

Notice of Meeting
UNIVERSITY OF HAWAI'I
BOARD OF REGENTS COMMITTEE ON RESEARCH AND INNOVATION

Members: Regents Sullivan (Chair), Tagorda (Vice-Chair), Acopan, Bal, and Moore

Date: Thursday, March 5, 2020

Time: 11:15 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 December 5, 2019, 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. Written testimony may be submitted via US mail, email at bor.testimony@hawaii.edu, or facsimile at 956-5156. Individuals submitting written testimony are not automatically signed up for oral testimony. 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. Oral testimony is limited to three (3) minutes. All written testimony submitted are public documents. Therefore, any testimony that is submitted verbally or in writing, electronically or in person, for use in the public meeting process is public information and will be posted on the board's website.
- IV. Agenda Items**
 - A. Recommend Board Approval of New Regents Policies (RP)
 1. RP 12.209, Strategic Research Plan
 2. RP 12.210, Research and Training Revolving Fund
 - B. Enterprise Risk Management: Research Infrastructure Update
 - C. Research Development Update
 - D. Fiscal Year 2019-2020 2nd Quarter Extramural Awards Update
 - E. Future Status of the Research and Innovation Committee
- V. Adjournment**

DISCLAIMER - THE FOLLOWING ARE DRAFT MINUTES AND ARE SUBJECT TO FURTHER REVIEW AND CHANGE UPON APPROVAL BY THE COMMITTEE

MINUTES

BOARD OF REGENTS COMMITTEE ON RESEARCH AND INNOVATION MEETING

DECEMBER 5, 2019

I. CALL TO ORDER

Chair Jan Sullivan called the meeting to order at 10:30 a.m. on Thursday, December 5, 2019, at the University of Hawai'i at Mānoa, Information Technology Building, 1st Floor Conference Room 105A/B, 2520 Correa Road, Honolulu, Hawai'i 96822.

Committee members in attendance: Chair Jan Sullivan; Vice-Chair Michelle Tagorda; Regent Eugene Bal; and Regent Randy Moore.

Committee members excused: Regent Kelli Acopan.

Others in attendance: Board Chair Ben Kudo; Regent Simeon Acoba; Regent Wayne Higaki; Regent Michael McEnerney; Regent Alapaki Nahale-a; Regent Robert Westerman; Regent Ernest Wilson Jr. (ex officio committee members); President David Lassner; Interim Vice President (VP) for Community Colleges Erika Lacro; VP for Legal Affairs/University General Counsel Carrie Okinaga; VP for Academic Planning and Policy Donald Straney; VP for Research and Innovation Vassilis Syrmos; VP for Information Technology/Chief Information Officer Garret Yoshimi; VP for Budget and Finance/Chief Financial Officer Kalbert Young; UH-Mānoa Provost Michael Bruno; UH-West O'ahu Chancellor Maenette Benham; Executive Administrator and Secretary of the Board of Regents (Board Secretary) Kendra Oishi; and others as noted.

II. APPROVAL OF MINUTES OF THE OCTOBER 3, 2019 MEETING

Regent Moore moved to approve the minutes of the October 3, 2019, meeting, seconded by Regent Tagorda, and the motion carried unanimously.

III. PUBLIC COMMENT PERIOD

Board Secretary Oishi announced that the Board Office did not receive any written testimony, and no individuals signed up to provide oral testimony.

IV. AGENDA ITEMS

A. Fiscal Year (FY) 2020 1st Quarter Extramural Awards Update

VP Syrmos provided an update on extramural awards for the first quarter of FY 2020. He reviewed a breakdown of trends, significant awards, and award amounts by campus, as well as award revenues received to date and projected award revenues. VP Syrmos noted that UH received \$176.2 million in award revenues for the first quarter of FY 2020, which was slightly less than the internal projection of \$172.6 million, and

approximately \$4.3 million, or 2.4% lower than the same period last year. He further noted that as of November 22, 2019, UH received \$233.7 million in award revenues and that UH was projecting that it would receive \$240.2 million in award revenues as of November 30, 2019, which amounts to an approximately 2.0% decrease from the \$245.2 million awarded for the same period in FY 2019.

Regent Westerman arrived at 10:35 a.m.

B. Discussion on Proposed New Regents Policies (RP)

Prior to VP Syrmos's presentation on the proposed new RPs, Chair Sullivan provided background and context prompting the development of the new RPs. She remarked that the Committee has had numerous discussions regarding the Research and Training Revolving Fund (RTRF) established under section 304A-2235, Hawai'i Revised Statutes (HRS) and noted that section 304A-2235, HRS, explicitly states the types of funds to be deposited into the RTRF, that the Board is authorized to spend one hundred percent of RTRF funds, and stipulates the purposes for which RTRF funds may be used. Chair Sullivan stated that despite this authority and responsibility, to date, the Board has no policies in place to address this issue and that the Board should provide policy direction with regard to RTRF.

Chair Sullivan noted that proposed RP 12.209 would require a five-year strategic research plan to be developed and presented to the Board, with updates provided annually, and that proposed RP 12.210 would set aside a minimum of 10% of RTRF for strategic hiring in critical research areas and to set aside funds to be used for facilities.

1. RP 12.209, Strategic Research Plan

VP Syrmos provided an overview of proposed RP 12.209, noting that this proposed policy will help formalize what is already occurring with regard to strategic research planning and ensure that this planning is conducted in an organized and consistent manner. He noted that proposed RP 12.209 calls for a long-range plan that articulates university priorities for pursuing research growth during a five-year period and identifies specific strategies for implementing those goals. Additionally, proposed RP 12.209 requires that annual progress reports on the strategic research plan be made to the Board, which will provide updates and vital information and allow the Board to make recommendations for plan improvements. VP Syrmos remarked that it is intended that proposed RPs 12.209 and 12.210 work together harmoniously.

2. RP 12.210, Research and Training Revolving Fund

VP Syrmos provided a brief history of the RTRF and an overview of proposed RP 12.210 which requires that a minimum of 10% of total RTRF recovered by each campus be set aside for strategic hiring in priority research areas and allows for the adoption of special assessments to facilitate the issuance of revenue bonds for facility construction or rehabilitation. He noted that the set-aside for hiring provided for under proposed RP 12.210 must work in conjunction with the strategic research plan established under proposed RP 12.209. Additionally, proposed RP 12.210 requires that annual progress reports be made to the Board on the use of funds by each campus and that the reports

include but not be limited to information on related revenues, commitments, and carry-over funds.

VP Syrmos noted that the goal for the Office of the Vice President for Research and Innovation (OVPRI) is to complete drafts of proposed RPs 12.209 and 12.210 for consideration by the Committee by February 2020 and present the proposed policies to the Board for action. Once the policies are adopted, OVPRI will establish a working group to discuss the reshaping of executive policies to implement the new policy directives and distribute executive policy changes for discussion by the end of FY 2020.

Regent Bal inquired as to what the scale of the special assessment under proposed RP 12.210 would be since we did not want to overcommit funding that might not be available. VP Syrmos responded that use of a consultative process to determine the scale would be the best approach and that the annual reports to the Board were vitally important to maintain proper control of financing issues and inject realism into funding figures.

Regent Acoba asked about decisions on the distribution of RTRF, regardless of whether the distribution was based on productivity or percentage-based under proposed RP 12.210, and who would be making these decisions. VP Syrmos responded that OVPRI makes the final decision. Regent Acoba then questioned whether a 10% minimum set-aside requirement of RTRF to each campus affected OVPRI's discretion on determining where funds should be distributed to achieve the maximum benefit for the University. VP Syrmos stated that OVPRI had faith in the chancellors of each campus and that OVPRI would continue to be involved in the overall process, particularly with regard to high-profile hires.

Regent Acoba inquired as to what form the special assessment would take. VP Syrmos stated that this is something that would be discussed by the working group which would develop a prescriptive policy with regards to the special assessment.

Regent Acoba questioned the rationale for the 10% minimum set-aside requirement and asked how the changes proposed under proposed RP 12.210 would help to invigorate research efforts as the data appears to indicate that research funding has remained flat for several years. VP Syrmos remarked that the purpose of both proposed RPs was to revitalize and stimulate research efforts, including the active hiring of individuals capable of securing greater research dollars in their particular fields of work. However, he reiterated that RTRF is only one part of a bigger picture and that these policies have to work in conjunction with other policies for long-term sustainability.

Regent McEnerney asked whether campuses that do not acquire research awards or funding would receive RTRF funds. VP Syrmos stated that those campuses would not receive RTRF distributions. Regent McEnerney then inquired if RTRF distributions were made via check or through internal accounting. VP Syrmos responded that distributions are made through internal accounts.

Board Chair Kudo and Regent Higaki arrived at 11:05 a.m.

Chair Sullivan remarked that the 10% set-aside of RTRF was a suggested starting point for discussion noting that other universities centralize their funding and provide more than 10% for hiring purposes and building their research portfolio. She noted that the RTRF contains approximately \$50 million and that the Board does not review these funds as part of the operating budget so it is unclear as to what the bulk of these funds are used for. Chair Sullivan also stated that a more specific strategic research plan should be submitted to the Board that contains, among other things, strategic facility requirements and dollar amounts the University is hoping to gain through investments in priority research areas, noting that providing these types of measurable metrics would allow the Board to make more informed decisions as to the policies guiding the use of RTRF.

V. ADJOURNMENT

There being no further business, Regent Moore moved to adjourn, Regent Bal seconded the motion, and with unanimous approval of the members present, the meeting was adjourned at 11:09 a.m.

Respectfully Submitted,

Kendra Oishi
Executive Administrator and Secretary
of the Board of Regents



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Office of the Vice President for Research and Innovation

UH DTS #20458

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RECEIVED

February 27, 2020

'20 FEB 27 P9:27

MEMORANDUM

TO: Jan Sullivan, Chairperson
BOR Committee on Research and Innovation

UNIVERSITY OF HAWAII
PRESIDENT'S OFFICE

VIA: David Lassner
President

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

**SUBJECT: BOR COMMITTEE ON RESEARCH AND INNOVATION AGENDA
MATERIALS FOR THE MARCH 2020 MEETING**

Please find attached the following materials that will be discussed at the March 5, 2020 BOR Committee on Research and Innovation meeting:

- A. Recommend Board Approval of Proposed New Regents Policies
 - 1. RP 12.209, Strategic Research Plan (clean and redline versions)
 - 2. RP 12.210, Research and Training Revolving Fund (clean and redline versions)
 - 3. Research and Training Revolving Fund (RTRF) Committee (**VPRI presentation*)
- B. Enterprise Risk Management: Research Infrastructure Update (**VPRI presentation*)
- C. Research Development Update (**UHM VCR presentation*)
- D. Fiscal Year 2020 2nd Quarter Extramural Awards Update (**VPRI presentation*)
 - a. FY20 Q2 Extramural Awards Analysis Report
 - b. FY20 Q2 Research and Innovation Metrics Summary
 - c. FY20 Monthly Report of Extramural Awards (as of January 31, 2020)

Research and Training Revolving Fund (RTRF) Committee: Proposed New Regents Policies

BOR Committee on Research & Innovation
March 5, 2020



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Activities

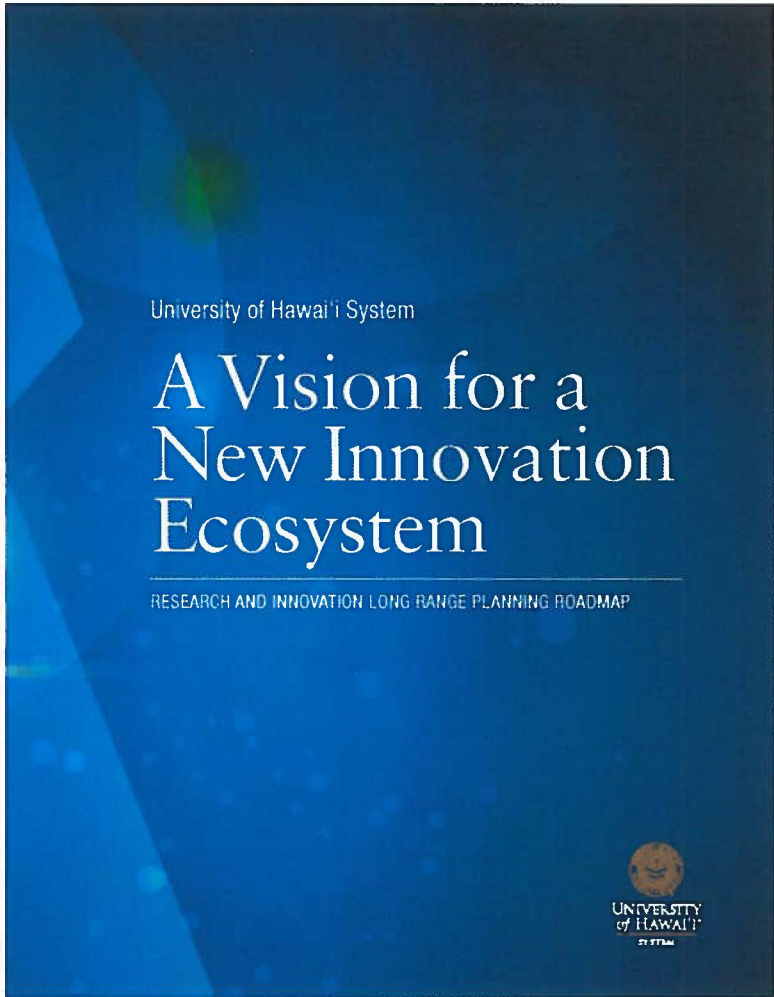
- Discussed proposed Regents Policies
 - RP 12.209, *Strategic Research Plan*
 - RP 12.210, *Research and Training Revolving Fund*



Consensus

- Changes unnecessary for RP 12.209
- However, confusion as to the Strategic Research Plan (SRP) as there is no such named document
- For purposes of the RP, it is referred to SRP but actually means the plan reviewed and approved by the board.





