Notice of Meeting

UNIVERSITY OF HAWAI’I

BOARD OF REGENTS COMMITTEE ON RESEARCH AND INNOVATION

Date: Wednesday, April 6, 2016
Time: 9:00 a.m.
Place: University of Hawai‘i at Mānoa
Information Technology Building
1st Floor Conference Room 105A/B
2520 Correa Road
Honolulu, Hawai‘i 96822

AGENDA

I. Call Meeting to Order

II. Approval of Minutes of the February 11, 2016 Meeting

III. Public Comment Period for Agenda Items: All written testimony on agenda items received after posting of this agenda and up to 24 hours in advance of the meeting will be distributed to the board. Late testimony on agenda items will be distributed to the board within 24 hours of receipt. Registration for oral testimony on agenda items will be provided at the meeting location 15 minutes prior to the meeting and closed once the meeting begins. Written testimony may be submitted via US mail, email at bor@hawaii.edu, or facsimile at 956-5156. Oral testimony is limited to three (3) minutes.

IV. Agenda Items

A. For Information
   1. Report on Extramural Awards

B. For Action
   1. Recommend Approval of Proposed Amendments to Regents Policy Chapter 12 - Research

V. Adjournment
## Extramural Awards Summary Report as of March 25, 2016

### Campus Summary

<table>
<thead>
<tr>
<th>Campus</th>
<th>2016</th>
<th>2015</th>
<th>$ Change</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hawaiʻi Community College</td>
<td>60,000</td>
<td>1,829,439</td>
<td>(1,769,439)</td>
<td>-96.7%</td>
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<tr>
<td>Honolulu Community College</td>
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<tr>
<td>Kapiʻolani Community College</td>
<td>3,700,242</td>
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<td>-14.5%</td>
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<tr>
<td>Kauaʻi Community College</td>
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<td>(297,681)</td>
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</tr>
<tr>
<td>Leeward Community College</td>
<td>3,170,488</td>
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<td>(517,666)</td>
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</tr>
<tr>
<td>University of Hawaiʻi at Hilo</td>
<td>9,375,735</td>
<td>18,056,180</td>
<td>(8,680,445)</td>
<td>-48.1%</td>
</tr>
<tr>
<td>University of Hawaiʻi at Manoa</td>
<td>224,781,235</td>
<td>221,094,655</td>
<td>3,686,580</td>
<td>1.7%</td>
</tr>
<tr>
<td>University of Hawaiʻi at West Oʻahu</td>
<td>5,276,027</td>
<td>3,391,143</td>
<td>1,884,884</td>
<td>55.6%</td>
</tr>
<tr>
<td>University of Hawaiʻi Maui College</td>
<td>8,170,641</td>
<td>18,261,422</td>
<td>(10,090,781)</td>
<td>-55.3%</td>
</tr>
<tr>
<td>University of Hawaiʻi System</td>
<td>21,513,755</td>
<td>36,532,106</td>
<td>(15,018,351)</td>
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</tr>
<tr>
<td>Windward Community College</td>
<td>5,248,644</td>
<td>5,269,074</td>
<td>(20,430)</td>
<td>-0.4%</td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td><strong>284,800,566</strong></td>
<td><strong>315,533,175</strong></td>
<td><strong>(30,732,609)</strong></td>
<td><strong>-9.7%</strong></td>
</tr>
</tbody>
</table>
MEMORANDUM

TO: Eugene Bal, Chairperson
BOR Committee on Research and Innovation

VIA: David Lassner
President

FROM: Vassilis L. Syrmos
Vice President for Research and Innovation

SUBJECT: BOR COMMITTEE ON RESEARCH AND INNOVATION AGENDA MATERIALS FOR APRIL 2016 MEETING

Please find attached the following material that will be discussed at the April 2016 BOR Committee on Research and Innovation meeting:

- BOR Action Memo: Proposed Amendments to Regents Policy Chapter 12, Research

Attachment
MEMORANDUM

TO: Eugene Bal, Chairperson
    Board of Regents Committee on Research and Innovation

VIA: David Lassner
     President

FROM: Vassilis L. Syrmos
      Vice President for Research and Innovation

SUBJECT: PROPOSED AMENDMENTS TO REGENTS POLICY CHAPTER 12 – RESEARCH

SPECIFIC ACTION REQUESTED:

It is requested that the Board of Regents approve the proposed amendments to Regents Policy Chapter 12 – Research. The proposed amendments update and clarify the broad statements of principle and philosophy that guide the research, innovation and other scholarly endeavors of the University of Hawai‘i (UH).

RECOMMENDED EFFECTIVE DATE:

The recommended effective date is May 1, 2016.

ADDITIONAL COST:

There are no additional costs associated with this request.

PURPOSE:

The purpose of this request is to begin the process of reviewing and updating the University’s research policies and procedures by updating and clarifying the Regents Policies (RPs) that provide guidance for its research, innovation and other scholarly endeavors. This included consideration of what statements of principle and philosophy should be contained in the RPs and the administrative direction that should be

BACKGROUND:

In 2013, the University administration started a process to update and harmonize UH's policies and procedures, some of which have not been updated for 20 years or more. In 2014, EP 2.201, Systemwide Policies and Procedures and AP 2.201, New or Amended Policies were issued to guide the drafting, formatting, and vetting of policies and procedures. In addition, the Policies and Procedures Information Systems (PPIS) website was released in late 2014 to host all UH policies and procedures.

The Vice President for Research and Innovation (VPRI) convened a Research Policy Task Force (RPTF) in spring of 2015 to review and recommend updates to UH's research policies and procedures starting with the Regents Policies (RPs). The RPTF is comprised of representatives of the Office of the VPRI, Office of the UH Mānoa Vice Chancellor for Research, and a faculty member from the physical sciences, life sciences, and social sciences. One of the faculty members currently serves as the chair of the RPTF.

The RPTF agreed that the RPs should remain as broad statements of principle and philosophy, and that review and update of detailed policies and procedures (i.e., EPs and APs) would occur after the Regents Policies are updated.

The table below summarizes the intent of the proposed amendments:

<table>
<thead>
<tr>
<th>RP</th>
<th>Title</th>
<th>Intent</th>
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<tbody>
<tr>
<td>12.201</td>
<td>Ethical standards of Conduct</td>
<td>Clarify policy to apply to research and scholarly activities and update examples of misconduct.</td>
</tr>
<tr>
<td>12.202</td>
<td>Principal Investigator</td>
<td>Clarify whom can be a principal investigator (PI), the conditions, and how changes in PI are to be handled.</td>
</tr>
<tr>
<td>12.203</td>
<td>Right to Investigate and Disseminate</td>
<td>Clarify that research is conducted on behalf of the University, but is directed by investigators; clarify that faculty member’s research is still subject to critical review; and refer to due process for resolving disputes rather than to a named body that may change.</td>
</tr>
<tr>
<td>12.206</td>
<td>Establishment and Review of Organized Research Units</td>
<td>Clarify organizational levels and means of financing of ORU; clarify that Board’s role</td>
</tr>
</tbody>
</table>
is to approve establishment and discontinuance of ORU after University review and recommendation; and emphasize that ORU review process should be described in EP and AP.

| 12.207 | Research Corporation of the University of Hawai'i ("RCUH") | Clarify what RCUH service order transactions need to be approved by the Board; clarify when RCUH direct projects may be used; and clarify that University President annually reviews UH-RCUH master agreement. |
| 12.208 | Awards for Excellence in Research | Clarify that Board’s role is to endorse recipients of Regents Awards for Excellence in Research and emphasize nomination and selection process should be at University President’s discretion. |

RP 12.204, Classified Contracts, was updated recently to comply with a strict federal deadline. Future revisions are anticipated to be handled using the normal consultation process for University policies and procedures.

