related to financial management, budgeting, grant and contract administration, human resources management, and other business services provided by the JISAO staff listed in the organization chart below:

UW JISAO ADMINISTRATION
ORGANIZATION CHART



General Staff Responsibilities:

General UW administrative information is found at the Administrative Gateway site at <http://www.washington.edu/admin/>. All administrative staff must know and follow the policies as shown in the UW's Administrative Policy Statements (APS) at <http://www.washington.edu/admin/rules/APS/APSIndex.html>, which replace the old UW Operations Manuals. The information in the APS is a summary of policies, rather than procedures. Specific procedures can be found at the various websites for UW travel, purchasing, (cited below) and also at JISAO's administrative website previously mentioned. The duties of each JISAO staff person are discussed below:

The administrator, in collaboration with the director, is responsible for overseeing all JISAO business operations, providing a variety of management services and support for the institute and its personnel. The director and administrator are ultimately responsible for the financial, personnel and operations management of JISAO. The administrator manages all HR actions including performance reviews, salary increases, disciplinary actions, etc. and serves as a consultant and main point of contact for all staff and faculty who need assistance with personnel matters. The administrator also supervises the administrative staff, delegating/overseeing work and providing direction and training. The administrator, along with the administrative specialist, also provides support to the Senior Fellows, the JISAO leadership group, and represents JISAO at the national level within the network of NOAA cooperative institutes and administration.

The administrative specialist serves as assistant to the JISAO director and manages the master calendar and the coordination of major events and meetings. This person also serves as the travel and purchasing agent for all JISAO personnel and is the main contact for general administrative support, providing information and guidance to faculty, staff, and students regarding various operational questions and procedures.

The program operations specialists are responsible for managing all of JISAO's grants involving the NOAA Cooperative Agreement, as well as other NOAA and non-NOAA grants from other agencies such as NSF. Besides processing all new grants through the UW system, the program specialists handle post-award business. One major service they provide is to prepare regular budget updates for the Principal Investigators (PIs), which include current expenditure status and projections through the end of the grant period. These reports can be used as a budgeting tool for the PIs to administer their grants to ensure appropriate and timely spending with the eventual goal of zeroing out their budget(s). The specialists also prepare monthly reports for the NOAA/PMEL administration for budget tracking purposes. This work requires in-depth knowledge of UW, NOAA and other funding-agency regulations and procedures, so that all systems developed and monitored meet auditing standards.

The payroll coordinator handles all payroll changes and additions for JISAO personnel, requiring in-depth knowledge of the UW payroll and financial systems. The coordinator also collects and records all timesheets for JISAO employees.

The payroll and budget support staff provide clerical assistance to the payroll coordinator and program operations specialists. They also help with the information systems kept by JISAO, regularly updating information as needed.

The diversity program coordinator works with the administrator and other staff to design, develop and implement a strong recruitment and retention plan to attract underrepresented minority groups for both employment and educational opportunities with JISAO.

Besides working daily with UW and PMEL/NOAA faculty, administrators, staff, students, and the general public, the JISAO administrative staff interacts regularly with funding agency representatives and program officers.

II. FINANCIAL MANAGEMENT

Under the general direction of the responsible Principal Investigator(s) (PI), and in collaboration with the administrative offices of the UW, PMEL and NOAA, the administrator oversees JISAO's fiscal operations to ensure compliance with all regulations and auditing procedures. The program operations specialists, payroll coordinator and support staff perform the daily budgetary duties, including all aspects of grant and contract accounting, while ensuring compliance with university, funding agency, state and federal regulations.

JISAO's specific financial duties include developing and implementing new grant and contract awards; establishing/maintaining effective accounting procedures for monitoring activity on all funded awards; reconciling budgets using monthly UW Budget Activity Reports and Budget Status Reports; preparing regular budget updates for the PIs and administrator that include current status and future projections to the end of grant periods; managing sub-contracts and sub-budgets; and overseeing all expenditure activities such as purchasing, petty cash, travel, outside service contracts and campus services (telephone, mailing, computing, communications issues, fax machines, email, voicemail, copying, etc.), initiating, revising, monitoring and tracking payroll; and developing and maintaining financial and payroll files. In addition, the specialists prepare monthly reports for the NOAA/PMEL administration for budget tracking purposes.