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Concerns

- RP 12.210, as written, seems to imply that there should be a formal accounting in the Kualii Financial System (KFS), which will be a logistical will not be feasible
- Unclear whether intent is to use 10% of RTRF for traditional strategic hiring support (i.e., start-up funding); RTRF is not meant to provide permanent salary support
- There is a limited amount of RTRF, which cannot provide debt service support on a large scale; when would it be prudent to do this?



Possible Solutions

- Change the 10% to a designation or earmark to report against
- Via the Executive Policy
 - Define appropriate uses for strategic hiring funds such as start-up funding
 - Describe report requirements and criteria (e.g., what investments/commitments can be counted)



Possible Solutions

- Demonstrate the feasibility of utilizing F&A recovery for debt service
 - May have worked for C-MORE Hale, which was almost entirely used by extramurally funded awards
 - But what about mixed use buildings that would rely on discipline of campus to monitor and increase extramurally funded usage?



Outcomes

- Proposed revisions to RP 12.210
 - Change 10% allocation to a designation or earmark for strategic hiring
 - Remove wording that implies that formal budgeting and accounting would need to occur in financial system
 - Change wording to call for a status report on the revenue, commitments and carry-over balances



Outcomes

- Propose a pilot study using the Life Sciences Building to track F&A recovery associated with building (i.e., does it generate enough to help pay its debt service?)



Next Steps

- Draft revisions to EP 12.216, *Research and Training Revolving Fund* to implement RP 12.209 and RP 12.210
- Consider other revisions that should be made to the nearly 17-year old policy
- Draft reporting methodology for Life Sciences Building F&A investment and recovery demonstration





Regents Policy Chapter 12, Research
Regents Policy RP 12.209, Strategic Research Plan
Effective Date: _____, 2020
Prior Dates Amended:
Review Date: August 2023

I. Purpose:

To establish a strategic planning process to achieve and maintain growing, modern, and forward-looking research programs.

II. Definitions:

No policy specific or unique definitions apply.

III. Policy:

- A. As part of the university's strategic long-range planning process, as set forth in Regents Policy 4.202, the board will periodically review and approve a long-range plan referred to as the "sStrategic rResearch pPlan".
- B. The sStrategic rResearch pPlan sets forth common system goals and planning principles and, as appropriate, specific strategies and directives, to implement these goals. The plan articulates university priorities for pursuing research growth during the planning period.
- C. The president, in consultation with the board, is responsible for updating the sStrategic rResearch pPlan at appropriate intervals, but at least every five (5) years.
- D. The president or his/her designee shall report to the board at least annually on progress that has been made relative to the Strategic Research Plan, as well as any recommended updates or revisions to the Strategic Research Plan that should be reviewed and evaluated.

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,
uhovpri@hawaii.edu

VI. References:

<http://www.hawaii.edu/offices/bor>

[RP 4.202](#)

Approved as to Form:

Kendra Oishi
Executive Administrator and
Secretary of the Board of Regents

Date



Regents Policy Chapter 12, Research
Regents Policy RP 12.209, Strategic Research Plan
Effective Date: _____, 2020
Prior Dates Amended:
Review Date: August 2023

I. Purpose:

To establish a strategic planning process to achieve and maintain growing, modern, and forward-looking research programs.

II. Definitions:

No policy specific or unique definitions apply.

III. Policy:

- A. As part of the university's strategic long-range planning process, as set forth in Regents Policy 4.202, the board will periodically review and approve a long-range plan referred to as the "Strategic Research Plan".
- B. The Strategic Research Plan sets forth common system goals and planning principles and, as appropriate, specific strategies and directives, to implement these goals. The plan articulates university priorities for pursuing research growth during the planning period.
- C. The president, in consultation with the board, is responsible for updating the Strategic Research Plan at appropriate intervals, but at least every five (5) years.
- D. The president or his/her designee shall report to the board at least annually on progress that has been made relative to the Strategic Research Plan, as well as any recommended updates or revisions to the Strategic Research Plan that should be reviewed and evaluated.

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VI. References:

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RP 4.202

Approved as to Form:

Kendra Oishi
Executive Administrator and
Secretary of the Board of Regents

Date



Regents Policy Chapter 12, Research
Regents Policy RP 12.210, Research and Training Revolving Fund
Effective Date: _____, 2020
Prior Dates Amended:
Review Date: August 2023

I. Purpose:

To establish a policy to use Research and Training Revolving Fund moneys to implement priorities established pursuant to the Strategic Research Plan.

II. Definitions:

- A. “Research and Training Revolving Fund” or “RTRF” shall have the same meaning as defined in Section 304A-2253, Hawai'i Revised Statutes.
- B. “Strategic Research Plan” shall mean the planning document reviewed and approved by the board under RP 12.209.

III. Policy:

A. In accordance with the board-approved Strategic Research Plan, the university shall, on an annual basis:

1. ~~On an annual basis, designate~~ Utilize a minimum of 10% of the ~~total-gross~~ RTRF funds recovered by a campus prior to distribution, for the purpose of strategic hiring in research areas that are consistent with the priorities in the Strategic Research Plan (~~“Strategic Research Hiring Fund”~~) ~~onfor~~ that campus.

2. Utilize a minimum of 10% of the gross RTRF funds recovered by a campus prior to distribution, for the purpose of rehabilitating or constructing strategic research facilities and laboratories for research areas that are consistent with the priorities in the Strategic Research Plan.

B. The university shall establish a Strategic Research Facilities Improvement Fund that will be funded by RTRF funds, implement special assessments from time to time to establish a common RTRF facilities account. These funds shall be utilized to facilitate the issuance of revenue bonds to finance the construction or rehabilitation of priority research facilities that are required to achieve the Strategic Research Plan (“Strategic Research Facilities Improvement Fund”).

2. C. The provisions under this section shall only apply to campuses which receive a minimum of \$10,000,000 in RTRF recovery in a fiscal year.
- ~~B.~~ D. The president or his/her designee shall report to the board at least annually regarding the ~~status of the Strategic Research Hiring Fund and the Strategic Research Facilities Improvement Fund, as well as information on the revenue, commitments, and carry-over balances for both Funds~~ use of the funds in accordance with this policy, and the progress that has been made in strategic hiring and research facility improvements. This report may be incorporated into the annual Strategic Research Plan report to the board under RP 12.209.

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,
uhovpri@hawaii.edu

VI. References:

- <http://www.hawaii.edu/offices/bor>
- RP 12.209
- Section 304A-2253, Hawai'i Revised Statutes
(https://www.capitol.hawaii.gov/hrscurrent/Vol05_Ch0261-0319/HRS0304A/HRS_0304A-2253.htm)

Approved as to Form:

Kendra Oishi
Executive Administrator and
Secretary of the Board of Regents

Date



Regents Policy Chapter 12, Research
Regents Policy RP 12.210, Research and Training Revolving Fund
Effective Date: _____, 2020
Prior Dates Amended:
Review Date: August 2023

I. Purpose:

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- A. “Research and Training Revolving Fund” or “RTRF” shall have the same meaning as defined in Section 304A-2253, Hawai'i Revised Statutes.
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III. Policy:

- A. In accordance with the board-approved Strategic Research Plan, the university shall, on an annual basis:
 - 1. Utilize a minimum of 10% of the gross RTRF funds recovered by a campus prior to distribution, for the purpose of strategic hiring in research areas that are consistent with the priorities in the Strategic Research Plan for that campus.
 - 2. Utilize a minimum of 10% of the gross RTRF funds recovered by a campus prior to distribution, for the purpose of rehabilitating or constructing strategic research facilities and laboratories for research areas that are consistent with the priorities in the Strategic Research Plan.
- B. The university shall establish a Strategic Research Facilities Improvement Fund that will be funded by RTRF funds, to facilitate the issuance of revenue bonds to finance the construction or rehabilitation of priority research facilities that are required to achieve the Strategic Research Plan (“Strategic Research Facilities Improvement Fund”).
- C. The provisions under this section shall only apply to campuses which receive a minimum of \$10,000,000 in RTRF recovery in a fiscal year.

D. The president or his/her designee shall report to the board at least annually regarding the use of the funds in accordance with this policy, and the progress that has been made in strategic hiring and research facility improvements. This report may be incorporated into the annual Strategic Research Plan report to the board under RP 12.209.

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,
uhovpri@hawaii.edu

VI. References:

- <http://www.hawaii.edu/offices/bor>
- RP 12.209
- Section 304A-2253, Hawai'i Revised Statutes
(https://www.capitol.hawaii.gov/hrscurrent/Vol05_Ch0261-0319/HRS0304A/HRS_0304A-2253.htm)

Approved as to Form:

Kendra Oishi
Executive Administrator and
Secretary of the Board of Regents

Date

Enterprise Risk Management: Research Infrastructure

BOR Committee on Research & Innovation
March 5, 2020



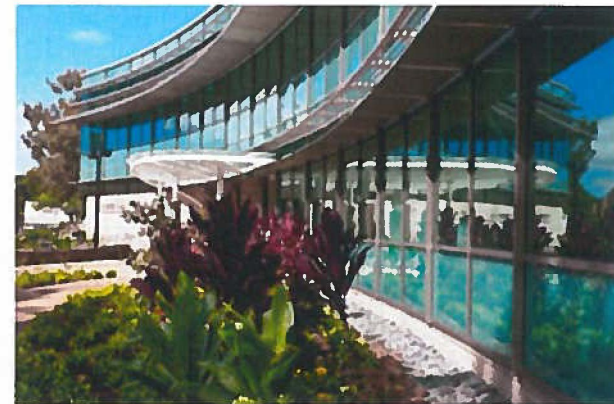
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Risk Factor: Competitiveness

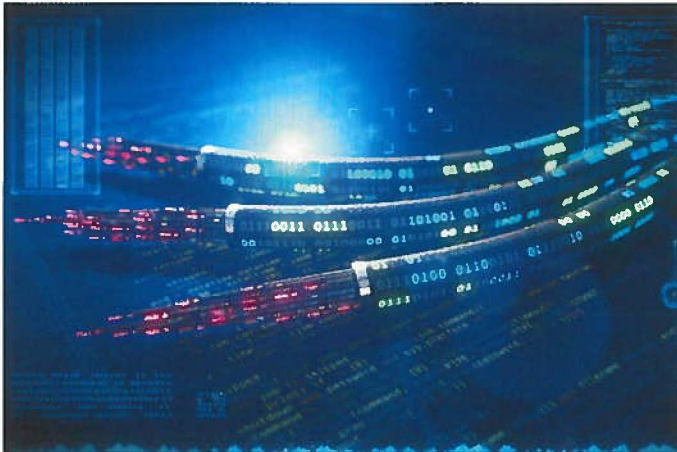
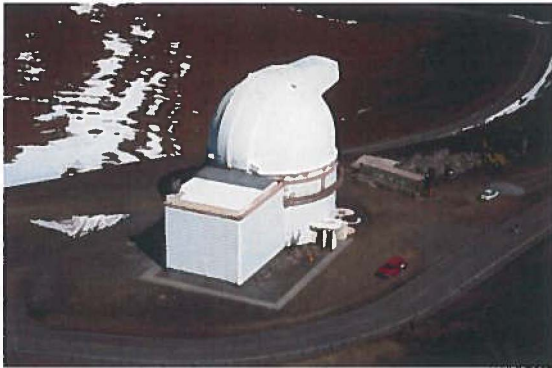
- Maintaining competitiveness requires investment in infrastructure
- One of the keys to maintaining leadership in major research areas (e.g., ocean sciences; astronomy; life sciences)



Infrastructure Ocean Sciences



Infrastructure Astronomy



Infrastructure Life Sciences



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Historical Costs of Selected Assets

Asset	Historical Cost	Federal contribution
Kilo Moana (research vessel)	\$46,491,998	100%
Ka`imikai-O-Kanaloa (research vessel)	\$8,797,341	N/A
Pier 35 renovations	\$3,896,364	N/A
88" (2.2 m) Telescope	\$11,637,572	6% or \$722K
Pan-STARRS Telescope	\$27,570,401	45% or \$12.5 million
Halepōhaku buildings	\$7,693,893	N/A
JABSOM Kaka`ako buildings	\$148,766,642	N/A
UH Cancer Center Kaka`ako building	\$149,218,916	N/A

NOTES:

1. Represents costs of assets placed in service. Does not include infrastructure improvements, land improvements, construction/fabrication in progress, or non-capitalizable assets.
2. Daniel K Inouye Solar Telescope is funded by National Science Foundation. PI is the National Solar Observatory. UH Institute for Astronomy is one of four co-principal investigators.
3. Daniel K Inouye College of Pharmacy has not been formally recorded in the financial system yet.



Situational Assessment

- Though philanthropy has been a major source of revenue for research programs and discoveries; unlike other institutions, alumni or other benefactors have not invested heavily in UH research infrastructure
 - High construction cost may be a factor
- Continue to rely on federal, state and university funds (RTRF) to invest in or renovate facilities



Where F&A Rate Can Grow

Facilities (Uncapped) +	Administration (26% Cap) =	Research Rate
17.0%	26.0%	43.0% (FY 20)
18.5%	26.0%	44.5% (FY 21)
19.0%	26.0%	45.0% (FY 22)
19.5%	26.0%	45.5% (FY 23)

Facilities costs:

- Depreciation of buildings and equipment used in research
- Related interest expenses (part of debt service)
- Operations & maintenance costs of those buildings

NOTE: Facilities costs recoverability is heavily dependent on percentage of building space used for extramurally funded research, which is scrutinized by federal government.