Update of RP 12.205, Patent and Copyright Policy, has been deferred until the University administration determines the process for updating the Hawai'i Administrative Rules that are referenced by the policy.

The draft policies and procedures were submitted to vice presidents, chancellors, All Campus Council of Faculty Senate Chairs (ACCFSC), Mānoa Faculty Senate (MFS), Hawai’i Government Employees Association (HGEA), and University of Hawai’i Professional Assembly (UHPA) for consultation. In addition, the draft policies and procedures were hosted on the VPRI web site for a 60-day public commenting period from November 2015 through January 2016. HGEA and UHPA requested and were granted an extension of time to submit their comments.

A total of six responses containing comments/concerns were received, including comments from HGEA and UHPA. The RPTF reviewed the responses and hence determined that additional changes should be made to RP 12.206, Establishment and Review of Organized Research Units and RP 12.207, Research Corporation of the University of Hawai'i. Brief summaries of the comments/concerns and additional changes can be found in the attached “Explanation of Proposed Changes”.
ACTION RECOMMENDED:

It is recommended that the Board of Regents approve the proposed amendments to the Regents Policy Chapter 12 – Research since the proposed amendments update and clarify the broad statements of principle and philosophy that guide the research, innovation and other scholarly endeavors of the University of Hawai‘i.

Attachments
- Explanation of Proposed Changes
- Clean copies of amended Regents Policy Chapter 12 – Research sections
- Ramseyer format copies of amended Regents Policy Chapter 12 – Research sections

c: Cynthia Quinn, Executive Administrator and Secretary to the Board of Regents
Explanation of Proposed Changes

RP 12.201 – Ethical Standards of Conduct

Language was added to RP 12.201 I to emphasize that the document relates to ethical standards of conduct in research and scholarly activities as opposed to general ethical conduct.

Original language: To set forth policy regarding ethical standards of conduct.

Proposed language: To set forth policy regarding ethical standards of conduct in research and scholarly activities.

Language under RP 12.201 III.A. was updated to include current terminology and concepts found in federal and state regulations to describe examples of misconduct.

Original language: In the conduct of research and scholarly activities, faculty members and staff shall adhere to strict ethical standards of conduct. Failure to adhere to ethical standards includes, but is not limited to falsification of data, plagiarism, abuse of confidentiality, dishonesty in publications, deliberate violation of regulations, property violations, the failure to report observed fraud, and potential conflicts of interest.

Proposed language: In the conduct of research and scholarly activities, faculty and staff shall adhere to strict ethical standards of conduct. Failure to adhere to ethical standards includes falsification of data, plagiarism, breach of confidentiality, dishonesty in publications, deliberate violation of regulations, misappropriation of resources, utilizing one’s official capacity to gain undue benefits for oneself or others, exploiting subordinates, including students, and failing to disclose and properly manage potential conflicts of interest.

COMMENTS/RESPONSES:

No comments or concerns were received concerning the proposed changes.
RP 12.202 – Principal Investigator

Language describing who can be a principal investigator under RP 12.202 III.A. was updated to recognize that persons in non-compensated board appointments can serve as principal investigator. Language was also added to emphasize that the role of principal investigator is associated with externally funded contracts and grants.

Original language: Only university board appointees may serve as a principal investigator.

Proposed language: Only university board appointees may serve as principal investigator for an externally funded contract or grant. In the context of this policy, adjunct faculty, research affiliates, and emeriti faculty in non-compensated university appointments may serve as principal investigators.

New language is added to describe the conditions for serving as principal investigator, which were located in RP 12.203. However, the original language did not make the connection clear. In addition, language was added to clarify that an external sponsor’s process for changing principal investigators shall be followed.

Proposed language:
12.202 III.B. The privilege to serve as a principal investigator is conditioned on the following criteria: the proposed program or activity is desirable and compatible with the mission of the respective academic or research unit; those university officials responsible for committing the use of facilities and other resources of the University agree to accept the commitment involved; the investigator has accepted the terms and conditions of the contract or grant; and the investigator has disclosed all potential conflicts of interest.

12.202 III.C. Changes in principal investigator shall be done in accordance with awarding agency policies and procedures such as the National Institutes of Health Grants Policy Statement or National Science Foundation Award and Administration Guide.

COMMENTS/RESPONSES:

Comment: An anonymous commenter questioned who would be responsible for policing whether a project is “desirable and compatible.” The commenter viewed the change as a new policy that would give the University the right to say “No” to potentially controversial research.

Response: Acceptance of a project by the University has always been conditional. Thus, the language change doesn’t create new policy. It is one of four criteria. In the case of extramural awards, approval of the myGRANT document signifies that the dean/director believes the project meets the criteria. The proposed change removes what was considered subjective language about the proposal’s merit and investigator’s qualifications. Thus, no additional changes will be made to the proposed language.
Language under 12.203 III.B was clarified to emphasize that research is conducted on behalf of the university, which provides support or resources. However, the research is directed by individuals or groups of investigators associated with the university. The intent was to preserve the spirit of the original language and also reflect that externally sponsored awards are made to the university and not individuals per se.

Original language: At the University, all research is undertaken voluntarily by individuals or groups of investigators. The “University” as such is not engaged in research. It may provide facilities, equipment and certain kinds of facilitating administrative services to facilitate the research. Whenever a given research proposal, however, involves special financing, whether by agencies inside or outside of the university, there is a joint decision to submit the proposal by the principal investigator and the various university reviewers.

Proposed language: Research conducted on behalf of the University, whether funded by an external sponsor or through an application of University resources, is directed by individuals or groups of investigators associated with the University. University officials responsible for committing resources such as facilities, equipment and administrative support may decide whether to support projects or to apply for external funding for projects, but may not direct the research. Thus, research is conducted under joint decisions by investigators and university officials.

Language was added to 12.203 III.C to acknowledge that while the university recognizes a faculty member’s academic freedom, this does not mean that a faculty member’s research is immune from critical review.

Original language: The university guarantees the freedom to inquire of each member of the academic community and affirms the right of each member to gain access to all available relevant information. Each member also has the absolute right to choose whether, how, and where to publish scholarly conclusions and results of research.

Proposed language: The University guarantees the freedom to inquire of each member of the academic community and affirms the right of each member to gain access to all available relevant information. Each member also has the absolute right to choose whether, how, and where to publish scholarly conclusions and results of research. The commitment to academic freedom in the conduct of research does not imply that the faculty member’s research is not subject to critical review and judgment as to its quality and significance.

Although the language might be more applicable to externally sponsored research, the language under 12.203 III.E was retained and revised to be consistent with the proposed language under RP 12.202 III.B to reflect the general conditions for accepting research projects.

Original language: Whenever a given research award is accepted by the university, it means that the following conditions have been met: the proposal has scholarly merit; the investigator is deemed capable of undertaking it; those responsible for committing the use of facilities and other resources of the University agree to accept the commitment involved; the investigator accepted the terms and conditions of the contract or grant; and the investigator has disclosed all potential conflicts of interest.
Proposed language: Whenever a given research project or award is accepted by the University, it means that the following conditions have been met: the proposed program or activity is desirable and compatible with the mission of the respective academic or research unit; those responsible for committing the use of facilities and other resources of the University agree to accept the commitment involved; the investigator accepted the terms and conditions of the contract or grant; and the investigator has disclosed all potential conflicts of interest.