Below are the financial tasks outlined in more detail. References and more details on all of these tasks are found in the websites of UW Grant and Contract Accounting at <http://www.washington.edu/research/gca/office/> and UW Office of Sponsored Programs (OSP) at <http://www.washington.edu/research/osp/> and also in hard copies of the UW Grants Information Memoranda, UW Faculty Handbook, notebook from the Faculty Grants Management Program-General Workshop and in the University's UWIN and Financial Desktop systems. Use of the UW Administrative Applications and OPUS systems is an integral part of the financial management process. The systems include information on budgets, grant and contract accounting, payroll, purchasing, and personnel information. UW Staff Training and Development and the UW Computing and Communications offices offer classes in many aspects of UW fiscal processes. Training or experience in all of the above areas is strongly recommended so that the processes are performed according to UW, state, and funding agency standards and regulations. The budget staff also needs to know the grants.gov, grants online, NSF FastLane and other funding agency systems.

A. Grant and Contract Preparation Process:

JISAO grant information is located at:

http://www.jisao.washington.edu/JISAO_admin/GRANTS/Grants_Index.htm.

There is information for PIs and staff who work with grants. Funding opportunities for government funding agencies are found at: <http://www.grants.gov/>

1. Developing budgets and forms

The specialists coordinate the grant proposal process and may develop and compile budgets and related sections for the PI. Duties include ensuring that agency and UW policies are followed and researching and preparing all funding agency and UW forms. Most grants in JISAO are funded by NOAA or other federal agencies, so an initial step in the grant preparation process is to go to the funder's website to read the procedures that must be followed and to follow the online procedures.

The specialists must also prepare grant budgets according to the UW and funding agency financial categories for the UW's eGC-1 form and the agency budget form, respectively. This involves calculating salaries, benefits, services, travel, supplies, tuition, equipment and indirect costs, according to current UW rates. As APL employees are involved in JISAO, the staff must have knowledge of the APL system in calculating prorated direct costs and indirect costs. It is required that the grant budgets display a breakdown of both the UW and APL indirect cost calculations. APL staff may calculate the APL portion of the budget. All policies are detailed in the OSP website at <http://www.washington.edu/research/osp/>. A new UW online grant preparation and approval system is being developed at present and may be available within 6 months. The new system is meant to streamline grant preparation and cut down on the time involved in obtaining approval signatures, etc.

Upon completion of the proposal document and the necessary UW forms (eGC-1, addendum, related forms), allow three weeks time for the proposal to go through the following process, remembering that 10 working days must be given for the review process in the UW Office of Sponsored Programs (OSP) and at least one week for the signature process prior to arrival at OSP.

2. eGC-1 and UW Approval Process

The eGC-1 process through the SAGE system is described at: <http://www.washington.edu/research/osp/esub.html>. The specialists prepare the eGC-1 for the PI, which includes the signature form with the names and titles of all approval departments, colleges and schools involved. After the PI reviews and signs off on the proposal, all JISAO grants must be reviewed and approved by the JISAO director or the JISAO administrator. Depending upon the personnel involved in the proposal, other departmental and college level approvals may be required. For example, if there is an Oceanography faculty member on the grant, the proposal must be signed off by the School of Oceanography chair *and* the Dean of the College of Ocean and Fishery Sciences. If there are Applied Physics Lab personnel in the grant, the APL director must sign off. Examples of previous signature sheets are in the JISAO grant files. The next step is to have the proposal signed off by other collaborating departments and finally by the office of the Vice Provost for Research (JISAO directly reports to this office). The signature/approval process is all done online. ***The last stop is the delivery of the signed proposal to the UW Office of Sponsored Programs (OSP) in time to allow them 10 working days for review and approval.***

The specialists or administrator resolve any questions or problems that any of the reviewers may have before the proposal is submitted to the funding agency.

B. Establishing and Maintaining Effective Accounting Procedures

Once a grant is funded, the program operations specialists develop and maintain efficient accounting systems to ensure budgets are maintained and financial records are consistently kept according to auditing standards and to state, UW, and funding agency guidelines. The administrator supervises the program operations specialists' work, but these positions require several years' of experience in working independently with grant and contract accounting. The UW Staff Training and Development Office offers courses in this area, while the Office of Sponsored Programs, Grant and Contract Accounting and Internal Audit serve as resources when questions arise about appropriate and required procedures.