Debt service

- Includes general obligation (GO) bonds and revenue bonds
 - GO bonds must be in the Statewide Cost Allocation Plan (SWCAP) and identified to UH or cannot claim, according to the federal government
 - Conversely, revenue bonds are not considered part of SWCAP and easier to claim



RTRF Debt Service

Building/space	FY 16 space usage	Impact on <u>negotiated</u> rate
C-More Hale	91% research (RARE)	Helped raise facilities portion
Sinclair Library basement	100% sponsored project administration (19% due to federal rule*)	Helped UH qualify for 26% administrative cap

If UH plans to count on F&A recovery (i.e., RTRF) to help pay debt service, the units involved must have the discipline to ensure only researchers with extramural grants occupy the space to maintain the high research usage and to prohibit F&A waivers. This makes it difficult to utilize RTRF to fund debt service as a regular practice.

*NOTE: Federal government requires the total building space usage (e.g., all of Sinclair) to be taken into account to determine recoverability of interest regardless of the space the debt service is associated with. If not for the federal rule against using specific space, the Sinclair basement interest would be 100% recoverable.

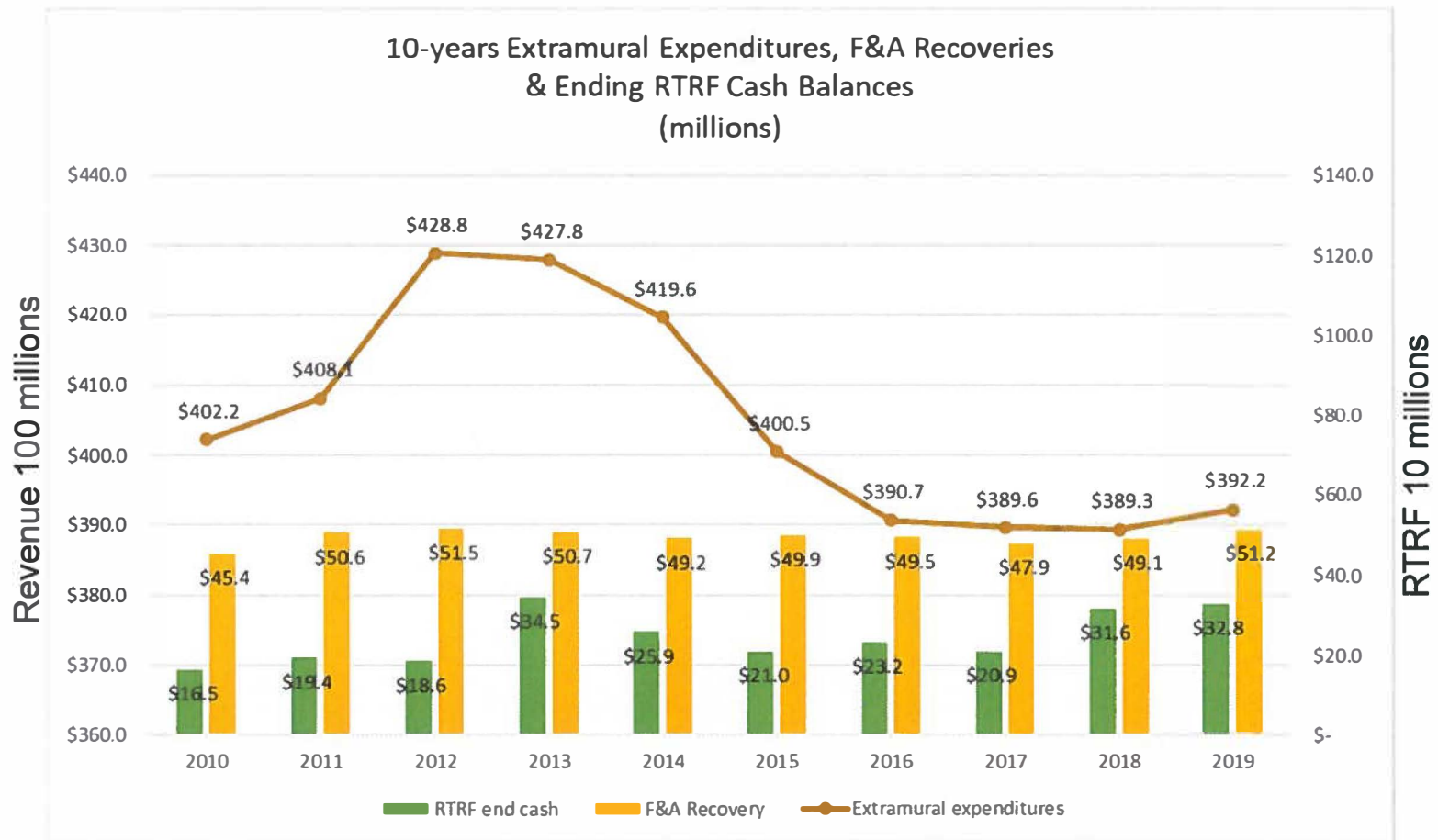


Optimal Use

- No studies have been conducted to determine the optimal percentage used for debt service vs. strategic hiring that maximizes extramural funding.
- For F&A rate proposals, so long as debt service was paid with non-federal funds we can claim interest subject to conditions (e.g., GO bonds)



10-Years RTRF Revenue & Balances



RTRF Targeted Investments

Direct impact on growing extramural funding

- Strategic hiring
 - Talent searches
 - Start-up funding packages
- Grant development services RP 12.210
 - Matchmaking between faculty and sponsors
 - Grant writing/large proposal support
- Incentives for existing faculty
 - Release time
 - Share of RTRF to use at their discretion in support of research

Indirect impact on extramural funding

- Equipment/core facilities acquisition
 - Direct investment or debt service support



Research Development Update

Office of the Vice Chancellor for Research

UH-Mānoa

March 5, 2020

Velma Kameoka, Ph.D.
Interim Vice Chancellor for Research



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Office of the Vice Chancellor for Research

UH-Mānoa

Office of the Vice Chancellor for Research (OVCR)

The OVCR is responsible for planning, initiating, and coordinating research at UH-Mānoa (UHM). Major functions include:

- Support and manage campus-wide research initiatives and research development activities.
- Identify Federal and private funding opportunities to support faculty research activities.
- Manage RTRF allocations to UHM units; deploy OVCR RTRF for faculty start-ups, research equipment, faculty research travel, matching funds/cost-share, infrastructure and research support.
- Facilitate research activities of UHM units and programs through the respective academic deans and directors.
- Manage and support campus-wide Undergraduate Research Opportunity Program.
- Interact with UH System Office of the Vice President for Research and Innovation (OVPRI; Office of Research Services, Office of Innovation and Commercialization, and Office of Research Compliance) to promote effective research services to UHM faculty.
- Provide administrative oversight for the Environmental Health & Safety Office (EHSO).



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Office of the Vice Chancellor for Research

<http://manoa.hawaii.edu/ovcr/>

Research Development

OVCR Research Development program update:

- **Chad Walton, Ph.D., Interim Assistant Vice Chancellor for Research**
 - Research Program Officer – focus on faculty research development (extramurally sponsored research)
 - Investment in *Research Insight* platform
 - Investment in The Implementation Group (TIG) consultation
 - Collaboration with OVPRI/ORS – Limited Submissions Opportunities
 - *InfoReady Review*



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Office of the Vice Chancellor for Research

Research Development

OVCR's Research Development (RD) program is responsible for proactive, capacity-building activities to promote extramurally funded research. The RD program is designed to facilitate individual faculty and faculty research teams compete for extramural research funding, create collaborative relationships, and develop and implement strategies focused on advancing UHM's competitiveness leveraging faculty research strengths. Activities include:

- Identify and disseminate extramural research funding opportunities targeted to faculty member's research expertise.
- Foster research team building via promoting and providing guidance for interdisciplinary collaborations among faculty at campus, state, national, and international levels.
- Identify and assist faculty in applying for honorific awards.
- Foster innovative research directions in support of UHM's strategic goals and initiatives via catalyzing new cross-disciplinary research initiatives.
- Manage and coordinate UHM faculty expertise database and other collaboration analytic tools.
- Coordinate and manages UHM limited submission opportunities process in collaboration with UH Office of Research Service.
- Convene campus-wide research administration support committee.



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Office of the Vice Chancellor for Research

Research Insight

Research Insight is a search tool enabling administrators throughout the university to search for scholars, funding opportunities, and collaborative networks related to research themes, as well as identify fitting honorific awards for faculty. With this information, OVCR is engaged with faculty and faculty teams in the following activities:

- Quickly identify experts at UHM and across the nation on specific research topics.
- View collaborative networks and support the creation of new interdisciplinary teams.
- Identify upcoming funding opportunities targeted to individual faculty member's research expertise.
- Identify external reviewers and collaborators based on research expertise.
- Identify honorific awards for which under-recognized faculty are likely candidates.
- Review suggested honorific awards to proactively seek recognition for deserving faculty.

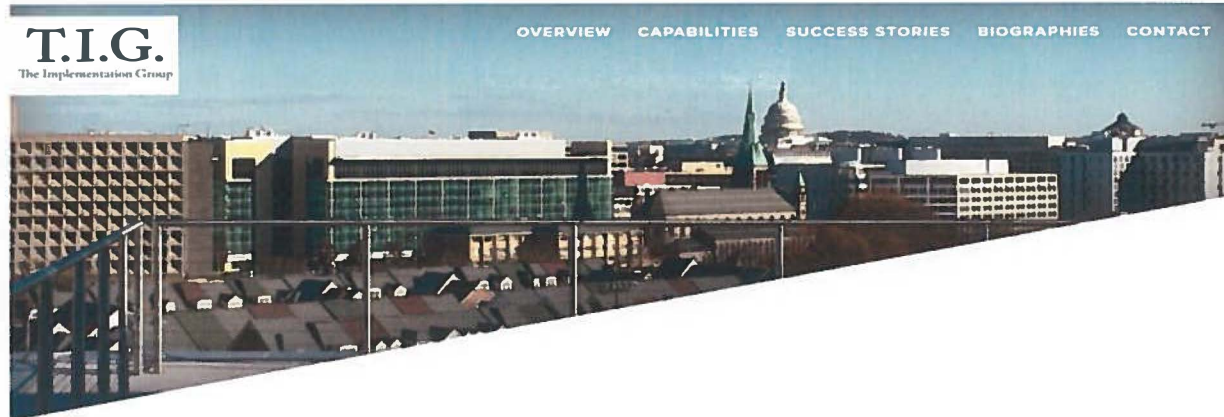


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The Implementation Group (TIG)



OVCR has engaged The Implementation Group (TIG) to enhance UHM's competitiveness for Federal funding. TIG is a D.C. based research development firm specializing in strategic positioning, proposal development, and team science to increase institutional competitiveness for external funding.

- Pre-submission technical assistance, proposal and limited submissions reviews for individual faculty and research teams
- Post-competition review and resubmission
- Grant-writing workshops (NSF CAREER Award; Federal grant writing)
- In 2019, 65 UHM faculty consultations; 51 proposals (33 pending; 9 funded; 8 not funded)



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Office of the Vice Chancellor for Research

Limited Submission Opportunities (LSO)

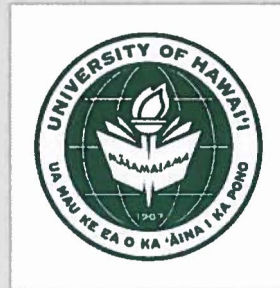
- Monitor recurring funding opportunities that limit the number of applications per application cycle.
- Coordinate the internal competition and selection process to identify the strongest candidates for these limited submission opportunities; coordinate TIG consultation for LSO proposal development.
- Coordinate with ORS for System-wide limited submission opportunities.
- Manage via web portal: *InfoReady Review*



InfoReady Review

InfoReady Review is an online system that automates competition, review and approval processes

Funding Opportunity Announcements & Applications



Welcome to the University of Hawaii at Mānoa's management system for announcements, applications, and reviews of funding opportunities including Limited Submission Opportunities (LSOs).

Search:

Title	Due Date	Category	Award Cycle
College of Social Sciences 2019-2020 Research Support Award	03/20/2020	Internal Funding Opportunity	2019-2020
College of Social Sciences 2019-2020 Support for Undergraduate Research Assistants	03/20/2020	Internal Funding Opportunity	2019-2020
REQUESTING GRANTS DEVELOPMENT SUPPORT: THE IMPLEMENTATION GROUP	12/31/2020	Internal Grant Support	On-going
Faculty Application Form: Faculty Award for Excellence in Mentoring	03/31/2020	UROP - Award	2020
Student Nomination Form: Faculty Award for Excellence in Mentoring	02/28/2020	UROP - Award	2020
Faculty Mentor Eligibility Person	12/31/2009	UROP - Form	On-going
2020 UROP Faculty Mentoring Grants for Summer Undergraduate Research and Creative Works	03/02/2020	UROP - Funding Opportunity	2020

Showing 1 to 7 of 7 entries

Limited Submission Opportunities (LSOs)

The Office of the Vice Chancellor for Research (OVCR) manages LSOs at UH Mānoa.

Please note that faculty members may not apply directly for a limited submission funding opportunity without institutional endorsement.