Language under 12.203 III.F was revised to remove references to a non-existent entity and to generically refer to due process available to faculty to resolve disputes regarding scholarly activity. This was done so that the RP would not have to be updated to reflect the different bodies established by campuses to handle disputes, which may change.

Original language: All cases of indecision, or unfavorable decisions to be reviewed by university authorities will be referred to the Academic Freedom Committee of the University Faculty Senate for hearing according to established due process procedures.

Proposed language: Any disputes of scholarly activity involving university officials designated with approving authority shall be resolved according to established University due process procedures.

COMMENTS/RESPONSES:

Comment 1: An anonymous commenter questioned who would be responsible for policing whether a project is “desirable and compatible.” The commenter viewed the change as a new policy that would give the University the right to say “No” to potentially controversial research.

Response 1: Acceptance of a project by the University has always been conditional. Thus, the language change doesn’t create new policy. It is one of four criteria. In the case of extramural awards, approval of the myGRANT document signifies that the dean/director believes the project meets the criteria. The proposed change removes what was considered subjective language about the proposal’s merit and investigator’s qualifications. Thus, no additional changes will be made to the proposed language.

Comment 2: UHPA noted that disputes such as academic freedom should be handled according to the UHPA collective bargaining agreement and suggested that the RP recognize contract language.

Response 2: The existing RP and collective bargaining contract section have issues with respect to entities that may not exist or be called something else on the respective campuses. References to contract language or entities should be addressed at the EP or AP level. The proposed change emphasizes that due process be followed, but doesn’t tie resolution to a specific entity. Thus, no additional changes will be made to the proposed language.
RP 12.206 – Establishment and Review of Organized Research Units

Language under 12.206 II.A was updated to reflect that an Organized Research Unit (ORU) can be established at the level of a school or college (Level 5) or at the departmental level (Level 4) and that ORUs receive institutional support in the form of general funds programmed for research (UOH-102).

Original language: The board approves extra-departmental administrative structures, commonly referred to as organized research units (“ORU”). ORU provides a locus for faculty, staff and students to engage in focused, collaborative research and training activities. They are expected to generate significant grant and contract funding.

Proposed language: The Board of Regents (“Board”) approves extra-departmental administrative structures, commonly referred to as organized research units (“ORU”). ORU provide a locus for faculty, staff and students to engage in focused, collaborative research and training activities. Organized research units may exist at the level of a School or college (Level V) or Department (Level IV). They are supported in part by the Organized Research Budget (UOH-102) and ORU are expected to generate significant grant and contract funding.

Language under 12.206 III.C was revised and sections D and E were removed to be consistent with the approach that the EPs and APs should cover the process and the RP should affirm the Board role in approving establishment or discontinuation of ORU once the required vetting processes have been completed.

Original language: Once established, an organized research unit will be reviewed periodically at intervals of seven years or less, according to procedures established by the president.

Proposed language: ORU may not be formally established or discontinued until (1) review, as prescribed by the President, has been completed; (2) the President makes a recommendation to the Board; and (3) the Board has given its approval.

COMMENTS/RESPONSES:

Comment 1: HGEA requested clarification on the review periods called for under the proposed policy and questioned the deletion of the periodic review requirement.

Response 1: The periodic review requirement is not deleted, but is and should be covered under EP 12.213, Establishment and Review of Organized Research Units. Such details are not necessary at the RP level because Board action would be necessary only in two occasions: establishment or discontinuance. There would continue to be at least two review periods: establishment/discontinuance and the periodic review at five year intervals, which is in the EP.

Comment 2: UHPA noted that establishment, modification or elimination of ORU is subject to union consultation. Thus, language should be included to recognize this.

Response 2: Because language regarding whom to consult with under 12.206 III.B is being revised, the affective collective bargaining units can be addressed in the revision.
Original language: The president shall establish procedures for review of proposed ORU, including review and recommendations by the relevant campus faculty senate and administrative officers.

Proposed language: The President shall establish rules and procedures for the establishment, review, and removal of ORU, including requirements for review and recommendations by the relevant campus faculty senate, administrators and affected collective bargaining units.

Comment 3: UHPA noted that the proposed RP no longer includes language on reorganizations.

Response 3: For consistency, language similar to RP 5.206, Establishment and Review of Centers and Institutes will be added under 12.206, III.D to cover reorganizations instead of the original language under 12.206, III.E.

Original language: All major reorganizations of the administrative structure of an organized research unit must be in conformance with provisions of the board policy on establishment and reorganization of organizational units.

Proposed language: All major reorganizations of ORU shall be in conformance with provisions of the Board’s policy on organizational units.
Several questions were submitted by HGEA. Instead of presenting the comments and responses at the end like the other RP sections, they will be addressed here and the proposed language will follow.

Comment 1: Noted that the definitions of extramural funds and institutional funds are broad, which suggests service ordering of general funds and financial aid is now allowed. The former is prohibited under University policy and practice. The latter may have an impact on the collective bargaining members of the UH Financial Aid Office.

Response 1: The original intent was to rely on the existing AP 8.930, Service Orders to the Research Corporation of the University of Hawai‘i for such restrictions and clarification on what is not processed by RCUH (e.g., financial aid). Thus, general funds should not be service ordered and there would not be any impact on the UH Financial Aid Office. However, because the definitions as originally proposed may cause confusion, they have been revised to exclude general funds and financial aid within the context of RP 12.207.

Comment 2: Questioned where the applicable policies (e.g., service order criteria and oversight responsibilities) are given that the service ordering of institutional funds appear to be new.

Response 2: AP 8.930, which permits service orders of intramural funds, existed long before the RP and contain the applicable policies. Thus, no new policies are required. However, institutional funds is a new term for intramural funds and causes confusion. Thus, the term intramural funds has replaced institutional funds throughout the proposed RP language to maintain historical continuity in terminology.

Comment 3: Asked who will oversee corrective action and exercise oversight over RCUH based on State Auditor Report 15-07.

Response 3: The findings in the report are primarily related to the State of Hawai‘i-RCUH Master Agreement, which UH is not a party to. In addition, the State Auditor suggested that RCUH put institutional knowledge of two key RCUH employees into written, internal policies and procedures so that RCUH has guidance to continue to review and monitor service orders (i.e., exercise oversight) should the key people leave or retire. This is outside the scope of RP 12.207 and a RCUH matter.

Comment 4: Asked what UH will do to ensure that the one-year limit on employment is being adhered to and requested action to open discussions on RCUH employment.

Response 4: The September 2005 Board motion required UH to use the process in place before the October 2002 Board policy. There was never a one-year employment limitation prior to the October 2002 Board policy. Instead, the 2000 memo from President Mortimer established what is called the Attachment B process, which is still used. Discussions may take place regarding improving the Attachment B process provided that all affected parties, including researchers, are included.
Language was revised in 12.207 I. to reflect that the purpose of the RP is to set forth policy regarding the University's relationship with the Research Corporation of the University of Hawai'i (RCUH) and the conditions for service ordering university funds to RCUH.

Original language: To set forth policy regarding the establishment of RCUH and its relationship to the university.

Proposed language: To set forth policy regarding the relationship between the university and RCUH and the Board conditions for service ordering University funds to RCUH.