The program operations specialists design and maintain an electronic accounting system which is used in conjunction with the UW Administrative Applications (FIN, PAS, HEPPS) and BAR/BSR systems to keep accurate, up-to-date information and to track expenditures and other budget activities. The specialists provide monthly updates and projections for each JISAO budget in order to monitor activity and track expenditures through the end of the grant term. By completing a monthly update, it is then possible to project known expenses, such as salaries, benefits, and tuition, and to estimate other expenses, such as supplies and services, with the overall goal of "zeroing" out the budget each year and avoiding any deficits. The system is a series of Excel spreadsheets that are kept on the specialists' computers in budget files for the various projects. There are also hard copy files for each budget. More details on budget updates are explained in the following section.

The UW Grant and Contract Accounting office is responsible for preparing and submitting the official bi-annual and final financial reports for each grant to the funding agencies.

C. Reconciling BAR/BSRs and Preparing Monthly Budget Updates

It is the specialists' responsibility to reconcile the monthly BAR/BSRs and to prepare regular budget updates for the PIs/Directors. Following is the process:

1. Under each budget, there is a pending file. All expenditure documents that have not cleared the BARs are kept in the pending file.
2. When the BAR/BSRs arrive via campus mail (around the 10th of each month), all items are reviewed to ensure that they are correct and legitimate charges. If an issue or error arises, the specialists follow up with appropriate offices to make corrections and/or changes by sending Request for Transfer Expenditures, (RTEs). The Program Operations Specialist signs each BAR/BSR when the reconciliation is complete. The original is placed in the appropriate BAR/BSR file for each budget, and a copy is sent to the department office for their files.
3. All documents that relate to an expenditure (order form, invoice, packing slip signed by purchaser upon arrival, and any other pertinent documents) must be stapled to the

purchase order and filed with the monthly BAR on which it was expended. The expenditure documents are kept in chronological order with the BAR. Grant and Contract/Payroll Certification reports are also used to reconcile the BAR. The Program Operations Specialists continually track expenditure documents and request any that might be missing from the appropriate offices.

4. Those documents that do not clear the BAR for a particular month are placed back in the pending file. These documents need to be included in the budget update as “encumbrances” that have not yet appeared in the UW system.
5. The budget update is then prepared after the BAR has been reviewed and checked off. The BSR shows the budget allocations for each budget category, the current expenditures and encumbrances. This information is transferred to a spreadsheet that has columns for the budget category, expenditures to date, and encumbrances and projections through the end of the grant period. The projections are prepared in conjunction with the PI. The PI must give the specialists information about future planned expenditures to be included in this column. Salaries, benefits, indirect costs, and tuition can be easily projected out according to what is planned for the grant period spending. Averages of the monthly services and supplies categories can be calculated and added to the projections column.
6. The specialists meet periodically with the PI(s) to review their budget updates and to inform the PI(s) of any issues or problems that need resolution. The specialists assist the PI(s) with future budget planning and forecasting.

D. Sub-Contracts

The program operations specialists manage the sub-contracts and sub-budgets funded through JISAO’s grants and contracts. Each sub-contract is handled via the OSP and purchasing system, with the proposal from the sub-contractor used as an “Attachment” to the purchase order. Each subcontract is maintained as a separate budget and managed in collaboration with the OSP subcontract administrator.

E. Purchasing

This office follows standard UW purchasing procedures that can be found on the web at <http://www.washington.edu/admin/purchasing/>. A JISAO purchasing process is also followed and is described at http://www.jisao.washington.edu//JISAO_admin/PURCHASING/PURCHASING.htm

1. A Signature Authority form is completed each time there is a new budget that lists those persons authorized to purchase items. A copy of the form is kept in the JISAO budget office.
2. All purchases against JISAO budgets must be approved and signed off by the PI, director, supervisor or administrator on the purchasing form located at the website above. All purchasing on JISAO's budgets and grants and contracts is initiated on this form and submitted to the administrative specialist at the request of the purchaser

(faculty, staff or graduate student). There are two types of purchasing: 1) on campus items and services, and; 2) items and services from off-campus vendors. The various purchasing methods are:

- 1) **Purchase orders (p.o.s)** that are documents sent electronically through the UW Administrative Applications process to the Purchasing Department;
 - 2) **UW Procured purchases** charged to a Visa ProCard kept in the administrative specialist's office (not to exceed \$2,000 per transaction). The administrative specialist is the only person on staff authorized to charge on the card. Approved forms are given to the specialist who then makes the purchase, and files documentation for the purchase in the pending budget file. The specialists review all ProCard transactions via the online system and the transactions are then reconciled and approved by the administrator each month. The specialists review the expenditures again once the BAR/BSRs arrive listing the card purchases;
 - 3) **Petty Cash purchases charged in one of two methods:** 1) following UW petty cash procedure of up to \$200.00 per transaction; or 2) using the JISAO petty cash fund (see section below for detail).
 - 4) **On-campus purchases:** On-campus purchases are initiated by the purchaser who submits the request to the administrative specialist. The request must have prior approval from the PI, the administrator or director. Such purchases include supplies from central stores, chemistry and physics stores, health science stores, mailing services, copy services, library services, etc. All copies of these transactions are forwarded to the specialists' office and included in the pending budget files until they clear the BAR/BSR process.
3. The specialist makes the purchase on the ProCard or enters purchase orders into the PAS system and follows up the order by sending any attachments or related documents to the Purchasing Department.
 4. The ProCard or purchase order form is kept in the pending budget file. Documentation such as web order forms, purchase order copies (from Purchasing Dept.), receipts, packing slips, etc., is placed in the pending budget file.
 5. When an item arrives, the packing slip must be signed and dated by the receiver. The packing slip is then filed in the pending budget files.
 6. Any original invoices must be sent to Accounts Payable with a note of which budget should be charged with the appropriate purchase order number shown on it.
 7. The administrative specialists and specialists check the purchasing activity regularly to ensure that items ordered are received and that the amounts charged to the budgets are accurate.
 8. Purchase orders are liquidated off the BAR/BSR system as items are received and cleared. Sometimes there are encumbrances that are no longer needed or are

inaccurate and they must also be cleared from the budget at some point during the grant period so that the budget is credited or debited appropriately.

F. Receiving Cash, Checks or Other Awards

This office never receives cash (except for the on-site petty cash fund) and rarely receives checks for any reason. Occasionally, a grant award or gift may come directly to the administrative office or to the PI's office first before being sent on to the appropriate office. If a check comes in from a funder, the specialists prepare an eGC-1 form with a breakdown of the total amount according to UW categories, following the pre-arranged agreement with the funder. A cover letter explaining the required action is prepared and any other pertinent correspondence or documentation is attached to the eGC-1 form. The form is reviewed, approved and signed by the administrator and/or director, any other necessary approvers and taken to the Vice Provost's office for review. If there is a problem, the administrator or specialists find resolution. It is then sent to Grant and Contract Services and Accounting offices for inclusion in the UW financial system.

However, if a check comes in as a gift, the donor's cover letter and the check are sent directly to the Vice Provost's office and then to Accounting for processing. The UW gift process is followed at <https://devar.washington.edu/departments/gpa/index.asp> and the final result of that is a gift budget will be established to spend against the monetary gift. Parameters for spending on this budget will be described in the funder's initial letter announcing the gift.

If JISAO plans to present workshops or conferences that require the collection of registration fees, a special revenue budget will be established. Checks will be received from the participants, cash transmittal forms completed, and the checks will be submitted within 24 hours of receipt, according to UW check handling policies.

G. Petty Cash

Petty Cash is handled by the program operations specialists and approved by the administrator. The UW procedures they follow are described at: <http://www.washington.edu/admin/purchstores/yourdept/pettycash.html>. A request with the receipt from the purchaser is given to the specialists and they prepare either a check reimbursement from the JISAO account or send a request through the UW Petty Cash office, depending upon the amount of the reimbursement. Three employees are involved in the petty cash reimbursement process so that there are checks and balances in place for this procedure. A specialist receives the receipt and request, prepares the reimbursement and requests review and approval from the administrator or director. A separate individual who does not prepare reimbursements makes deposits to the JISAO petty cash account. There are three JISAO employees on the petty cash account so that the various functions can be covered.

1. Petty Cash Advances

Petty cash advances are not usually given to JISAO employees or students because the flexibility to purchase through the UW system makes it unnecessary to use personal funds. This is not always the case when personnel are in the field, however,

where they have difficulties at times in charging the UW credit card or using the system from a remote location.