Limited Submission Procedures

1. Opportunities will be posted on OVCR's InfoReady Review. LSO announcements will also be emailed to UH Mānoa Deans/Directors via ovcrinfo@hawaii.edu for distribution to faculty members within their units.
2. Applicants will use InfoReady Review to submit LSO pre-proposals.
3. If an internal competition is necessary, a review committee will be selected by OVCR. Pre-proposals submitted via the InfoReady Review portal will be available to review committee members.
4. The selected review committee will provide assessments and recommendations for the selection of UH Mānoa's pre-proposals to be submitted.
5. Selection notification will be sent to applicants, Deans/Directors, and the Director of UH Office of Research Services.



FY20 Q2 Extramural Awards

BOR Committee on Research and Innovation

March 5, 2020



UNIVERSITY
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SYSTEM

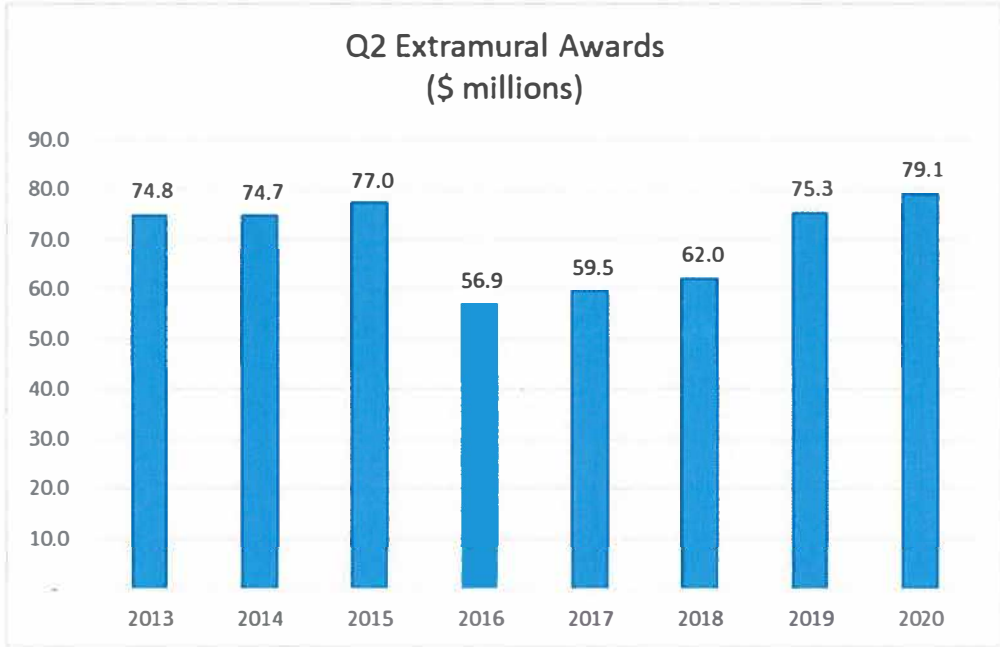
Overview

- FY20 Q2 Recap
- Significant Awards by Campus
- Award Amounts by Location



FY20 Q2 Recap

- Awards for FY20 Q2 were \$3.7 million or 2.1% more than FY19 Q2
- As of 12/31 year-to-date, FY 20 (\$255.2 million) is keeping pace with FY 19 (\$255.8 million)
- Cautiously optimistic that FY 20 will also finish over \$400 million



	2013	2014	2015	2016	2017	2018	2019	2020
Q1	178.1	166.5	191.1	165.8	181.8	164.5	180.5	176.1
Q2	74.8	74.7	77.0	56.9	59.5	62.0	75.3	79.1
Q3	56.7	55.4	52.8	66.2	67.1	71.0	76.7	TBD
Q4	100.1	95.7	104.8	102.4	78.6	88.8	89.3	TBD
FY	409.8	392.3	425.7	391.3	387.0	386.3	421.9	255.2



FY20 Q2 Significant Awards by Campus

Campus	Sponsor Type	Sponsor	Project Title	Amount
Mānoa	Federal	National Institutes of Health	COBRE-Diabetes	2,195,147
Hilo	Federal	Department of Interior	Hawaii Island Bat Ecology	169,722
West O'ahu	Federal	Department of Education	UHWO Gear Up	400,000
Hawai'i CC	Federal	Department of Education	Manai-a-Maui: Transforming Institutions with an Indigenous Framework	450,000
Honolulu CC	Federal	Department of Education	Renewing A Pathway to Student Success Through Culture Based Learning	517,252
Kapi'olani CC	Federal	Department of Education	Huliamahi - Joining Together to Support Guided Pathways to Success: A Collaborative Partnership between Kapiolani Community College and the University of Hawaii at Manoa	367,991
Kaua'i CC	Federal	Department of Education	Keleka'a Ho'ona'auo: Education Delivered Through Distance Education	449,600
Leeward CC	Federal	Department of Education	Ke Ala 'Anu'u: The Path of Steps	434,664
Maui College	State and Local	Department of Human Services	Research, Technical Assistance, Training, and Resource Development for CWS	6,918,008
Windward CC	State and Local	Department of Human Services	Learning to Grow Project	835,205
UH System	State and Local	Department of Human Services	Employment and Training Services for Supplemental Nutrition Assistance Program (SNAP) Recipients	1,581,499



FY20 Q2 Amounts by Location (\$ millions)

Campus	2017	2018	2019	2020	2020-19 Change
Mānoa	42.3	54.0	58.3	54.4	-6.8%
Hilo	1.3	0.9	1.8	1.3	-28.9%
West O'ahu	0.0	0.6	2.2	1.2	-44.8%
Hawai'i CC	0.1	0.0	0.2	1.4	776.1%
Honolulu CC	0.4	0.3	0.6	1.3	109.3%
Kapi'olani CC	0.1	0.5	0.0	1.1	1,099.6%
Kaua'i CC	0.0	0.0	0.2	1.1	473.8%
Leeward CC	0.2	0.0	0.0	1.1	100.0%
Maui College	2.5	0.1	1.9	8.0	328.7%
Windward CC	0.8	0.5	1.1	2.2	103.7%
UH System	11.8	5.1	9.0	6.0	-33.9%
TOTAL	59.5	62.0	75.3	79.1	4.9%



Major Changes by Location

- UH Mānoa decrease: The decrease is attributed to the timing of a \$3.7 million award (received FY20 Q1 vs. FY19 Q2).
- Hawai'i CC increase: The increase is attributed to three (3) US Department of Education awards totaling \$1,246,096.
- Kapi'olani CC increase: The increase is attributed to two (2) US Department of Education awards totaling \$711,628 and an Alu Like, Inc. award for \$273,863.
- Leeward CC increases: The increase is attributed to two (2) US Department of Education awards totaling \$786,023 as well as the timing of an award from the Hawai'i Department of Education (received in FY20 Q2 vs. FY19 Q3).



Major Changes by Location (cont.)

- UH Maui College increase: The increase is attributed to the \$6.9 million Hawai'i Department of Human Services award.
- Windward CC increase: The increase is attributed to two (2) US Department of Education awards totaling \$844,732 and a UH Foundation award for \$282,304.
- UH System decrease: The decrease is attributed to the timing of a \$4.1 million US Department of Education award (received in FY20 Q1 vs. FY19 Q2).



FY20 Q2 Extramural Awards Report

I. Summary

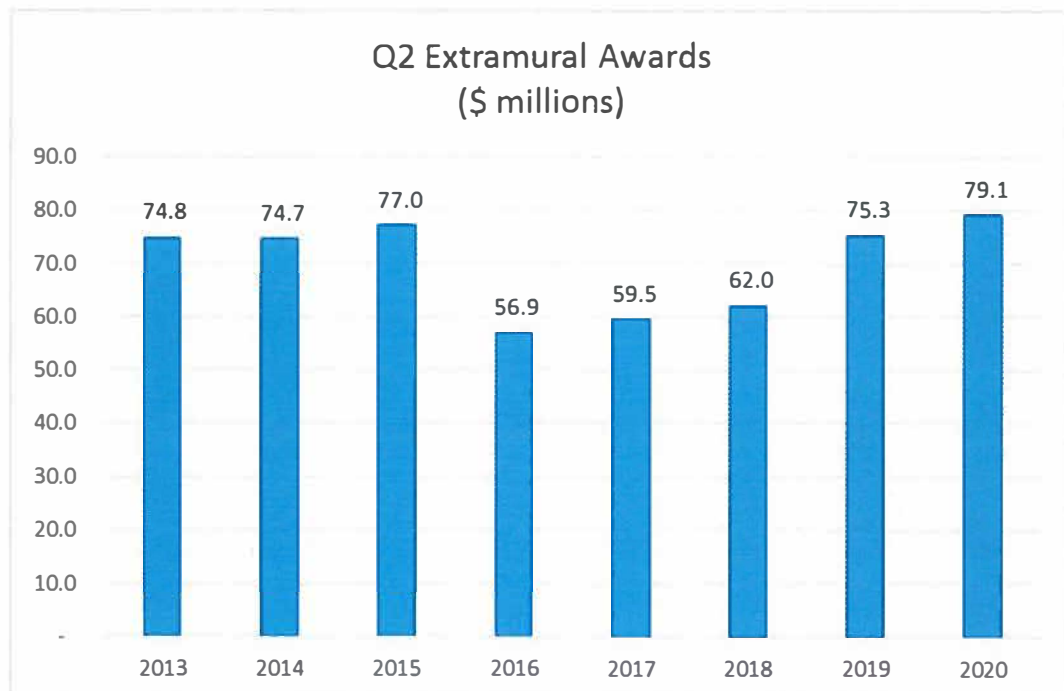
Extramural awards for FY20 Q2 totaled \$79.1 million, which is \$3.7 million or 2.1% more than FY19 Q2. The results helped FY20 (\$255.2 million as of 12/31/19) keep pace with FY19 (\$255.8 million as of 12/31/18), which provides cautious optimism that FY20 will come in over \$400 million.

II. Quarterly Performance Metrics

Extramural awards for FY20 Q2 were 2.1% more than FY19 Q2. The results helped FY 20 keep pace with FY 19 at the same time last year (\$255.2 million as of 12/31/19 year-to-date vs. \$255.8 million as of 12/31/18 year-to-date). See *IV. Award Trends by Campus* for an explanation of major increases or decreases that contributed to FY20 Q2 results.

Quarterly Extramural Awards
\$ millions

	2013	2014	2015	2016	2017	2018	2019	2020
Q1	178.1	166.5	191.1	165.8	181.8	164.5	180.5	176.1
Q2	74.8	74.7	77.0	56.9	59.5	62.0	75.3	79.1
Q3	56.7	55.4	52.8	66.2	67.1	71.0	76.7	TBD
Q4	100.1	95.7	104.8	102.4	78.6	88.8	89.3	TBD
FY	409.8	392.3	425.7	391.3	387.0	386.3	421.9	255.2



III. Significant Awards by Campus

During FY20 Q2, UH received 419 awards from 189 different sponsors. The following table reports the largest awards received this quarter by campus.

Campus	Sponsor Type	Sponsor	Project Title	Amount
Mānoa	Federal	National Institutes of Health	COBRE-Diabetes	2,195,147
Hilo	Federal	Department of Interior	Hawaii Island Bat Ecology	169,722
West O'ahu	Federal	Department of Education	UHWO Gear Up	400,000
Hawai'i CC	Federal	Department of Education	Manai-a-Maui: Transforming Institutions with an Indigenous Framework	450,000
Honolulu CC	Federal	Department of Education	Renewing A Pathway to Student Success Through Culture Based Learning	517,252
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Kaua'i CC	Federal	Department of Education	Keleka'a Ho'ona'auo: Education Delivered Through Distance Education	449,660
Leeward CC	Federal	Department of Education	Ke Ala 'Anu'u: The Path of Steps Research, Technical Assistance, Training, and Resource Development	434,664
Maui College	State and Local	Department of Human Services	for CWS	6,918,008
Windward CC	State and Local	Department of Human Services	Learning to Grow Project	835,205
UH System ¹	State and Local	Department of Human Services	Employment and Training Services for Supplemental Nutrition Assistance Program (SNAP) Recipients	1,581,499

¹ UH System represents units under Vice Presidents that receive extramural funding. Examples include the P20 and Gear Up grants under the VP for Academic Affairs; Maui High Performance Computing Center and Pacific Disaster Center contracts under the VP for Information Technology; Applied Research Laboratory task orders under the VP for Research and Innovation; and the Pacific Business Center Program under the VP for Community Colleges.

IV. Award Trends by Campus

The following table summarizes the awards received this quarter by campus.

Q2 Award Amounts by Location					
\$ millions					
Campus	2017	2018	2019	2020	2020-19 Change²
Mānoa	42.3	54.0	58.3	54.4	-6.8%
Hilo	1.3	0.9	1.8	1.3	-28.9%
West O'ahu	0.0	0.6	2.2	1.2	-44.8%
Hawai'i CC	0.1	0.0	0.2	1.4	776.1%
Honolulu CC	0.4	0.3	0.6	1.3	109.3%
Kapi'olani CC	0.1	0.5	0.0	1.1	1,099.6%
Kaua'i CC	0.0	0.0	0.2	1.1	473.8%
Leeward CC	0.2	0.0	0.0	1.1	100.0%
Maui College	2.5	0.1	1.9	8.0	328.7%
Windward CC	0.8	0.5	1.1	2.2	103.7%
UH System	11.8	5.1	9.0	6.0	-33.9%
TOTAL	59.5	62.0	75.3	79.1	4.9%

Major dollar increases and decreases are attributed as follows:

UH Mānoa decrease: The decrease is attributed to the timing of a \$3.7 million award (received FY 20 Q1 vs. FY 19 Q2).

Hawai'i CC increase: The increase is attributed to three U.S. Department of Education awards totaling \$1,246,096.