Due to the differences between service orders of extramural funds and intramural funds, policy specific definitions have been added to help clarify the RP.

Proposed language:

A. Extramural contracts and grants – Refers to external sponsorship of research, training or other activities via a contract, grant or other agreement. In the context of this policy, extramural contracts and grants includes Federal formula funds, but excludes student financial aid.

B. Intramural funds – Refers to funds appropriated to the university such as research and training revolving funds (RTRF) and tuition and fee special funds. It also includes other non-extramural funds such as bond proceeds. In the context of this policy, intramural funds excludes general funds. Intramural funds are exempt from RP 12.207 III.C.1 when they will be used for mandatory cost sharing or matching purposes.

C. Mandatory cost sharing or matching – Refers to a sponsor imposed requirement to share or match intramural funds in order to receive sponsor funds under a grant or other agreement.

D. Research or training project – Refers to research, training or other activities that are funded by external contracts and grants or through an application of intramural funds. Examples of intramural funds that are for research and training projects include a formal seed money grant program as well as projects funded by separately accounting for an academic or research units’ appropriated funds such as RTRF or unrestricted gifts toward pilot projects or faculty start-up costs.

E. Service order – a formal request by the University to utilize RCUH services to assist the University in carrying out its instruction, research, training, or public service mission.

F. University funds - Refers to extramural contracts and grants and intramural funds received by the University.

Language was added to 12.207 III.A to reflect that RCUH was in part established by state statute to facilitate the research and training efforts of the University. While this is a large part of RCUH's mission, it is not its only mission according to the Hawai'i Revised Statutes (HRS). Language regarding the composition of the RCUH board was removed because the HRS determines the composition (i.e., number of members, representation and whom has the power to appoint members) and the HRS may change. Because the intent of the section is to describe
the relationship between the University and RCUH, it was only necessary to note that members of the university would be on the board.

Original language: The RCUH was established by state statute to facilitate the research effort of the University of Hawai‘i. It is a corporate body governed by an independent board, separate from the university. A statutorily determined number of members of the board also comprise the RCUH board. The chairperson shall assign board members to the RCUH board annually.

Proposed language: The RCUH was established by state statute, in part, to facilitate the research and training efforts of the University of Hawai‘i. It is a corporate body governed by an independent board with members of the university community.

Language under 12.207 III.B was revised to reflect that extramural contracts and grants are service ordered to RCUH, which include training and other activities, not just research.

Original language: The university service orders research and training contracts and grants to RCUH. However, RCUH shall not be used to circumvent statutes, board policies, contracts, settlements, or regulations.

Proposed language: The University service orders extramural contracts and grants to RCUH. However, RCUH shall not be used to circumvent statutes, Board policies, contracts, settlements, or regulations.

Language under 12.207 III.C was revised to emphasize the Board’s interest in monitoring service orders of intramural funds, which should normally be used for the direct support of research or training projects. This includes associated mandatory cost sharing or matching.

Dollar thresholds were removed so that they would reference and be consistent with the regular Board thresholds for prior approval before transactions could occur under RP 8.201, Contracts and Official Documents.

In addition, because the one-year limitation on RCUH employment was removed by the Board in 2005, it is removed from the RP to avoid confusion.

Original language: Service ordering to RCUH shall be for the direct support of a research or training project and shall not include major construction (CIP) and repair and maintenance (R&M) projects, employment of any person in excess of one year, purchases in excess of $500,000 (total value), as a means to supplement existing university contracts or salaries, and contracting of services exceeding $500,000 in total value unless prior board approval is obtained.

Proposed language: Service ordering of intramural funds to RCUH shall be for the direct support of a research or training projects, including mandatory cost sharing or matching.

1. Prior board approval is required for service ordering of intramural funds for:
   a) Major construction (CIP) and repair and maintenance (R&M) projects in accordance with the threshold delineated in RP 8.201, Section B.1;
   b) Purchases of goods or services in accordance with the threshold delineated in RP 8.201, Section III.E.1; or
c) Consultant contracts in accordance with the threshold delineated in RP 8.201, Section III.C.1.

Language was revised under 12.207 III.D and split into two sections to clarify the existing section. When the RP was adopted in 2002, extramural grants and contracts were already automatically service ordered since 2000 and Board approval was unnecessary. Thus, the original intent was to require approval for service orders of intramural funds. There is also confusing language that actually refers to RCUH direct projects contained in the original RP. University extramural proposals and awards should be processed through the Office of Research Services. Only in exceptional circumstances should a University project be processed as an RCUH direct project. By separating the topics, we believe that the intent of the policy is clear.

Original language: No university funds, regardless of source, shall be directed to RCUH or any external agency without being received by the university's office responsible for the administration of research and training grants and contracts. Upon receipt, a determination by the university shall be made as to service ordering to RCUH based on this policy.

Proposed language:

D. Extramural proposals and awards must be processed by the University's office responsible for the administration of research and training grants and contracts. Proposals may not be submitted by or awards made to RCUH on behalf of the University unless the President or the President's designee has made a determination that the research or training project should be processed as an RCUH direct project and RCUH has accepted the responsibility.

E. In the case of intramural funds, requests to service order to RCUH must be received by University officials delegated with approving authority to make such determinations by the President or the President’s designee. Upon receipt, a determination by the University shall be made as to service ordering to RCUH based on this policy.

Language was revised under 12.207 III.E was revised and renamed 12.207 III.F to clarify that the Board executes the management agreement with the RCUH board and that the President annually reviews the document.

Original language: The board shall execute a document of relationship between the university and RCUH delineating the parameters of service to be rendered. This document shall be reviewed annually to allow for periodic amendments as necessary.

Proposed language: The Board shall execute a document of relationship between the University and RCUH board delineating the parameters of service to be rendered. This document shall be reviewed annually by the President to allow for periodic amendments as necessary.
RP 12.208 – Regents Awards for Excellence in Research

The title of the policy is proposed to be renamed to correct a typo and to reflect that it is a Regents award.

Original title: Awards for Excellence Research

Proposed title: Regents Awards for Excellence in Research

Language was revised in 12.208 III.A.2 to correct a typo.

Original language: No person may receive one than one award in teaching and one award in research in their period of service to the university.

Proposed language: No person may receive more than one award in teaching and one award in research in their period of service to the university.

Language describing the selection process under 12.207 III.B was removed in favor of language describing the delegation of the process to the President under 12.207 IV.

Proposed language: The President shall designate a body to collect system-wide nominations, evaluate candidates and select recipients for Regents awards.

COMMENTS/RESPONSES:

No comments or concerns were received concerning the proposed changes.
I. Purpose

To set forth policy regarding ethical standards of conduct in research and scholarly activities.

II. Definitions

No policy specific or unique definitions apply.

III. Policy

A. In the conduct of research and scholarly activities, faculty and staff shall adhere to strict ethical standards of conduct. Failure to adhere to ethical standards includes to falsification of data, plagiarism, breach of confidentiality, dishonesty in publications, deliberate violation of regulations, misappropriation of resources, utilizing one’s official capacity to gain undue benefits for oneself or others, exploiting subordinates, including students, and failing to disclose and properly manage potential conflicts of interest.

IV. Delegation of Authority

There is no policy specific delegation of authority.