2. Petty Cash Reimbursements

Forms for Petty Cash reimbursements are located in the office forms file and online. The pertinent information is filled in on the form and the purchaser's receipts are attached. The Petty Cash form is reviewed by the administrator and approved and initialed by the PI and/or administrator. The analyst or other staff member then takes the form and receipt(s) to the Purchasing Petty Cash desk where cash is obtained and then given to the purchaser. The purchaser cannot be the person who obtains the reimbursement at the Petty Cash office.

H. Payroll, Employee Leave and Cruise Policy Systems

JISAO follows all payroll policies and regulations of the University of Washington, as described at <http://www.washington.edu/admin/payroll/pcguide.html>. The PIs, supervisors, director or administrator initiate all JISAO payroll actions. Employees are not allowed to initiate their own payroll changes. There are two types of payroll: 1) the regular monthly payroll for salaried faculty, staff, and graduate student appointments, and; 2) the hourly payroll for temporary employees and student helpers. All payroll and employee leave records are handled through the UW OPUS and OWLS systems. Notification of payroll changes is sent electronically to the payroll coordinator, who in turn, pastes this information into the OPUS system. Payroll is approved bi-weekly by the administrator or several others within JISAO who have the authority to do so (director, program manager).

1. Faculty, Staff, Graduate Student Appointments

The payroll coordinator initiates payroll additions and revisions according to directions from the PI, director or administrator sent to the coordinator via email with all pertinent information. The email should include information on: 1) the budget number, 2) the percentage of time the person will work on the particular budget, 3) beginning and end dates that the person will work on the budget, and 4) any other pertinent information. ANY payroll change must be given to the payroll coordinator IN ADVANCE so that there is time to put it in the payroll system, so that employees do not drop off the payroll, or receive compensation for which they are not entitled. This includes all periods of Leave Without Pay (LWO), leave on FMLA or terminations. The payroll coordinator then initiates the action through the OPUS system.

New employees must meet with the JISAO payroll coordinator to fill out an employment packet of necessary forms found on the JISAO administrative website at: http://www.jisao.washington.edu/JISAO_admin/ and to be instructed about new employee orientation, benefits, etc. All UW benefits are detailed at: <http://www.washington.edu/admin/hr/benefits/> The administrator and the payroll coordinator hold the joint responsibility of greeting new employees, answering questions they may have about UW employment, assigning a work space and

equipment, providing access to the UW network and email systems and serving as consultant on UW rules and procedures.

2. Grant and Contract/Payroll Certification Forms

Following a formalized JISAO procedure, the payroll coordinator or her assistant distributes the monthly Grant and Contract Certification Reports (GCCRs) to the PIs and administrator for their approval signatures. All payroll files and documents are confidential and are maintained as such (although the salaries of state employees are public information and can be accessed through various systems). Copies of the certifications are kept in the JISAO payroll office as well as with individual PIs. The program operations specialists use the information on these forms in projecting salary expenditures in the monthly budget updates. The UW OPUS and HEPPS systems, which have detailed payroll information for each employee, are also used in this process. As mentioned, the JISAO payroll staff have written procedures and systems in place to ensure timely review and signatures are obtained on the GCCRs. These procedures are available at the payroll workstations.

3. Monthly Staff Timesheet and Vacation/Sick Leave Records

All salaried staff must complete timesheets at the end of each month, have them approved/signed by their supervisor and/or the PI, and send them to the payroll coordinator. Blank forms are displayed online at the JISAO website. If any sick, vacation or other types of leave are taken, the employee details that information on the timesheet and the supervisor signs as approval of the leave (although vacation leave approvals are obtained before the time taken off). Each employee signs the form, as well as the supervisor. If the supervisor is unavailable, there are two back-up personnel who can sign the timesheets: the JISAO director or administrator. All vacation/sick leave forms can be located on the JISAO administrative web site at: http://www.jisao.washington.edu//JISAO_admin/PAYROLL/Payroll.htm The JISAO Cruise Policy is described at: http://www.jisao.washington.edu//JISAO_admin/PAYROLL/Cruise%20Policy.htm and outlines how employees account for their time when on research cruises.

4. Hourly Employees

The PI and/or administrator hire hourly employees with prior approval. Hiring supervisors give employee information to the administrator, who in turn gives it to the payroll coordinator. New hourly personnel fill out the necessary hiring paperwork found on the JISAO administrative web site. The payroll coordinator will review the paperwork to ensure all is complete.