Kapi'olani CC increase: The increase is attributed to two (2) U.S. Department of Education awards totaling \$711,628 and an Alu Like, Inc. award for \$273,863.

Leeward CC increases: The increase is attributed to two (2) U.S. Department of Education awards totaling \$786,023 as well as the timing of an award from the Hawai'i Department of Education (received in FY20 Q2 vs. FY19 Q3).

UH Maui College increase: The increase is attributed to the \$6.9 million Hawai'i Department of Human Services award.

Windward CC increase: The increase is attributed to two (2) U.S. Department of Education awards totaling \$844,732 and a UH Foundation award for \$282,304.

UH System decrease: The decrease is attributed to the timing of a \$4.1 million US Department of Education award (received in FY 20 Q1 vs. FY 19 Q2).

² The percent change over the prior year is calculated using the actual figures not the rounded figures.

V. Forecast vs. Actuals

Results for FY20 Q2 were about \$17.6 million or 28.6% more than the forecast.

FY 2019	Forecast	Actual	Variance
Q1	176.6	176.1	-0.2%
Q2	61.5	79.1	28.6%
Q3	70.4	TBD	N/A
Q4	93.0	TBD	N/A
Total	401.5	255.2	N/A

Extramural Sponsor Awards Quarterly Summary

<u>Program Type</u>	Oct 1 - Dec 31 2019		Oct 1 - Dec 31 2018	
	<u>Count</u>	<u>Amount</u>	<u>Count</u>	<u>Amount</u>
Research	221	\$ 36,465,665	233	\$ 34,541,833
Non-Research	198	\$ 45,402,539	183	\$ 41,649,816
<u>Total</u>	<u>419</u>	<u>\$ 81,868,204</u>	<u>416</u>	<u>\$ 76,191,649</u>

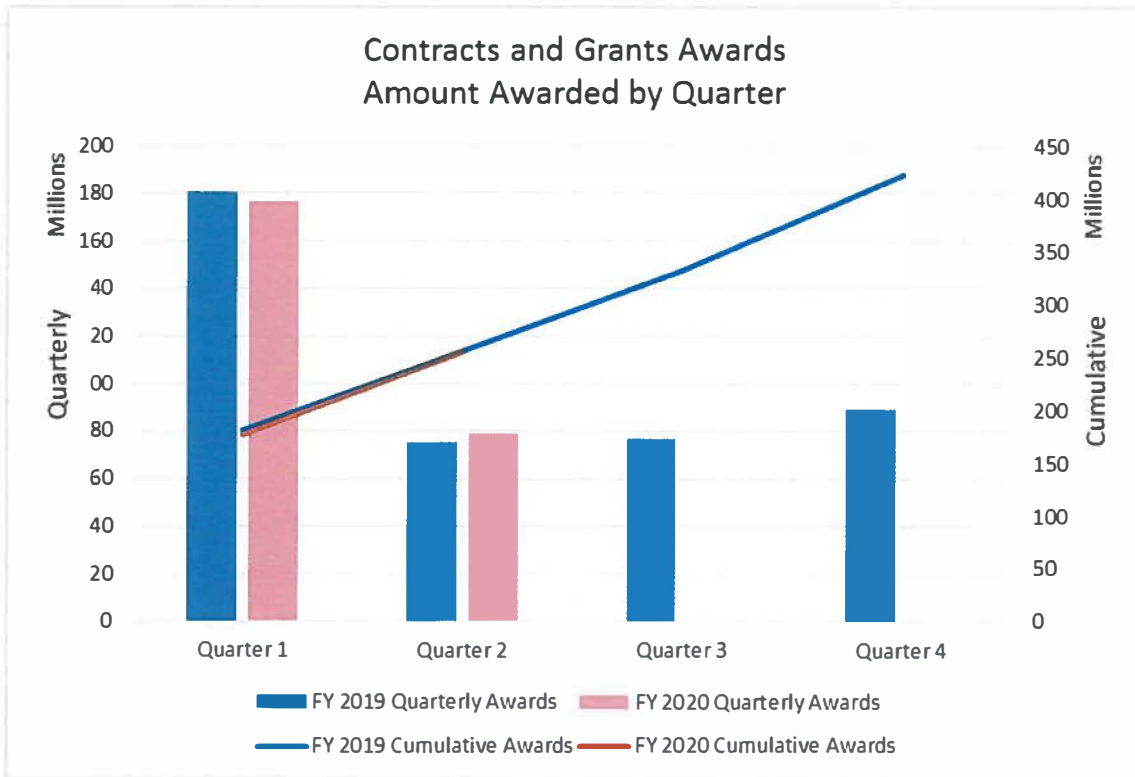
Note: The detailed award listing is available at:

<http://www.ors.hawaii.edu/index.php/bor-reports>

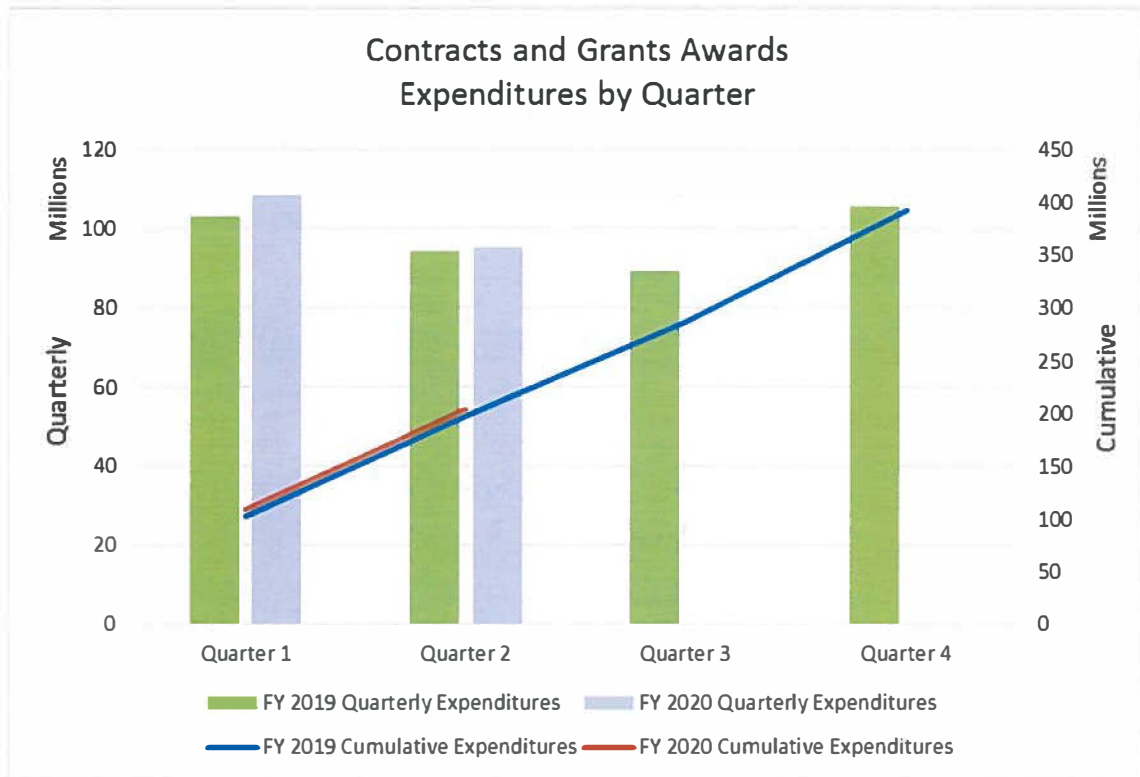
The FY 2019 year-to-date total was: \$255,864,191

The unofficial FY 2020 year-to-date total is: 1,065 awards totaling \$255,183,858

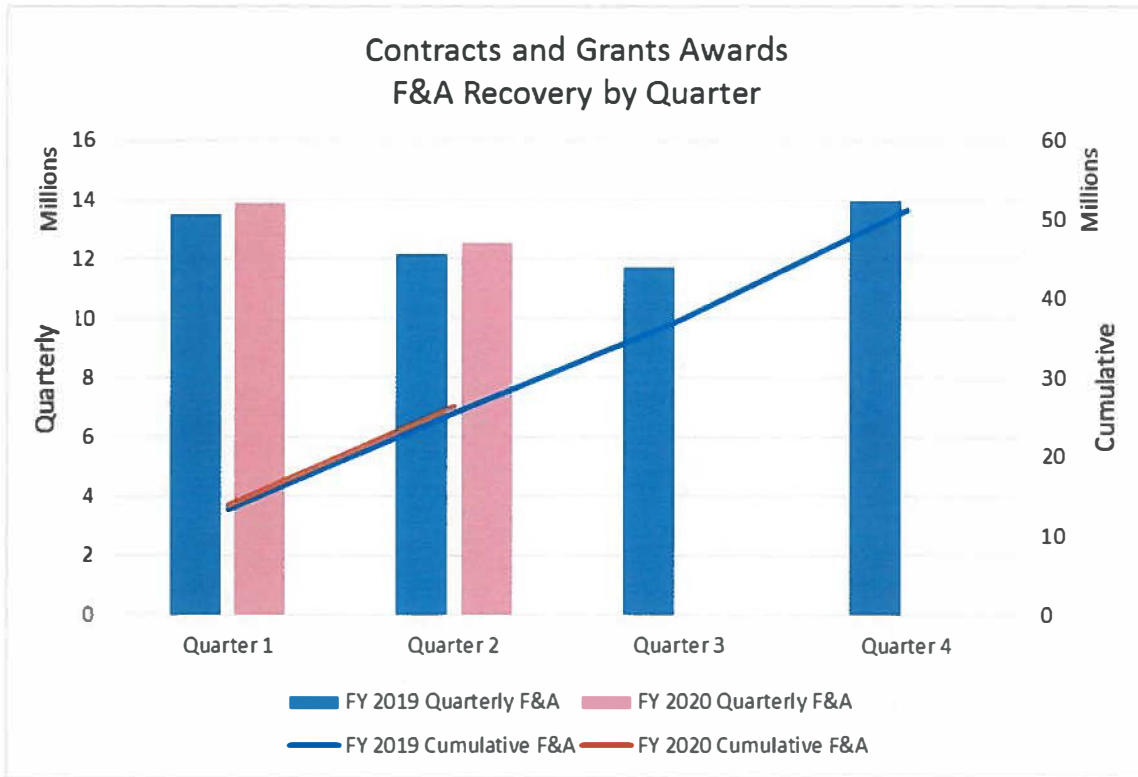
Contracts and Grants Awards
As of Quarter Two – FY 2020



**Contracts and Grants Expenditures
As of Quarter Two – FY 2020**



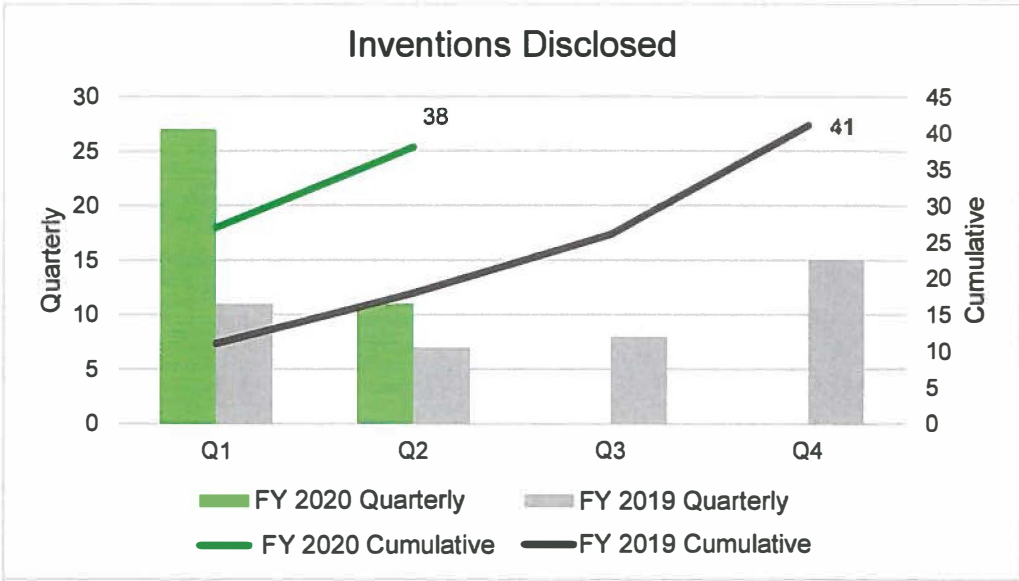
Contracts and Grants F&A Recovery
As of Quarter Two – FY 2020



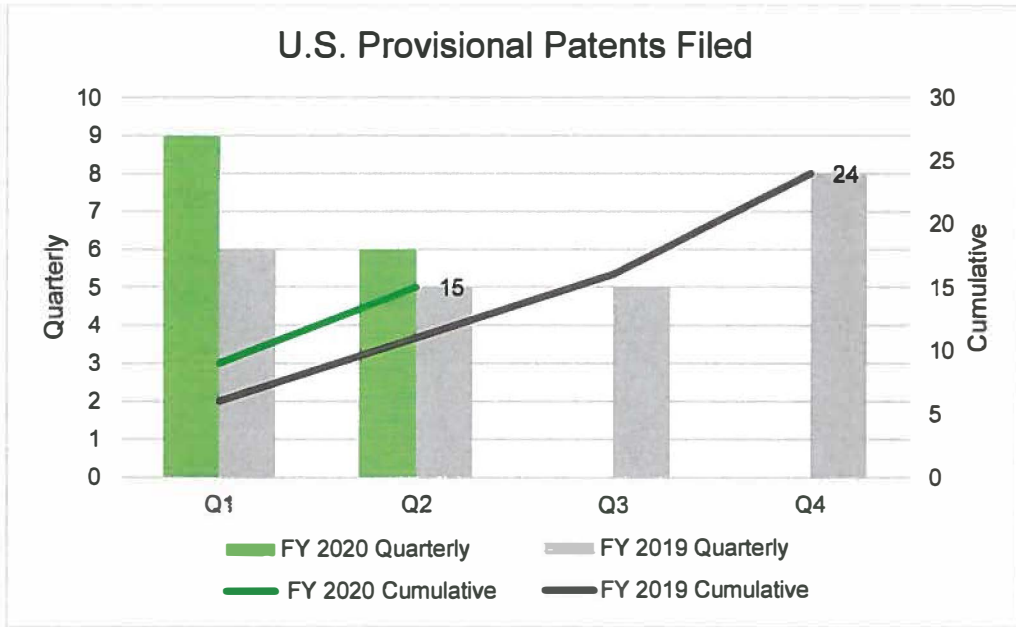
**OIC Research & Innovation Metrics
FY 2020 – Second Quarter Summary**