V. Contact Information

Office of the Board of Regents, 956-8213, bor@hawaii.edu

VI. References

A. http://www.hawaii.edu/offices/bor/

B. EP 12.211, Policy for Responding to Allegations of Research and Scholarly Misconduct
C. EP 12.214, Conflicts of Interest and Commitment  
D. EP 12.218, Compliance with United States Export Control Laws and Regulations  
E. AP 12.211, Administrative Procedure for Responding to Allegations of Research and Scholarly Misconduct  
F. AP 5.504, Procedures for Disclosing and Addressing Conflicts of Interest and Commitment  
G. AP 8.025, Fiscal Responsibilities Within the University  
H. AP 8.926, Administrative and Financial Requirements for Extramurally Financed Research and Training Programs/Activities of the University  
I. AP 8.956, Financial Conflicts of Interest (FCOI) for Public Health Services (PHS) Grants, Cooperative Agreements and Contracts  
J. Regulation and Compliance (NCURA) – A copy is on file at the Office of Research Services for examination for faculty and staff who wish to see a summary of Federal regulations that impact research and scholarly activities.

VII. Exhibits and Appendices

No Exhibits and Appendices found

Approved:

Approved as to Form:

_________________________________________  ___________
Cynthia Quinn             Date
Executive Administrator and Secretary of the Board of Regents
I. Purpose

To set forth policy regarding ethical standards of conduct in research and scholarly activities.

II. Definitions

No policy specific or unique definitions apply.

III. Policy

A. In the conduct of research and scholarly activities, faculty members and staff shall adhere to strict ethical standards of conduct. Failure to adhere to ethical standards includes, but is not limited to falsification of data, plagiarism, breach of confidentiality, dishonesty in publications, deliberate violation of regulations, misappropriation of resources, utilizing one’s official capacity to gain undue benefits for oneself or others, exploiting subordinates, including property violations, the failure to report observed fraud, and failing to disclose and properly manage potential conflicts of interest.

IV. Delegation of Authority

There is no policy specific delegation of authority.

V. Contact Information

Office of the Board of Regents, 956-8213, bor@hawaii.edu

VI. References

A. http://www.hawaii.edu/offices/bor/

B. EP 12.211, Policy for Responding to Allegations of Research and Scholarly Misconduct
C. EP 12.214, Conflicts of Interest and Commitment  
D. EP 12.218, Compliance with United States Export Control Laws and Regulations  
E. AP 12.211, Administrative Procedure for Responding to Allegations of Research and Scholarly Misconduct  
F. AP 5.504, Procedures for Disclosing and Addressing Conflicts of Interest and Commitment  
G. AP 8.025, Fiscal Responsibilities Within the University  
H. AP 8.926, Administrative and Financial Requirements for Extramurally Financed Research and Training Programs/Activities of the University  
I. AP 8.956, Financial Conflicts of Interest (FCOI) for Public Health Services (PHS) Grants, Cooperative Agreements and Contracts  
B-J. Regulation and Compliance (NCURA) – A copy is on file at the Office of Research Services for examination for faculty and staff who wish to see a summary of Federal regulations that impact research and scholarly activities.

VII. Exhibits and Appendices

No Exhibits and Appendices found

Approved:

Approved as to Form:

______________________________________     ___________
Cynthia Quinn             Date
Executive Administrator and Secretary of the Board of Regents
I. **Purpose**

To set forth policy regarding principal investigators for externally funded contracts and grants.

II. **Definitions**

No policy specific or unique definitions apply.

III. **Policy**

A. Only Board appointees may serve as principal investigator for an externally funded contract or grant. In the context of this policy, adjunct faculty, research affiliates, and emeriti faculty in non-compensated University appointments may serve as principal investigators.

B. The privilege to serve as principal investigator is conditioned on the following criteria: the proposed program or activity is desirable and compatible with the mission of the respective academic or research unit; those university officials responsible for committing the use of facilities and other resources of the University agree to accept the commitment involved; the investigator has accepted the terms and conditions of the contract or grant; and the investigator as disclosed all potential conflicts of interest.

C. Changes in principal investigator shall be done in accordance with awarding agency policies and procedures such as the National Institutes of Health Grants Policy Statement or National Science Foundation Award and Administration Guide.

IV. **Delegation of Authority**

There is no policy specific delegation of authority.

V. **Contact Information**

Office of the Board of Regents, 956-8213, bor@hawaii.edu
VI. References

A. http://www.hawaii.edu/offices/bor/

B. National Institutes of Health Grants Policy Statement, 8.1 Changes in Project and Budget

C. National Science Foundation Award and Administration Guide, Chapter II – Grant Administration

D. EP 12.214, Conflicts of Interest and Commitment

E. AP 5.504, Procedures for Disclosing and Addressing Conflicts of Interest and Commitment

F. AP 8.025, Fiscal Responsibilities Within the University

G. AP 8.910, Procedures for the Preparation and Submission of Proposals to External Sponsors and the Review/Approval of Sponsored Agreements

H. AP 8.926, Administrative and Financial Requirements for Extramurally Financed Research and Training Programs/Activities of the University

I. AP 8.956, Financial Conflicts of Interest (FCOI) for Public Health Services (PHS) Grants, Cooperative Agreements and Contracts

VII. Exhibits and Appendices

No Exhibits and Appendices found

Approved:

Approved as to Form:

____________________________________  ______________
Cynthia Quinn             Date
Executive Administrator and Secretary of the Board of Regents
Regents Policy Chapter 12, Research
Regents Policy RP 12.202, Principal Investigator
Effective Date:
Prior Dates Amended: Oct. 31, 2014 (recodified)
Review Date: August 2019

I. Purpose

To set forth policy regarding principal investigators for externally funded contracts and grants.

II. Definitions

No policy specific or unique definitions apply.

III. Policy

A. Only university Board appointees may serve as principal investigator for an externally funded contract or grant. In the context of this policy, adjunct faculty, research affiliates, and emeriti faculty in non-compensated University appointments may serve as principal investigators.

B. The privilege to serve as principal investigator is conditioned on the following criteria: the proposed program or activity is desirable and compatible with the mission of the respective academic or research unit; those university officials responsible for committing the use of facilities and other resources of the University agree to accept the commitment involved; the investigator has accepted the terms and conditions of the contract or grant; and the investigator as disclosed all potential conflicts of interest.

A.C. Changes in principal investigator shall be done in accordance with awarding agency policies and procedures such as the National Institutes of Health Grants Policy Statement or National Science Foundation Award and Administration Guide.

IV. Delegation of Authority

There is no policy specific delegation of authority.

V. Contact Information

Office of the Board of Regents, 956-8213, bor@hawaii.edu
VI. References

A. http://www.hawaii.edu/offices/bor/

B. National Institutes of Health Grants Policy Statement, 8.1 Changes in Project and Budget

C. National Science Foundation Award and Administration Guide, Chapter II – Grant Administration

D. EP 12.214, Conflicts of Interest and Commitment

E. AP 5.504, Procedures for Disclosing and Addressing Conflicts of Interest and Commitment

F. AP 8.025, Fiscal Responsibilities Within the University

G. AP 8.910, Procedures for the Preparation and Submission of Proposals to External Sponsors and the Review/Approval of Sponsored Agreements

H. AP 8.926, Administrative and Financial Requirements for Extramurally Financed Research and Training Programs/Activities of the University

B.I. AP 8.956, Financial Conflicts of Interest (FCOI) for Public Health Services (PHS) Grants, Cooperative Agreements and Contracts

VII. Exhibits and Appendices

No Exhibits and Appendices found

Approved:

Approved as to Form:

____________________________________  ___________
Cynthia Quinn             Date
Executive Administrator and Secretary of the Board of Regents
Regents Policy Chapter 12, Research
Regents Policy RP 12.203, Right to Investigate and Disseminate
Effective Date:
Prior Dates Amended: Oct. 31, 2014 (recodified)
Review Date: August 2019

I. Purpose

To set forth policy regarding the right to investigate and disseminate.