Hourly timesheets are due every two weeks and must be completed by the employee and signed by the supervisor *and* the PI. Everyone needs to comply with the deadlines so that the payroll coordinator has enough lead time to complete the payroll. Timesheets must be submitted to the PM at least one day before the department deadline. Any additions and/or revisions to the hourly payroll need to be processed through the administrator and payroll coordinator so that there is always

the most accurate and current information in the JISAO files. The payroll coordinator circulates timesheet deadlines and other pertinent information to all involved employees and supervisors.

I. Equipment Inventory and Property Activity

The administrator and assistant, in collaboration with PIs and equipment users, manage the JISAO equipment inventory and property activity. JISAO follows the University, State of Washington and federal regulations regarding equipment purchase, use and disposal. The UW web site at: <http://www.washington.edu/admin/rules/APS/61.01.html> provides the details of this system.

The administrative assistant records and maintains the current JISAO equipment inventory list. When a piece of equipment over \$2,000 is received by JISAO personnel, the administrative specialist adds the item to the inventory and obtains a UW equipment tag with a tag number. The equipment user must place this tag on the equipment for tracking purposes. A copy of the purchase order is also sent to the equipment inventory coordinator. Tag numbers and serial numbers are listed on the inventory list, which also includes information on the person responsible for the equipment and its location.

IMPORTANT: If a piece of equipment is taken to a different location (e.g., home to use for business purposes or to a remote research location), the responsible person **MUST** report this to the administrative assistant and give the new location, which is then noted on the equipment inventory list. Any time equipment is moved, the new location **MUST** be reported. When the equipment becomes obsolete or no longer of use, the responsible person **MUST** return it to the JISAO office so that it can go through the surplus system.

A Property Activity form must be filled out and approved by the PI(s), and the JISAO administrator for all property that is being surplused or moved to other locations and/or departments on campus or elsewhere. Equipment purchased on federal grants must go through a special surplus approval process conducted by the UW Property Manager at the Equipment Inventory Office.

The PI and the department chair or administrator must sign the Property Activity form. If the property is being surplused, the form is sent to the Surplus Office and arrangements are made in advance to have the equipment transferred to that office. JISAO personnel can transport the equipment to the Surplus Property office or it can be picked up at JISAO by the Surplus office.

J. Travel Procedures

JISAO's travel procedures are found at: http://www.jisao.washington.edu//JISAO_admin/TRAVEL/Travel_Inde.htm JISAO follows State of Washington and federal travel procedures. Comprehensive procedures may be found at: <http://www.washington.edu/admin/travel/>

1. Pre-travel

The administrative specialist handles travel arrangements and reimbursements for JISAO personnel.

The PI or administrator approves travel funded by a specific grant. The JISAO director approves travel for the PIs or for faculty who are traveling on department budgets, and the Vice Provost approves travel for the Director.

Travel is initiated with a travel request form found on the JISAO administrative website that is cited above. As mentioned earlier, Per Diem Advances may be given to those who need them. Most JISAO travelers use the corporate travel account for airfare. An email is sent to the travel coordinator (administrative specialist) requesting use of the account with details of the traveler's itinerary, the budget number to be charged, and total amount of travel. The travel agent faxes the itinerary to the traveler and to the administrative specialist. The amount is later charged to one of JISAO's budgets.

Most staff and students make travel arrangements for themselves through a travel agent who handles UW travel business. When a member of the group is planning to attend a scientific meeting, the traveler checks with the PI and/or Director as to whether the budget associated with the project can cover the intended travel and to seek pre-approval.

2. Post-travel

Upon return, the traveler gives all receipts for travel to the administrative specialist. These generally include the original hotel receipt(s) and miscellaneous expenses such as taxis and shuttles or registration fees over \$50.00; miscellaneous expense receipts under \$50.00 are not required, but the traveler should keep a list of these so that they can be claimed on the reimbursement voucher. Meal receipts are not required as meals are reimbursed at flat rates, according to the city visited (see <http://www.washington.edu/admin/travel/contracts.html#meal.lodging.rates>). The administrative specialist instructs the traveler to fill out a draft Travel Expense Voucher (TEV), which has all the necessary information for reimbursement. The administrative specialist prepares the TEV, has the traveler and the PI sign it, and sends the form to the Travel department office for processing. If the PI is the traveler, the director or departmental Chair must sign the TEV.