<u>Metric</u>	FY 2020	FY 2019
	<u>10/1/19 – 12/31/19</u>	<u>10/1/18 – 12/31/18</u>
Invention Disclosures	11	7
U.S. Provisional Patents Filed	6	5
U.S. Non-Provisional Patents Filed	4	7
U.S. Non-Provisional Patents Issued	0	2
License & Option Agreements Executed	3	3
Active License & Option Agreements	139	121
Royalty Revenue	\$54,785.37	\$65,736.39
Start-Ups	0	1

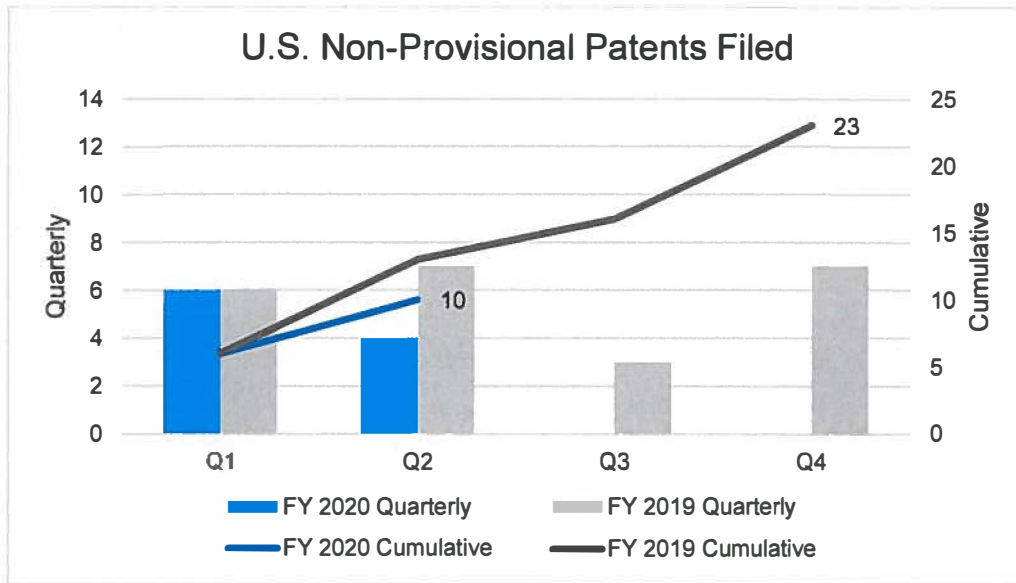
**Invention Disclosures
As of Quarter Two – FY 2020**



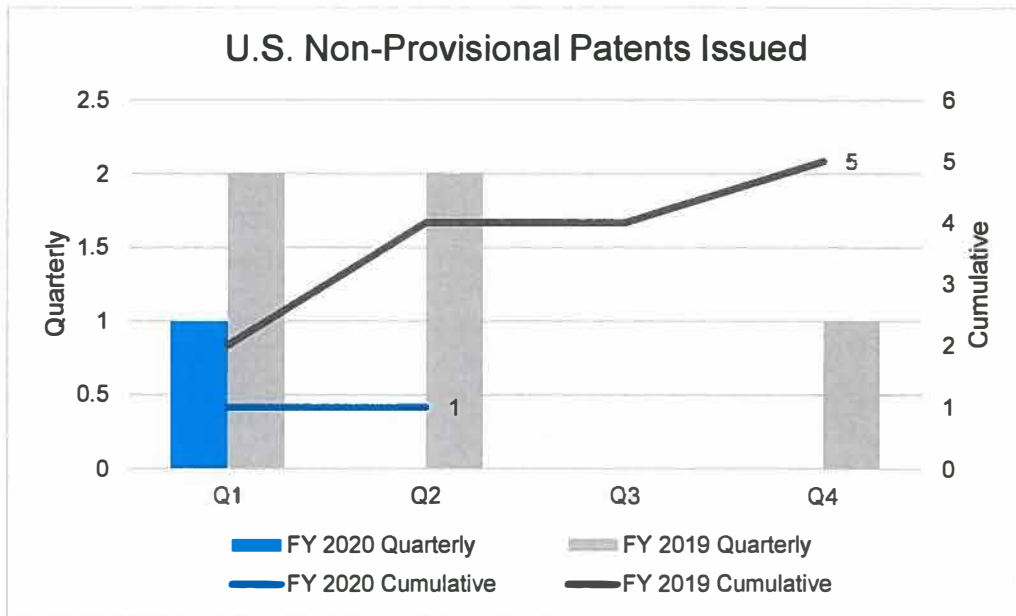
U.S. Provisional Patents Filed
As of Quarter Two – FY 2020



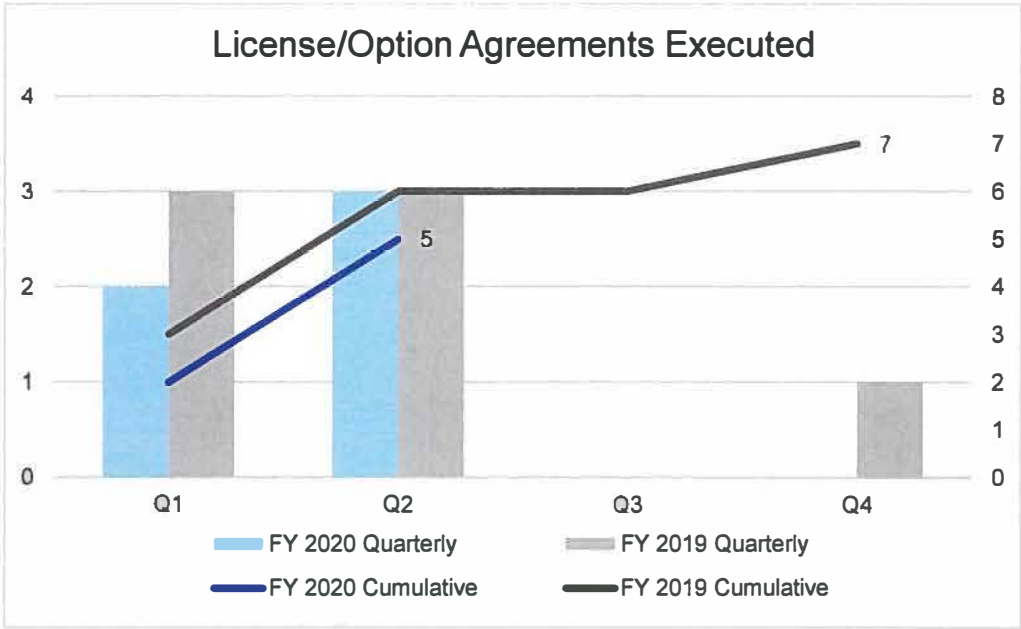
U.S. Non-Provisional Patents Filed
As of Quarter Two – FY 2020



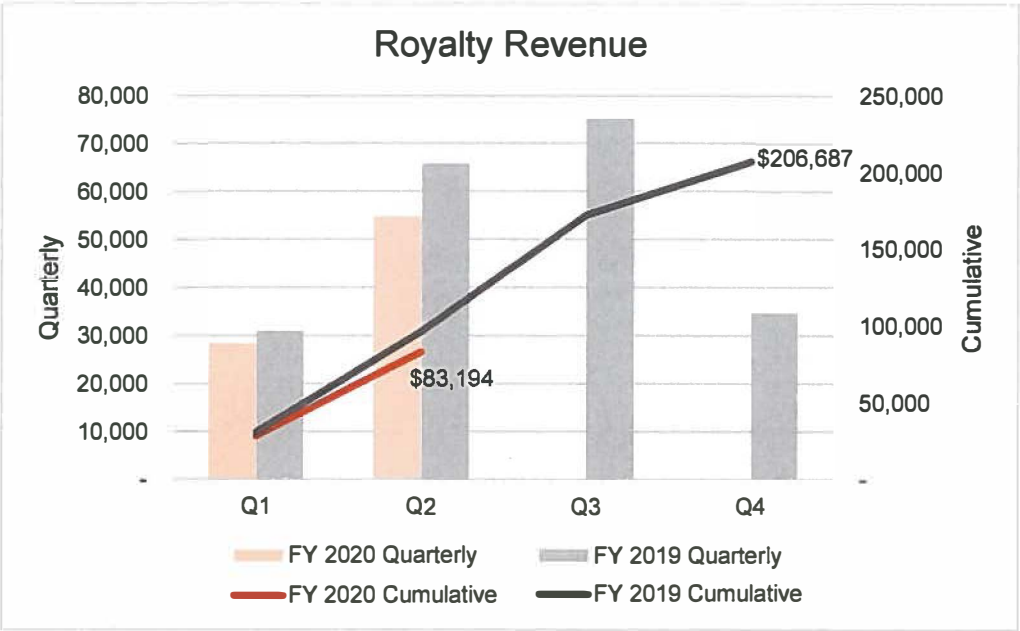
U.S. Non-Provisional Patents Issued
As of Quarter Two – FY 2020



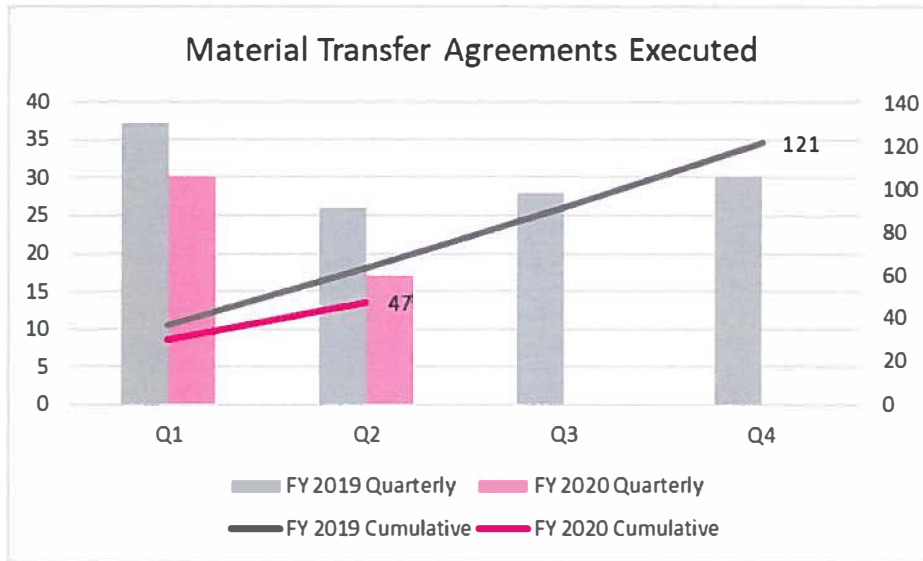
License/Option Agreements
As of Quarter Two – FY 2020



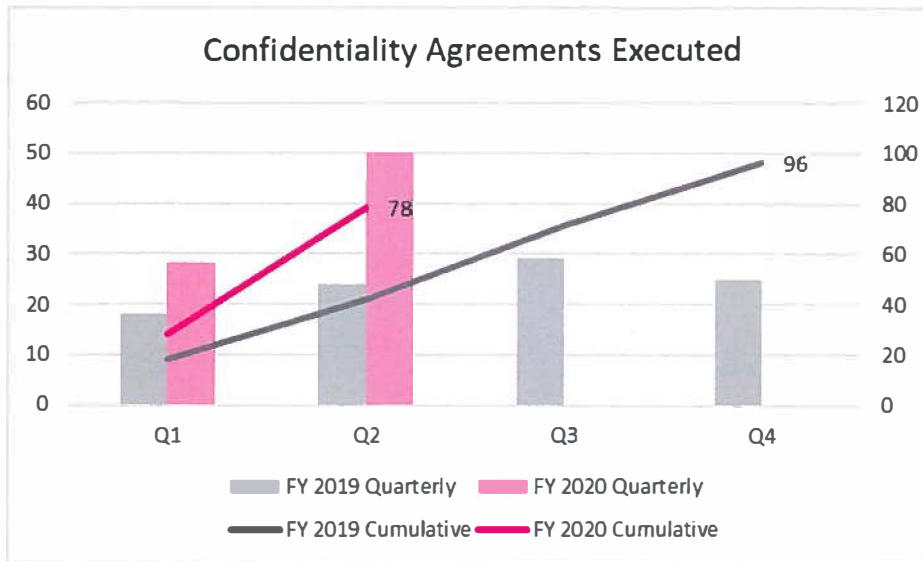
**Royalty Revenue
As of Quarter Two – FY 2020**