II. Definitions

No policy specific or unique definitions apply.

III. Policy

A. The University recognizes the right of the scholar to inquire and disseminate the results of inquiry according to the established forms of academic freedom, recognizing that an individual’s work may have profound effects on the academic community.

B. Research conducted on behalf of the University, whether funded by an external sponsor or through an application of University resources, is directed by individuals or groups of investigators associated with the University. University officials responsible for committing resources such as facilities, equipment and administrative support may decide to support projects or to apply for external funding for projects, but may not direct the research. Thus, research is conducted under joint decisions by investigators and university officials.

C. The University guarantees the freedom to inquire of each member of the academic community and affirms the right of each member to gain access to all available relevant information. Each member also has the absolute right to choose whether, how, and where to publish scholarly conclusions and results of research. The commitment to academic freedom in the conduct of research does not imply that the faculty member’s research is not subject to critical review and judgment as to its quality and significance.

D. Notwithstanding the right of individual investigators to choose whether to participate in projects for which the sponsor may impose certain limitations on
dissemination it is the policy of the University to press for maximum openness among agencies–governmental or private–that place any kind of restriction upon access to information of a scholarly character.

E. Whenever a given research project or award is accepted by the University, it means that the following conditions have been met: the proposed program or activity is desirable and compatible with the mission of the respective academic or research unit; those responsible for committing the use of facilities and other resources of the University agree to accept the commitment involved; the investigator accepted the terms and conditions of the contract or grant; and the investigator has disclosed all potential conflicts of interest.

F. Any disputes of scholarly activity involving university officials designated with approving authority shall be resolved according to established University due process procedures.

IV. Delegation of Authority

There is no policy specific delegation of authority.

V. Contact Information

Office of the Board of Regents, 956-8213, bor@hawaii.edu

VI. References

A. http://www.hawaii.edu/offices/bor/
B. RP 12.202, Principal Investigator
C. RP 12.204, Classified Research
D. AP 8.910, Procedures for the Preparation and Submission of Proposals to External Sponsors and the Review/Approval of Sponsored Agreements

VII. Exhibits and Appendices

No Exhibits and Appendices found

Approved:

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Cynthia Quinn             Date
Executive Administrator and
Secretary of the Board of Regents
Regents Policy Chapter 12, Research
Regents Policy RP 12.203, Right to Investigate and Disseminate
Effective Date:
Prior Dates Amended: Oct. 31, 2014 (recodified)
Review Date: August 2019

I. Purpose

To set forth policy regarding the right to investigate and disseminate.

II. Definitions

No policy specific or unique definitions apply.

III. Policy

A. The University recognizes the right of the scholar to inquire and disseminate the results of inquiry according to the established forms of academic freedom, recognizing that an individual's work may have profound effects on the academic community.

B. At the university, all research is undertaken voluntarily by individuals or groups of investigators. The "university" as such is not engaged in research. It may provide facilities, equipment and certain kinds of overhead administrative services to facilitate the research. Whenever a given research proposal, however, involves special financing, whether by agencies inside or outside of the university, there is a joint decision to submit the proposal by the principal investigator and the various university reviewers. Research conducted on behalf of the University, whether funded by an external sponsor or through an application of University resources, is directed by individuals or groups of investigators associated with the University. University officials responsible for committing resources such as facilities, equipment and administrative support may decide to support projects or to apply for external funding for projects, but may not direct the research. Thus, research is conducted under joint decisions by investigators and university officials.

C. The University guarantees the freedom to inquire of each member of the academic community and affirms the right of each member to gain access to all available relevant information. Each member also has the absolute right to choose whether, how, and where to publish scholarly conclusions and results of
The commitment to academic freedom in the conduct of research does not imply that the faculty member’s research is not subject to critical review and judgment as to its quality and significance.

D. Notwithstanding the right of individual investigators to choose whether to participate in projects for which the sponsor may impose certain limitations on dissemination it is the policy of the University to press for maximum openness among agencies—governmental or private—that place any kind of restriction upon access to information of a scholarly character.

E. Whenever a given research project or award is accepted by the University, it means that the following conditions have been met: the proposal has scholarly merit; the investigator is deemed capable of undertaking it; the proposed program or activity is desirable and compatible with the mission of the respective academic or research unit; those responsible for committing the use of facilities and other resources of the University agree to accept the commitment involved; the investigator accepted the terms and conditions of the contract or grant; and the investigator has disclosed all potential conflicts of interest.

F. All cases of indecision, or unfavorable decisions to be reviewed by university authorities will be referred to the Academic Freedom Committee of the University Faculty Senate for hearing. Any disputes of scholarly activity involving university officials designated with approving authority shall be resolved according to established University due process procedures.

IV. Delegation of Authority

There is no policy specific delegation of authority.

V. Contact Information

Office of the Board of Regents, 956-8213, bor@hawaii.edu

VI. References

A. http://www.hawaii.edu/offices/bor/
B. RP 12.202, Principal Investigator
C. RP 12.204, Classified Research
A-D. AP 8.910, Procedures for the Preparation and Submission of Proposals to External Sponsors and the Review/Approval of Sponsored Agreements

VII. Exhibits and Appendices
No Exhibits and Appendices found

Approved:

Approved as to Form:

_____________________________     ___________
Cynthia Quinn             Date
Executive Administrator and
Secretary of the Board of Regents
I.  **Purpose**

   To set forth policy regarding the establishment and review of organized research units.

II.  **Definitions**

   No policy specific or unique definitions apply.

III.  **Policy**

   A. The Board of Regents (“Board”) approves extra-departmental administrative structures, commonly referred to as organized research units (“ORU”). ORU provide a locus for faculty, staff and students to engage in focused, collaborative research and training activities. Organized research units may exist at the level of a School or college (Level V) or Department (Level IV). They are supported in part by the Organized Research Budget (UOH 102) and ORU are expected to generate significant grant and contract funding.

   B. The President shall establish rules and procedures for the establishment, review, and removal of ORU, including requirements for review and recommendations by the relevant campus faculty senate, administrators and affected collective bargaining units.

   C. ORU may not be formally established or discontinued until (1) review, as prescribed by the President, has been completed; (2) the President makes a recommendation to the Board; and (3) the Board has given its approval.

   D. All major reorganizations shall be in conformance with provisions of the Board’s policy on organizational units.

IV.  **Delegation of Authority**
There is no policy specific delegation of authority.

V. Contact Information

Office of the Vice President for Research & Innovation, 956-5006, Syrmos@hawaii.edu

VI. References

A. http://www.hawaii.edu/offices/bor/
B. RP 3.202, Reorganizations
C. EP 12.213, Establishment and Review of Organized Research Units
D. AP 3.101, University of Hawai‘i Organizational and Functional Changes

VII. Exhibits and Appendices

No Exhibits and Appendices found

Approved:

approved as to Form:

_____________________________     ___________
Cynthia Quinn             Date
Executive Administrator and
Secretary of the Board of Regents
I. **Purpose**

To set forth policy regarding the establishment and review of organized research units.