3. Travel Card and CTA Account Procedures

It is University of Washington policy that all airfare paid from University budgets is charged either to individual UW corporate travel cards or to a joint account.

The PI and budgetary authority approves the travel in advance to ensure that it is appropriate and that the correct account is charged. The administrator or director review and approve the travel after the PI or budget authority has approved. The traveler is instructed to give all travel information to the travel agent, who charges the JISAO account, sends the ticket information and amount to the travel coordinator and has the airline tickets delivered by mail or via electronic ticketing to the traveler.

When the reservation is made, the administrative coordinator receives a copy of the itinerary with the correct airfare amount on it. Copies of the itinerary are given to the program operations specialists to be filed in the appropriate pending budget file.

4. Foreign Travel

Foreign travel has certain restrictions related to visas and other issues. Before coordinating any foreign travel, the administrative specialist and the traveler should review and follow the foreign travel regulations found at:

<http://www.washington.edu/admin/travel/foreign.travel.html>.

III. Human Resources Management and Supervision

JISAO follows UW, state and federal regulations regarding human resources management. Information on UW Human Resources is found at <http://www.washington.edu/admin/hr/>. The administrator serves as the JISAO human resources manager, in collaboration with the UW and PMEL administrations. Responsibilities include: managing the hiring process; overseeing the performance review process; providing counsel and information to supervisors and employees on federal, state and university human resources regulations and policies; initiating personnel actions, such as merit reviews, promotions, in-grade salary increases; and handling disciplinary processes as necessary. The administrator directly supervises the JISAO administrative staff. Extensive experience and training in human resources management and in effective supervisory skills are required.

The administrator provides consultation on information regarding communication, conflict resolution, proactive problem solving and team building, facilitates staff training and disseminates information as needed. The administrator promotes good working relationships and open communication with all staff, faculty and students, and all other personnel and agencies dealing with JISAO.

All personnel appointments are coordinated through the administrator's office, including new hires, promotion paperwork, visa requests, etc., ensuring correct procedures are followed and documents are complete for submission to the appropriate offices for processing. The administrative specialist works with the administrator on these actions.

To ensure compliance with University and federal regulations, the administrator and administrative specialist initiate, manage and track the hiring process, including new position advertisements, maintaining appropriate contact with applicants and keeping accurate records of applications. For employees who handle hiring of personnel, the administrator will provide information on the review and selection of applicants, the interview process and reference checking. Additionally, the administrator provides consultation to staff members on the process of writing position upgrades and job descriptions, procedure interpretation, etc.

The administrator maintains human resources files for faculty and staff, including CVs, job descriptions, promotion documents, performance evaluations, and training records and sends appropriate documents to the UW HR Department for filing in official personnel records. The administrator identifies and participates in HR training courses to add to job skills, as desired/required since the position is dynamic and evolving as JISAO changes. Training courses are also available to all JISAO administrative and scientific staff.

IV. Safety Committee:

The JISAO Safety Committee is comprised of the administrator, the administrative specialist and one program specialist. To date, this committee has developed a general safety plan that includes specific fire safety instructions and identifies first aid and CPR-trained staff. This information can be found at http://www.jisao.washington.edu//JISAO_admin/Safety%20Information.htm Future work of the committee will involve an earthquake preparedness plan.

V. General Administrative Support

1. Writing/editing

The administrator assists in writing and editing grant proposals, websites, reports, correspondence, public relations documents, newsletters, etc. The JISAO Annual Report is compiled and completed by the director, administrator and a program operations specialist.

2. Systems Administration

JISAO's systems administration is handled by a private, part-time consultant, who handles various tasks such as network administration, troubleshooting problems, backups, loading new software, maintaining a current list of software and licenses, etc.

3. Website Development and Maintenance

The administrative staff is responsible for managing JISAO's websites. An administrative site was developed and, as mentioned earlier, is located at: http://www.jisao.washington.edu//JISAO_admin/ The information at this site is provided for all JISAO employees as a service and is updated on a regular basis. The main JISAO web site is developed by the director and administrator who may request support from various other sources.

4. Information Systems Development and Records Management

The administrator is responsible for developing information and tracking systems for the data kept for JISAO's business records. The administrator and administrative staff design and implement a management plan and a scheduling/tracking system for keeping necessary information. These systems include databases, spreadsheets, computerized and hard copy filing systems, communications systems, etc. This requires advanced experience and training in the use of computers, database management and various types of software.