**Material Transfer Agreements Executed
As of Quarter Two – FY 2020**



Confidentiality Agreements Executed As of Quarter Two – FY 2020



FY 2020 Monthly Report of Awards to Date as of January 31, 2020						
Summary By Campus						
Campus	FY 2019		FY 2020		\$ Change	% Change
	Award Count	Award Amount	Award Count	Award Amount		
Hawai'i Community College	8	368,875	12	1,734,193	1,365,318	370.1%
Honolulu Community College	7	1,439,307	7	1,677,172	237,865	16.5%
Kaploani Community College	8	3,182,882	10	2,575,748	(607,134)	-19.1%
Kauai Community College	4	871,368	8	1,210,282	338,914	38.9%
Leeward Community College	4	2,657,989	5	1,464,863	(1,193,126)	-44.9%
University of Hawai'i Maui College	27	10,087,865	25	14,126,916	4,039,051	40.0%
Windward Community College	18	6,789,040	13	4,589,585	(2,199,455)	-32.4%
Subtotal Community Colleges and UH Maui College	76	25,397,326	80	27,378,759	1,981,433	7.8%
University of Hawai'i at Hilo	89	11,821,310	67	7,824,136	(3,997,174)	-33.8%
University of Hawai'i at Manoa	990	201,309,481	970	207,791,714	6,482,233	3.2%
University of Hawai'i at West O'ahu	17	5,221,973	10	2,598,322	(2,623,651)	-50.2%
University of Hawai'i System	46	32,435,912	42	29,749,910	(2,686,002)	-8.3%
Grand Total	1,218	276,186,002	1,169	275,342,841	(843,161)	-0.3%
FY 2020 Monthly Report of Awards to Date as of January 2020						
Campus Details						
Campus	FY 2019		FY 2020		\$ Change	% Change
	Award Count	Award Amount	Award Count	Award Amount		
Hawai'i Community College	8	368,875	12	1,734,193	1,365,318	370.1%
Chancellor, Hawaii Community College	8	368,875	12	1,734,193	1,365,318	370.1%
Academic Affairs (Hawaii CC)	2	250,000	1	75,000	(175,000)	-70.0%
Chancellor, Hawaii Community College	1	9,500	5	1,280,596	1,271,096	13380.0%
Early Childhood Education (Hawaii CC)	1	19,800	-	-	(19,800)	-100.0%
Office of Continuing Education & Training	3	79,575	3	182,985	103,410	130.0%
UH Center at West Hawai'i	1	10,000	3	195,612	185,612	1856.1%
Honolulu Community College	7	1,439,307	7	1,677,172	237,865	16.5%
Chancellor, Honolulu Community College	7	1,439,307	7	1,677,172	237,865	16.5%
Academic Affairs (Honolulu CC)	2	792,641	1	517,252	(275,389)	-34.7%
Chancellor, Honolulu Community College	2	283,461	1	264,867	(18,594)	-6.6%
Early Childhood (Honolulu CC)	1	40,000	-	-	(40,000)	-100.0%
Pacific Center for Advanced Technology Training	1	20,152	2	90,000	69,848	346.6%
University College	1	303,053	3	805,053	502,000	165.6%
Kaploani Community College	8	3,182,882	10	2,575,748	(607,134)	-19.1%
Chancellor, Kaploani Community College	8	3,182,882	10	2,575,748	(607,134)	-19.1%
Arts and Sciences Academic Program	1	43,246	-	-	(43,246)	-100.0%
Chancellor, Kaploani Community College	3	2,591,369	3	1,508,155	(1,083,214)	-41.8%
Continuing Education / Non-Credit Program	2	44,000	1	30,000	(14,000)	-31.8%
Culinary Arts (KCC)	-	-	1	91,868	91,868	100.0%
Emergency Medical Services	1	149,480	1	240,000	90,520	60.6%
Health Sciences	-	-	2	61,290	61,290	100.0%
Student Support Services	1	354,787	2	644,435	289,648	81.6%
Kauai Community College	4	871,368	8	1,210,282	338,914	38.9%
Chancellor, Kauai Community College	4	871,368	8	1,210,282	338,914	38.9%
Chancellor, Kauai Community College	4	871,368	7	1,170,282	298,914	34.3%
Continuing Education and Training (Kauai CC)	-	-	1	40,000	40,000	100.0%
Leeward Community College	4	2,657,989	5	1,464,863	(1,193,126)	-44.9%
Chancellor, Leeward Community College	4	2,657,989	5	1,464,863	(1,193,126)	-44.9%
Academic Affairs (Leeward CC)	-	-	1	351,359	351,359	100.0%
Arts and Sciences	-	-	1	434,664	434,664	100.0%
Chancellor, Leeward Community College	3	2,583,775	1	80,000	(2,503,775)	-96.9%
Continuing Education and Workforce Dev	-	-	1	250,000	250,000	100.0%
Hawaiian Studies (Leeward CC)	1	74,214	-	-	(74,214)	-100.0%
Social Science (Leeward CC)	-	-	1	348,840	348,840	100.0%
University of Hawai'i at Hilo	89	11,821,310	67	7,824,136	(3,997,174)	-33.8%
Chancellor, UH Hilo	1	848,825	1	860,827	12,002	1.4%
Chancellor, UH Hilo	1	848,825	1	860,827	12,002	1.4%
College of Agriculture, Forestry and Natural Resource Mgt	9	883,616	6	669,545	(214,071)	-24.2%
College of Agriculture, Forestry and Natural Resource Mgt	6	318,210	3	313,601	(4,609)	-1.4%
Pacific Aquaculture and Coastal Resources Ctr	3	565,406	3	355,944	(209,462)	-37.0%
College of Arts and Sciences	24	3,956,174	24	2,347,766	(1,608,408)	-40.7%
Anthropology (UH Hilo)	1	600,000	1	816,244	216,244	36.0%
Chemistry (UH Hilo)	-	-	1	20,000	20,000	100.0%
College of Arts and Sciences	1	329,995	2	394,125	64,130	19.4%
Geography (UH Hilo)	5	556,079	5	392,113	(163,966)	-29.5%
Kinesiology and Exercise Sciences	-	-	1	21,600	21,600	100.0%
Marine Science	3	583,805	1	20,000	(563,805)	-96.6%
Mathematics (UH Hilo)	1	8,400	1	118,807	110,407	1314.4%
Natural Sciences Division	7	1,200,325	6	284,775	(915,550)	-76.3%
Political Science (UH Hilo)	-	-	1	28,000	28,000	100.0%
Physics and Astronomy	1	34,608	-	-	(34,608)	-100.0%
Social Sciences Division	3	249,934	2	67,108	(182,826)	-73.1%
Tropical Conservation Biology and Environmental Science	2	393,028	3	184,994	(208,034)	-52.9%
College of Business and Economics	-	-	2	125,900	125,900	100.0%
College of Business and Economics	-	-	2	125,900	125,900	100.0%
College of Continuing Education and Community Svc	-	-	1	40,000	40,000	100.0%

FY 2020 Monthly Report of Awards to Date as of January 2020							
Summary By Campus							
Campus	FY 2019		FY 2020		\$ Change	% Change	
	Award Count	Award Amount	Award Count	Award Amount			
College of Continuing Education and Community Svc	-	-	1	40,000	40,000	100.0%	
College of Pharmacy	8	492,941	5	197,497	(295,444)	-59.9%	
College of Pharmacy	2	36,600	2	124,980	88,380	241.5%	
Pharmaceutical Sciences	3	399,959	2	44,322	(355,637)	-88.9%	
Pharmacy Practice	3	56,382	1	28,195	(28,187)	-50.0%	
Hawaii Small Business Development Center	3	90,500	1	70,000	(20,500)	-22.7%	
Hawaii Small Business Development Center	3	90,500	1	70,000	(20,500)	-22.7%	
Imiloa Astronomy Center Of Hawaii	3	165,978	3	166,000	22	0.0%	
Imiloa Astronomy Center Of Hawaii	3	165,978	3	166,000	22	0.0%	
Ka Haka'Ula O Ke'Elkolani-UHH	6	1,105,307	3	828,461	(276,846)	-25.0%	
Hale Kuamo'o Center	3	848,318	3	828,461	(19,857)	-2.3%	
Ka Haka'Ula O Ke'Elkolani-UHH	3	256,989	-	-	(256,989)	-100.0%	
Vice Chancellor for Administrative Affairs	1	2,250	2	4,375	2,125	94.4%	
Vice Chancellor for Administrative Affairs	1	2,250	2	4,375	2,125	94.4%	
Vice Chancellor for Research	16	1,704,355	13	1,033,282	(671,073)	-39.4%	
Vice Chancellor for Research	16	1,704,355	13	1,033,282	(671,073)	-39.4%	
Vice Chancellor for Student Affairs	18	2,571,364	6	1,480,483	(1,090,881)	-42.4%	
Center For Gifted And Talented Native Hawaiian Children	3	717,054	1	630,588	(86,466)	-12.1%	
Vice Chancellor for Student Affairs	15	1,854,310	5	849,895	(1,004,415)	-54.2%	
University of Hawai'i at Manoa	990	201,309,481	970	207,791,714	6,482,233	3.2%	
College of Arts and Humanities	16	452,457	13	460,632	8,175	1.8%	
Art and Art History	4	87,446	-	-	(87,446)	-100.0%	
College of Arts and Humanities	2	102,000	-	-	(102,000)	-100.0%	
History (UH Manoa)	1	5,000	3	101,693	96,693	1933.9%	
Music (UH Manoa)	2	19,218	2	7,600	(11,618)	-60.5%	
Philosophy (UH Manoa)	1	1,000	3	25,000	24,000	2400.0%	
Religion (UH Manoa)	1	14,101	2	15,369	1,268	9.0%	
Theatre and Dance	1	20,000	1	40,400	20,400	102.0%	
UHM Uehiro Academy for Philosophy and Ethics in Education	4	203,692	2	270,570	66,878	32.8%	
College of Education	52	17,937,996	44	10,153,531	(7,784,465)	-43.4%	
Center on Disability Studies/University Affiliated Pgms	27	8,168,179	23	6,713,063	(1,455,116)	-17.8%	
College of Education	5	3,030,963	2	36,440	(2,994,523)	-98.8%	
Curriculum Research and Development Group	12	2,020,499	5	1,282,827	(737,672)	-36.5%	
Department of Curriculum Studies	1	578,985	2	753,312	174,327	30.1%	
Department of Educational Psychology	1	1,026	-	-	(1,026)	-100.0%	
Department of Kinesiology and Rehabilitation Science	2	305,510	3	282,290	(23,220)	-7.6%	
Department of Special Education	3	3,783,058	4	307,256	(3,475,802)	-91.9%	
Institute for Teacher Education	1	49,776	5	778,343	728,567	1463.7%	
College of Engineering	32	3,807,054	34	12,289,502	8,482,448	222.8%	
Civil and Environmental Engineering	5	893,175	12	7,506,638	6,613,463	740.4%	
College of Engineering	2	614,710	2	759,883	145,173	23.6%	
Electrical Engineering	11	961,612	10	2,307,308	1,345,696	139.9%	
Hawaii Center for Advanced Communications	1	100,032	1	100,032	-	0.0%	
Mechanical Engineering	13	1,237,525	9	1,615,641	378,116	30.6%	
College of Language, Linguistics and Literature	19	1,409,964	14	1,486,804	76,840	5.4%	
Center for Language and Technology	1	156,000	-	-	(156,000)	-100.0%	
College of Language, Linguistics and Literature	1	98,413	-	-	(98,413)	-100.0%	
Department of East Asian Languages and Literature	3	902,606	5	1,144,982	242,376	26.9%	
Department of English	1	3,263	-	-	(3,263)	-100.0%	
Department of Indo-Pacific Languages	1	104,370	-	-	(104,370)	-100.0%	
Department of Linguistics	6	64,817	8	339,822	275,005	424.3%	
Department of Second Language Studies	5	77,932	1	2,000	(75,932)	-97.4%	
Dept of Languages and Literatures of Europe and the Americas	1	2,563	-	-	(2,563)	-100.0%	
College of Natural Sciences	133	22,952,405	146	22,021,568	(930,837)	-4.1%	
College of Natural Sciences	1	526,991	-	-	(526,991)	-100.0%	
Department of Biology (Biology Program)	9	2,556,252	5	610,293	(1,945,959)	-76.1%	
Department of Botany	93	15,693,280	99	16,013,746	320,466	2.0%	
Department of Chemistry	7	1,371,898	6	937,579	(434,319)	-31.7%	
Department of Mathematics	3	315,092	2	519,206	204,114	64.8%	
Department of Physics and Astronomy	11	1,219,497	26	3,060,211	1,840,714	150.9%	
Information and Computer Sciences	9	1,269,395	8	880,533	(388,862)	-30.6%	
College of Social Sciences	60	12,359,154	53	11,699,222	(659,932)	-5.3%	
College of Social Sciences	5	252,218	3	157,222	(94,996)	-37.7%	
Department of Anthropology	3	150,193	3	80,790	(69,403)	-46.2%	
Economics (UH Manoa)	1	35,187	3	190,559	155,372	441.6%	
Ethnic Studies	-	-	1	40,000	40,000	100.0%	
Geography (UH Manoa)	7	711,098	5	537,910	(173,188)	-24.4%	
Psychology (UH Manoa)	6	966,346	11	1,419,200	452,854	46.9%	
School of Communications	3	242,990	2	20,755	(222,235)	-91.5%	
Social Science Research Institute	28	3,119,147	20	2,423,827	(695,320)	-22.3%	
Sociology (UH Manoa)	1	5,000	-	-	(5,000)	-100.0%	
Urban and Regional Planning	6	6,876,975	5	6,828,959	(48,016)	-0.7%	
College of Tropical Agriculture and Human Resources	101	10,533,765	104	12,800,207	2,266,442	21.5%	
Agricultural Diagnostic Service Center	-	-	1	155,197	155,197	100.0%	
Center on the Family	3	93,000	8	1,139,001	1,046,001	1124.7%	
College of Tropical Agriculture and Human Resources	6	1,613,147	4	615,863	(997,284)	-61.8%	