II. **Definitions**

No policy specific or unique definitions apply.

III. **Policy**

A. The Board of Regents ("Board") approves extra-departmental administrative structures, commonly referred to as organized research units ("ORU"). ORU provides a locus for faculty, staff and students to engage in focused, collaborative research and training activities. Organized research units may exist at the level of a School or college (Level V) or Department (Level IV). They are supported in part by the Organized Research Budget (UOH 102) and ORU are expected to generate significant grant and contract funding.

B. The President shall establish rules and procedures for the establishment, review, and removal of review of proposed ORU, including requirements for review and recommendations by the relevant campus faculty senate and administrative officers, administrators and affected collective bargaining units.

C. No organized research unit ORU may not be formally established or discontinued until (1) review, as prescribed by the President, has been completed; (2) the President makes a recommendation to the Board; and (3) the Board has given its approval.
D. All major reorganizations of ORU shall be in conformance with provisions of the Board’s policy on organizational units. Once established, an organized research unit will be reviewed periodically at intervals of seven years or less, according to procedures established by the president.

E. All major reorganizations of the administrative structure of an organized research unit must be in conformance with provisions of the board policy on establishment and reorganization of organizational units.

IV. Delegation of Authority

There is no policy specific delegation of authority.

V. Contact Information

Office of the Vice President for Research & Innovation, 956-5006, Syrmos@hawaii.edu

VI. References

A. A. http://www.hawaii.edu/offices/bor/

B. EP 12.213, Reorganizations

C. EP 12.213, Establishment and Review of Organized Research Units

D. AP 3.101, University of Hawai‘i Organizational and Functional Changes

VII. Exhibits and Appendices

No Exhibits and Appendices found

Approved:

approved as to Form:

_____________________________     ___________
Cynthia Quinn             Date
Executive Administrator and
Secretary of the Board of Regents
I. **Purpose**

To set forth policy regarding the relationship between the University and RCUH and the Board conditions for service ordering University funds to RCUH.

II. **Definitions**

A. Extramural contracts and grants – Refers to external sponsorship of research, training or other activities via a contract, grant or other agreement. In the context of this policy, extramural contracts and grants includes Federal formula funds, but excludes student financial aid.

B. Intramural funds – Refers to funds appropriated to the University such as research and training revolving funds (RTRF) and tuition and fee special funds. It also includes other non-extramural funds such as bond proceeds. In the context of this policy, intramural funds excludes general funds. Intramural funds are exempt from RP 12.207 III.C.1 when they will be used for mandatory cost sharing or matching purposes.

C. Mandatory cost sharing or matching – Refers to a sponsor imposed requirement to share or match intramural funds in order to receive sponsor funds under a grant or other agreement.

D. Research or training project – Refers to research, training or other activities that are funded by external contracts and grants or through an application of intramural funds. Examples of intramural funds that are for research and training projects include a formal seed money grant program as well as projects funded by separately accounting for an academic or research units' appropriated funds such as RTRF or unrestricted gifts toward pilot projects or faculty start-up costs.

E. Service order – a formal request by the University to utilize RCUH services to assist the University in carrying out its instruction, research, training, or public service mission.
F. University funds – Refers to extramural contracts and grants and intramural funds received by the University.

III. Policy

A. The RCUH was established by state statute, in part, to facilitate the research and training efforts of the University of Hawai‘i. It is a corporate body governed by an independent board with members of the university community.

B. The University service orders extramural contracts and grants to RCUH. However, RCUH shall not be used to circumvent statutes, Board policies, contracts, settlements, or regulations.

C. Service ordering of intramural funds to RCUH shall be for the direct support of research or training projects, including mandatory cost sharing or matching.

1. Prior Board approval is required for service order of intramural funds for:
   a. Major construction (CIP) and repair and maintenance (R&M) projects in accordance with the threshold delineated in RP 8.201, Section B.1;
   b. Purchases of goods or services in accordance with the threshold delineated in RP 8.201, Section III.E.1; or
   c. Consultant contracts in accordance with the threshold delineated in RP 8.201, Section III.C.1.

D. Extramural proposals and awards must be processed by the University’s office responsible for the administration of research and training grants and contracts. Proposals may not be submitted by or awards made to RCUH on behalf of the University unless the President or the President’s designee has made a determination that the research or training project should be processed as an RCUH direct project and RCUH has accepted the responsibility.

E. In the case of intramural funds, requests to service order to RCUH must be received by University officials delegated with approving authority to make such determinations by the President or the President’s designee. Upon receipt, a determination by the University shall be made as to service ordering to RCUH based on this policy.

F. The Board shall execute a document of relationship between the University and RCUH board delineating the parameters of service to be rendered. This
document shall be reviewed annually by the President to allow for periodic amendments as necessary.

IV. Delegation of Authority

There is no policy specific delegation of authority.

V. Contact Information

Office of the Board of Regents, 956-8213, bor@hawaii.edu

VI. References

A. http://www.hawaii.edu/offices/bor/

B. AP 8.910, Procedures for the Preparation and Submission of Proposals to External Sponsors and the Review/Approval of Sponsored Agreements

C. AP 8.930, Service Orders to the Research Corporation of the University of Hawai’i

D. AP 8.931, Revolving Fund Service Orders to the Research Corporation of the University of Hawai’i

VII. Exhibits and Appendices

No Exhibits and Appendices found

Approved:

Approved as to Form:

Cynthia Quinn
Executive Administrator and Secretary of the Board of Regents

Date
I. Purpose

To set forth policy regarding the establishment of RCUH and its relationship to the University and RCUH and the Board conditions for service ordering University funds to RCUH.

II. Definitions

No policy specific or unique definitions apply. A. Extramural contracts and grants – Refers to external sponsorship of research, training or other activities via a contract, grant or other agreement. In the context of this policy, extramural contracts and grants includes Federal formula funds, but excludes student financial aid.

B. Intramural funds – Refers to funds appropriated to the University such as research and training revolving funds (RTRF) and tuition and fee special funds. It also includes other non-extramural funds such as bond proceeds. In the context of this policy, intramural funds excludes general funds. Intramural funds are exempt from RP 12.207 III.C.1 when they will be used for mandatory cost sharing or matching purposes.

C. Mandatory cost sharing or matching – Refers to a sponsor imposed requirement to share or match intramural funds in order to receive sponsor funds under a grant or other agreement.

D. Research or training project – Refers to research, training or other activities that are funded by external contracts and grants or through an application of intramural funds. Examples of intramural funds that are for research and training projects include a formal seed money grant program as well as projects funded by separately accounting for an academic or research units’ appropriated funds such as RTRF or unrestricted gifts toward pilot projects or faculty start-up costs.
E. Service order – a formal request by the University to utilize RCUH services to assist the University in carrying out its instruction, research, training, or public service mission.

F. University funds – Refers to extramural contracts and grants and intramural funds received by the University.

III. Policy

A. The RCUH was established by state statute, in part, to facilitate the research and training efforts of the University of Hawai‘i. It is a corporate body governed by an independent board, separate from the university community. Members of the board are not allowed to be involved in the day-to-day administration of the University. The chairperson shall assign board members to the RCUH board annually.

B. The University service orders research-extramural contracts and grants to RCUH. However, RCUH shall not be used to circumvent statutes, board policies, contracts, settlements, or regulations.