The JISAO staff follow the UW's records management procedures found at <http://www.washington.edu/admin/recmgt/index.php> This includes following the General Records Retention schedule outlined at this site. *It is also important to note that computer files on all employees' computers, as well as all hard-copy files, are to be maintained and kept according to this schedule.*

5. Strategic Planning

In collaboration with the JISAO Fellows, the director and administrator design and implement a strategic planning process for the institute. This involves creating the future vision and direction of JISAO.

VI. Management of Intellectual Property

Should there be a need, the administrator is responsible for creating a plan to ensure protection of JISAO's intellectual property and any products developed, in compliance with UW procedures for copyrighted and intellectual materials. This plan should be developed in collaboration with the UW's Tech Transfer Office. Information on this office is at: <http://depts.washington.edu/techtran/>. The administrator would facilitate the process by directing the development and implementation of technology transfer documents, including participation, licensing and royalty agreements.

VII. Collaborations with Other Campus Units and Outside Organizations

The administrative staff serves as the liaison between the JISAO units and other campus units and outside organizations, as well as works within the national network of NOAA joint institutes. Strong public relations, communications, collaboration, and team-building skills are required on the part of all staff.

VIII. Volunteer Committee Work

The administrator or other administrative staff may volunteer or be asked to serve on various UW or outside committees. This work may require strong facilitation, organizational, training and presentation skills.

IX. Professional Staff Development and Training

The administrative staff must keep current on grant and contract regulations and procedures, UW accounting procedures, and other University processes. It is also important to maintain up-to-date management, computer, supervisory, communications, and interpersonal skills. A training and development plan is created during the annual staff performance reviews, in collaboration with the supervisors of each position.

X. Special Projects

Special projects may be assigned to the administrative staff at any time. This could be writing or editing projects, program outreach, committee work, fundraising efforts, etc.

ADDENDUM 1

The following document serves as a reference for JISAO and UW departmental staff on procedures agreed upon at a collaboration meeting on November 18, 2004.

Collaboration Meeting Minutes JISAO, Oceanography, Fisheries, APL, Atmospheric Sciences

Thursday, November 18, 2004
FSH 314*

- **Introductions and meeting goals**

- How can we improve overall communication and shared work between JISAO and other departments?

We agreed that it is important to hold periodic meetings to directly discuss and problem solve issues. JISAO will be responsible for organizing these meetings when there is a need. JISAO will also make an extra effort to send email communications when there is important information to share.

- **Grant award and supplemental funding processes**

- Who should receive copies of the NEAs and/or TRANPASUs and other related paperwork?

It was decided that both the departmental office holding a grant and the JISAO budget staff should receive NEAs and TRANPASUs. Mary offered to call GCA to request that they send copies to both offices. She has since done this and GCA has responded that they will make a greater effort to regularly send the copies to the correct staff.

- Who should handle the grants management and who should be responsible for the accounting and documentation?

The department representatives said that it would be best if they continue to have control over accounting and documentation of the JISAO grants they hold. JISAO program operations specialists will be kept informed of the status of JISAO budgets, but will not collect budget documentation or paperwork. If stray documents are sent to JISAO, the program operations specialists will send them on to the appropriate departmental office.

- How can we improve communication regarding award processing?

This process should improve with the greater effort by GCA to send NEAs and TRANPASUs to the correct staff.

- **TA/RA payroll process**

- Does the employing or home department handle the paperwork?

This question has not been finally resolved. Most of the departments want to continue handling payroll for the JISAO TA/RAs in their departments. Marine Affairs has some concerns about this process and would prefer that the payroll be handled within JISAO. Since JISAO is not an academic department, is physically removed from the TA/RAs, and has not handled TA/RA payroll in the past, there are some questions about how the process could work effectively. A decision on how to handle this is still pending.

- **Coordinating equipment inventory between departments**

Don Atkinson asked whether it would be possible to have equipment items that are located in departments, but purchased by JISAO, transferred to the inventory system for the department. Marjorie has investigated this question and has found that it is possible and that we would just need to fill out the 1024 for the transfers. The Equipment Inventory Office offered to help us with this process. A meeting should perhaps be held between JISAO and the departments interested in this to plan the process to complete it.

The meeting adjourned.