FY 2020 Monthly Report of Awards to Date as of January 2020						
Summary By Campus						
Campus	FY 2019		FY 2020		\$ Change	% Change
	Award Count	Award Amount	Award Count	Award Amount		
Cooperative Extension	1	279,092	-	-	(279,092)	-100.0%
Family and Consumer Sciences	2	180,000	2	230,000	50,000	27.8%
Hawaii County	8	533,439	5	905,145	371,706	69.7%
Human Nutrition, Food and Animal Sciences	14	1,561,035	11	1,402,137	(158,898)	-10.2%
Kauai County	-	-	-	-	-	100.0%
Maul County	2	128,940	3	206,767	77,827	60.4%
Molecular Biosciences and Bioengineering	6	525,110	1	60,000	(465,110)	-88.6%
Natural Resources and Environmental Mgt (NREM)	17	514,178	14	891,387	377,209	73.4%
Oahu County	3	795,706	1	20,000	(775,706)	-97.5%
Office of The Assoc Dean for Academic and Student Affairs	2	225,000	9	2,011,851	1,786,851	794.2%
Plant and Environmental Protection Sciences	30	3,766,519	35	4,434,595	668,076	17.7%
Tropical Plant and Soil Science	7	318,599	10	728,264	409,665	128.6%
Hawai'i Inulakea School of Hawaiian Knowledge	5	3,213,088	5	1,813,078	(1,400,010)	-43.6%
Hawai'i Inulakea School of Hawaiian Knowledge	3	2,156,713	3	1,041,157	(1,115,556)	-51.7%
Kamakakuokalani Center for Hawaiian Studies	1	15,000	1	70,000	55,000	366.7%
Kawahuelani Center for Hawaiian Language	1	1,041,375	1	701,921	(339,454)	-32.6%
Institute for Astronomy	54	9,505,643	66	16,957,598	7,451,955	78.4%
Institute for Astronomy	54	9,505,643	66	16,957,598	7,451,955	78.4%
John A. Burns School of Medicine	121	33,147,505	121	33,259,774	112,269	0.3%
Associate Dean for Academic Affairs	5	2,446,096	5	1,180,884	(1,265,212)	-51.7%
Department of Anatomy, Biochemistry, and Physiology	7	1,165,701	4	1,945,742	780,041	66.9%
Department of Cell and Molecular Biology	8	3,144,099	6	2,829,504	(314,595)	-10.0%
Department of Complementary and Alternative Medicine	2	574,274	-	-	(574,274)	-100.0%
Department of Family Medicine and Community Health	8	272,317	4	238,123	(34,194)	-12.6%
Department of Geriatric Medicine	4	1,871,534	4	849,762	(1,021,772)	-54.6%
Department of Medicine	18	2,015,239	14	2,544,988	529,749	26.3%
Department of Native Hawaiian Health	8	1,042,211	10	1,677,982	635,771	61.0%
Department of Obstetrics, Gynecology and Women's Health	8	4,528,212	9	3,532,352	(995,860)	-22.0%
Department of Pediatrics	12	4,395,410	13	3,494,606	(900,804)	-20.5%
Department of Psychiatry	6	4,852,376	10	6,498,581	1,646,205	33.9%
Department of Quantitative Health Sciences	-	-	8	2,844,732	2,844,732	100.0%
Department of Surgery	10	1,901,306	9	1,872,479	(28,827)	-1.5%
Department of Tropical Medicine, Medical Micro and Pharm	17	2,191,932	18	2,602,487	410,555	18.7%
Institute for Biogenesis Research	2	2,387,607	-	-	(2,387,607)	-100.0%
John A. Burns School of Medicine	6	359,191	7	1,147,552	788,361	219.5%
Lyon Arboretum	2	35,000	4	462,431	427,431	1221.2%
Lyon Arboretum	2	35,000	4	462,431	427,431	1221.2%
Outreach College	4	122,849	3	39,258	(83,591)	-68.0%
Community Programs	3	82,179	1	15,000	(67,179)	-81.7%
Outreach College	1	40,670	2	24,258	(16,412)	-40.4%
School of Architecture	1	170,565	1	188,831	18,266	10.7%
School of Architecture	1	170,565	1	188,831	18,266	10.7%
School of Nursing and Dental Hygiene	4	408,044	4	306,473	(101,571)	-24.9%
Department of Nursing	3	385,556	4	306,473	(79,083)	-20.5%
School of Nursing and Dental Hygiene	1	22,488	-	-	(22,488)	-100.0%
School of Ocean and Earth Science and Technology	238	54,727,470	231	45,629,468	(9,098,002)	-16.6%
Center for Microbial Oceanography, Research and Edu (C-MORE)	8	4,009,005	6	3,553,829	(455,176)	-11.4%
Department of Atmospheric Sciences	3	218,793	8	1,173,071	954,278	436.2%
Department of Ocean and Resources Engineering	4	381,931	3	311,283	(70,648)	-18.5%
Department of Oceanography	22	3,719,191	26	5,123,696	1,404,505	37.8%
Earth Sciences	18	1,842,473	16	1,309,257	(533,216)	-28.9%
Hawaii Institute of Geophysics and Planetology (HIGP)	41	6,852,286	42	5,210,760	(1,641,526)	-24.0%
Hawaii Institute of Marine Biology (HIMB)	31	3,063,045	30	3,992,383	929,338	30.3%
Hawaii Natural Energy Institute (HNEI)	7	1,071,376	14	1,464,262	392,886	36.7%
International Pacific Research Center (IPRC)	14	2,385,763	8	1,680,498	(705,265)	-29.6%
Joint Institute for Marine and Atmospheric Research (JIMAR)	44	17,635,384	36	13,130,608	(4,504,776)	-25.5%
Pacific Biosciences Research Center	24	5,505,760	21	4,306,102	(1,199,658)	-21.8%
School of Ocean and Earth Science and Technology	6	2,990,118	2	1,052,375	(1,937,743)	-64.8%
Sea Grant College Program	15	5,035,797	17	2,984,439	(2,051,358)	-40.7%
University Marine Center/Ship Operations	1	16,548	2	336,905	320,357	1935.9%
School of Pacific and Asian Studies	11	1,344,262	11	1,445,647	101,385	7.5%
Center for Japanese Studies	4	400,082	3	375,000	(25,082)	-6.3%
Center for Korean Studies	3	198,853	3	185,146	(13,707)	-6.9%
Center for Philippine Studies	-	-	1	97,174	97,174	100.0%
Center for Southeast Asian Studies	1	280,500	1	313,500	33,000	11.8%
School of Pacific and Asian Studies	3	464,827	3	474,827	10,000	2.2%
School of Social Work	26	2,974,745	21	4,307,621	1,332,876	44.8%
Center on Aging	2	389,072	1	42,304	(346,768)	-89.1%
Office of Public Health Studies	17	2,158,595	10	2,276,628	118,033	5.5%
School of Social Work	7	427,078	10	1,988,689	1,561,611	365.7%
Shidler College of Business	3	325,617	1	114,880	(210,737)	-64.7%
Department of Information Technology Management	3	325,617	1	114,880	(210,737)	-64.7%
University of Hawaii Cancer Center	59	17,862,435	51	23,122,864	5,260,429	29.4%
Cancer Biology	10	1,748,029	10	1,264,359	(483,670)	-27.7%
Cancer Epidemiology	30	9,209,802	27	7,397,656	(1,812,146)	-19.7%
Cancer Prevention in the Pacific	2	486,264	2	540,383	54,119	11.1%

FY 2020 Monthly Report of Awards to Date as of January 2020							
Summary By Campus							
Campus	FY 2019		FY 2020		\$ Change	% Change	
	Award Count	Award Amount	Award Count	Award Amount			
Translational and Clinical Research	4	1,314,429	2	1,880,866	566,437		43.1%
University of Hawaii Cancer Center	13	5,103,911	10	12,039,600	6,935,689		135.9%
Vice Chancellor, Academic Affairs	8	1,248,424	9	1,397,012	148,588		11.9%
Graduate Education	1	657,000	1	779,000	122,000		18.6%
Library (UH Manoa)	4	163,405	3	91,400	(72,005)		-44.1%
Service Learning	-	-	1	25,717	25,717		100.0%
Undergraduate Education	3	428,019	3	467,645	39,626		9.3%
Vice Chancellor, Academic Affairs	-	-	1	33,250	33,250		100.0%
Vice Chancellor, Research	2	30,000	1	75,000	45,000		150.0%
Vice Chancellor, Research	2	30,000	1	75,000	45,000		150.0%
Vice Chancellor, Students	14	4,610,712	14	4,716,218	105,506		2.3%
Health & Wellness	1	19,305	1	20,000	695		3.6%
Student Equity Excel & Diversity	10	4,479,907	12	4,671,218	191,311		4.3%
Vice Chancellor, Students	1	20,000	-	-	(20,000)		-100.0%
Women's Center	2	91,500	1	25,000	(66,500)		-72.7%
Water Resources Research Center	5	278,392	5	211,038	(67,354)		-24.2%
Water Resources Research Center	5	278,392	5	211,038	(67,354)		-24.2%
William S. Richardson School of Law	20	1,851,935	14	2,833,057	981,122		53.0%
William S. Richardson School of Law	20	1,851,935	14	2,833,057	981,122		53.0%
University of Hawai'i at West O'ahu	17	5,221,973	10	2,598,322	(2,623,651)		-50.2%
Chancellor, UH West Oahu	17	5,221,973	10	2,598,322	(2,623,651)		-50.2%
Anthropology (UH WO)	1	600	-	-	(600)		-100.0%
Chancellor, UH West Oahu	5	2,314,072	4	1,353,322	(960,750)		-41.5%
Division of Education	-	-	1	100,000	100,000		100.0%
Division of Social Sciences	1	151,576	1	100,000	(51,576)		-34.0%
Elementary Education	1	142,314	-	-	(142,314)		-100.0%
Vice Chancellor for Academic Affairs (UH WO)	2	61,815	-	-	(61,815)		-100.0%
Vice Chancellor for Student Affairs	7	2,551,596	4	1,045,000	(1,506,596)		-59.0%
University of Hawai'i Maui College	27	10,087,865	25	14,126,916	4,039,051		40.0%
Chancellor, UH Maui College	27	10,087,865	25	14,126,916	4,039,051		40.0%
Academic Affairs (UH Maui College)	2	4,013,888	1	2,000,000	(2,013,888)		-50.2%
Allied Health Department	-	-	1	35,000	35,000		100.0%
Chancellor, UH Maui College	21	4,278,756	21	5,113,908	835,152		19.5%
Continuing Education and Training (UH Maui College)	-	-	1	60,000	60,000		100.0%
General Education	2	1,075,398	-	-	(1,075,398)		-100.0%
Human Services (UH Maui College)	-	-	1	6,918,008	6,918,008		100.0%
Music (UH Maui College)	1	448,536	-	-	(448,536)		-100.0%
Student Affairs (UH Maui College)	1	271,287	-	-	(271,287)		-100.0%
University of Hawai'i System	46	32,435,912	42	29,749,910	(2,686,002)		-8.3%
Office of the Vice President for Community Colleges	3	228,500	5	2,027,774	1,799,274		787.4%
Office of the Vice President for Community Colleges	3	228,500	5	2,027,774	1,799,274		787.4%
Office of the Vice President for Research and Innovation	19	13,976,506	16	14,370,792	394,286		2.8%
Applied Research Laboratory	17	13,943,682	14	9,016,720	(4,926,962)		-35.3%
Office of the Vice President for Research and Innovation	-	-	1	5,350,000	5,350,000		100.0%
STEM Pre-Academy	2	32,824	1	4,072	(28,752)		-87.6%
Office of the VP for Academic Planning and Policy	12	6,503,088	8	4,804,341	(1,698,747)		-26.1%
Hawai'i P-20 Partnerships for Education Office	8	4,869,325	6	4,729,341	(139,984)		-2.9%
Office of the VP for Academic Planning and Policy	4	1,633,763	2	75,000	(1,558,763)		-95.4%
Office of the VP for Information Tech/Chief Info Officer	12	11,727,818	11	8,402,042	(3,325,776)		-28.4%
Office of the VP for Information Tech/Chief Info Officer	8	6,541,418	7	5,517,500	(1,023,918)		-15.7%
Pacific Disaster Center	4	5,186,400	4	2,884,542	(2,301,858)		-44.4%
President, University of Hawaii System	-	-	1	136,561	136,561		100.0%
President, University of Hawaii System	-	-	1	136,561	136,561		100.0%
VP For Administration	-	-	1	8,400	8,400		100.0%
VP For Administration	-	-	1	8,400	8,400		100.0%
Windward Community College	18	6,789,040	13	4,589,585	(2,199,455)		-32.4%
Chancellor, Windward Community College	18	6,789,040	13	4,589,585	(2,199,455)		-32.4%
Academic Affairs (Windward CC)	-	-	1	835,205	835,205		100.0%
Chancellor, Windward Community College	18	6,789,040	11	3,594,380	(3,194,660)		-47.1%
Continuing and Community Education	-	-	1	160,000	160,000		100.0%
Grand Total	1,218	276,186,002	1,169	275,342,841	(843,161)		-0.3%

Item IV.E.

Future Status of the Research and Innovation Committee

NO MATERIALS