C. Service ordering of intramural funds to RCUH shall be for the direct support of research or training projects, including mandatory cost sharing or matching, and shall not include major construction (CIP) and repair and maintenance (R&M) projects, employment of any person in excess of one year, purchases in excess of $500,000 (total value), as a means to supplement existing university contracts or salaries, and contracting of services exceeding $500,000 in total value unless prior board approval is obtained.

1. Prior Board approval is required for service order of intramural funds for:

   a. Major construction (CIP) and repair and maintenance (R&M) projects in accordance with the threshold delineated in RP 8.201, Section B.1;

   b. Purchases of goods or services in accordance with the threshold delineated in RP 8.201, Section III.E.1; or

   c. Consultant contracts in accordance with the threshold delineated in RP 8.201, Section III.C.1.

D. No university funds, regardless of source, shall be directed to RCUH or any external agency without being received by the University’s office responsible for the administration of research and training grants and contracts. Extramural proposals and awards must be processed by the University’s office responsible...
for the administration of research and training grants and contracts. Proposals may not be submitted by or awards made to RCUH on behalf of the University unless the President or the President’s designee has made a determination that the research or training project should be processed as an RCUH direct project and RCUH has accepted the responsibility.

D-E. In the case of intramural funds, requests to service order to RCUH must be received by University officials delegated with approving authority to make such determinations by the President or the President’s designee. Upon receipt, a determination by the University shall be made as to service ordering to RCUH based on this policy.

E-F. The Board shall execute a document of relationship between the University and RCUH delineating the parameters of service to be rendered. This document shall be reviewed annually by the President to allow for periodic amendments as necessary.

IV. Delegation of Authority

There is no policy specific delegation of authority.

V. Contact Information

Office of the Board of Regents, 956-8213, bor@hawaii.edu

VI. References

A. http://www.hawaii.edu/offices/bor/

B. EP 12.227AP 8.910, Procedures for the Preparation and Submission of Proposals to External Sponsors and the Review/Approval of Sponsored Agreements

C. AP 8.930, Service Orders to the Research Corporation of the University of Hawai‘i

D. AP 8.931, Revolving Fund Service Orders to the Research Corporation of the University of Hawai‘i

VII. Exhibits and Appendices

No Exhibits and Appendices found

Approved:
Approved as to Form:

Cynthia Quinn                                      Date
Executive Administrator and
Secretary of the Board of Regents
I. **Purpose**

To set forth policy regarding the establishment of awards for Excellence in Research and the selection process.

II. **Definitions**

No policy specific or unique definitions apply.

III. **Policy**

A. Awards may be made annually and will consist of an appropriate cash sum plus a suitably engraved Board of Regents' medal.

1. Three awards for excellence in research may be made for the statewide university system.

2. No person may receive more than one award in teaching and one award in research in their period of service to the University.

3. Awards for teaching and research will be presented by the President in the name of the Board at a convocation or faculty meeting.

IV. **Delegation of Authority**

The President shall designate a body to collect system-wide nominations, evaluate candidates and select recipients for Regents awards.

V. **Contact Information**

Office of the Board of Regents, 956-8213, bor@hawaii.edu

VI. **References**
A. http://www.hawaii.edu/offices/bor/

VII. Exhibits and Appendices

No Exhibits and Appendices found

Approved:

Approved as to Form:

_____________________________     ___________
Cynthia Quinn             Date
Executive Administrator and
Secretary of the Board of Regents
I. **Purpose**

To set forth policy regarding the establishment of awards for Excellence in Research and the selection process.

II. **Definitions**

No policy specific or unique definitions apply.

III. **Policy**

A. Awards may be made annually and will consist of an appropriate cash sum plus a suitably engraved Board of Regents' medal.

1. Three awards for excellence in research may be made for the statewide university system.

2. No person may receive more than one award in teaching and one award in research in their period of service to the University.

3. Awards for teaching and research will be presented by the President in the name of the Board at a convocation or faculty meeting.

B. **Selection Process**

1. Selection of the recipients of the awards for excellence in research from among those nominated may be made by the University Research Council.

2. The chancellors shall forward their nominees to the president for endorsement and transmittal to the board.

IV. **Delegation of Authority**
There is no policy specific delegation of authority. The President shall designate a body to collect system-wide nominations, evaluate candidates and select recipients for Regents awards.

V. **Contact Information**

Office of the Board of Regents, 956-8213, bor@hawaii.edu

VI. **References**

A. [http://www.hawaii.edu/offices/bor/](http://www.hawaii.edu/offices/bor/)

VII. **Exhibits and Appendices**

No Exhibits and Appendices found

**Approved:**

Approved as to Form:

_________________________________  ___________
Cynthia Quinn             Date
Executive Administrator and
Secretary of the Board of Regents
Proposed Regents Policy Changes: Comments and Responses

VASSILIS L. SYRMOS
VICE PRESIDENT FOR RESEARCH AND INNOVATION
Consultation

Copies furnished to

• Vice Presidents
• Chancellors
• All Campus Council of Faculty Senate Chairs
• Mānoa Faculty Senate
• Hawai‘i Government Employees Association (HGEA)
• University of Hawai‘i Professional Assembly (UHPA)

• Also, posted for public comment on web site

• 60 days allowed for comments (November 23, 2015 to January 22, 2016)
Comments Received

Six, including comments and concerns from HGEA and UHPA

Covering four RPs

- 12.202 – Principal Investigator
- 12.203 – Right to Investigate and Disseminate
- 12.206 – Establishment and Review of Organized Research Units
- 12.207 – Research Corporation of the University of Hawai‘i
Review Process

Comments and concerns were considered by the Research Policy Task Force (RPTF)

RPTF determined that additional changes should be made to RP 12.206 and RP 12.207 based on the comments and concerns
<table>
<thead>
<tr>
<th>Concern</th>
<th>Response</th>
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<tbody>
<tr>
<td>Appears to create new policy to allow UH to say “No” to potentially controversial research</td>
<td>Approval of project has always been conditional and change is to one of the criteria</td>
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<td></td>
<td>Intent was to soften original language that asked decision maker to question proposal’s merit and investigator’s qualifications (<em>subjective</em>)</td>
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<tr>
<td></td>
<td>RESULT: No changes to proposed language</td>
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<tr>
<td>Concerns</td>
<td>Response</td>
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<td>-------------------------------------------------------------------------</td>
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<tr>
<td>Deletion of periodic review requirement</td>
<td>Exists in related EP 12.213, Establishment and Review of Organized Research Units (five years or less); No change</td>
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<td>Affected collective bargaining units missing, but union consultation is</td>
<td>Language revised to say that respective campus faculty senates, administrators and affected collective bargaining units will review and make recommendations</td>
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<td>required</td>
<td>Language added that major reorganizations shall be in conformance with provisions of Board policy on organizational units (similar to RP 5.206 on centers and institutes)</td>
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<tr>
<td>Proposed language doesn't address reorganizations</td>
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## RP 12.207

### Concerns
- Definitions appear to permit service ordering of general funds and financial aid, which contradicts current policy and practice.
- Institutional funds appear to be new policy and missing detailed policy for service order and oversight of these funds.
- Enforcement of one-year RCUH employment limitation.

### Response
- Definitions changed to exclude general funds and financial aid within context of RP 12.207. Note: Addressed in AP 8.930, Service Orders to RCUH.
- New term for intramural funds; changed back to intramural funds, which exist in policy AP 8.930 that predates RP 12.207.
- 2005 Board action was to use pre-2002 policy (i.e., no one-year limitation); may look at enforcement of Attachment B process that existed and still is used.