

**STATE OF HAWAII
UNIVERSITY OF HAWAII
SYSTEM-WIDE ADMINISTRATION**

FUNCTIONAL STATEMENT

OFFICE OF THE VICE PRESIDENT FOR PLANNING AND POLICY

The Office of the Vice President for Planning and Policy is a system-wide academic support office with responsibility for: (1) managing University-wide institutional planning and providing planning support, (2) coordinating policy development and analysis, and institutional assessment, and (3) providing institutional research services and managing selected student service programs and information systems.

The office supports the Office of the President and facilitates the work of the President's line administrative officers through provision of accurate and timely information for planning and management purposes and plays a major role in supporting Board information and policy needs. The office provides executive leadership for system-wide long-range institutional planning efforts and serves as the President's senior executive responsible for system-wide academic affairs policies and related matters and as chief provider of executive management information and analyses.

Specific functional responsibilities include:

- Executive management of the University system-wide long-range planning processes, including institutional master and strategic plans.
- Maintaining institutional plans, managing planning processes and developing planning policies and guidelines.
- Managing the University's involvement with state functional planning process and program planning and policy liaison with the counties and regional and national entities.
- Providing leadership for coordination of campus academic development planning.
- Developing linkages between the system-wide planning and budget processes.
- Supporting planning at the campus and system level.
- Developing and coordinating a systematic consideration of policy and preparing management and academic policy studies and legislative reports;
- Formulating Board and executive policies across the full array of University activities.
- Providing policy interpretation and guidance.
- Chairing System Academic Affairs Council and coordinating academic affairs policies, practices, and issues that span multiple campuses.
- Handling liaison with All Campus Council of Faculty Senate Chairs.
- Coordinating system-wide institutional assessment, carrying out major assessment programs, and supporting system, campus and program-based assessment programs.
- Making accurate and timely information and data relating to students, enrollments, courses, curricula, degrees, etc., available to University decision-makers for

planning and management purposes.

- Conducting institutional studies and preparing analytical reports on a wide range of subjects including, for example, workload, financial planning, outcomes, student progress, etc.
- Providing decision support designed to improve the integration of planning and budgeting.
- Developing and utilizing computer-based analyses that facilitate timely preparation of routine reports and responses to ad hoc queries.
- Assisting users with data interpretation and manipulation.
- Managing selected University-wide student services programs and information systems; and
- Establishing and maintaining data element definition and policy standards.

PLANNING OFFICE

Responsible for providing leadership, coordination and management of system-wide planning activities including mission statement and master planning documents, and developing linkages between the system-wide planning and budget processes including developing policy papers and planning assumptions. Responsibilities also include coordinating system academic affairs actions through the System Academic Affairs Council; coordinating campus academic development planning; managing and serving as liaison to state and county planning efforts; developing, monitoring, and refining major University planning policies; coordinating system-wide activities in support of implementation of University policies; and handling system-wide tuition policy schedule preparation. All functions require working closely with campus units, the Senior Vice Presidents/Chancellors, President and the Board of Regents.

System-wide Planning

- Managing the development, coordination and implementation of the system-wide planning effort; chairing the system Academic Affairs Council; serving as administration's liaison to the All Campus Council of Faculty Senate Chairs and related academic affairs system-wide committees; and coordinating the system review of program actions requiring Board approval.
- Formulating planning policy statements, recommendations for action, and guidelines for implementation; providing policy interpretation and guidance, and monitoring system-wide planning initiatives.
- Developing the analytical framework that links the planning and budgeting processes and facilitates priority-setting at system and campus levels;
- Researching and consulting with University-wide constituents on emerging issues in higher education at the national, state and local levels; assisting with the identification, analysis, and development of responses to planning issues facing the University; preparing background and issue papers; conducting research and institutional comparisons; and preparing studies, reports, and briefing papers.

Planning and Academic Support

- Preparing legislative reports, studies, and testimony.
- Serving as liaison to other state agencies to ensure that University plans are

consistent with State priorities; and providing support for the monitoring, reporting, and revision processes associated with state and county planning efforts.

- Serving as a resource person to campuses; and providing training guidance on planning to University personnel.
- Providing support for program development and evaluation at the campus level such as academic/education development plans, new program proposals, and review of established programs; ensuring that campus program proposals are consistent with University guidelines.
- Preparing responses to international, national, and local inquiries and ad hoc requests to the Board of Regents, State Postsecondary Education Commission, and the President of the University of Hawai'i on University and State educational policies and practices.
- Providing analyses of a wide variety of policy issues spanning academic affairs budget, fiscal, and personnel matters.
- Managing and providing support for a system-wide network of transfer specialists.
- Providing coordination and support for system-wide initiatives of the All Campus Council of Faculty Senate Chairs relating to general education and other academic matters

POLICY OFFICE

The function involves: providing overall, high-level leadership, management, and coordination of system-wide institutional assessment; supporting system, campus, program based, and UH-DOE collaborative assessment programs; developing and coordinating a systematic consideration of policy with the staff and organizational units of the Office of the Vice President for Planning and Policy, campus officers, the senior executives, the President, and Board of Regents; and administering and overseeing selected University-wide student services operations and the associated budget.

Specific institutional assessment and evaluation function include:

- Developing and monitoring implementation of the Board of Regents and executive policies relating to assessment;
- Managing and coordinating research studies such as historical enrollment patterns and institutional comparisons;
- Overseeing assessment programs such as those for entering/exiting undergraduate students and alumni and supporting campus assessment programs;
- Serving as the University-wide source of expertise and chief spokesperson on issues relating to assessment and preparing required reports;
- Coordinating the development and maintenance of University-wide health indicators; and preparing the required legislative reports; and
- Providing management information for University-wide planning, policy analysis, research and information sharing.

Specific policy functions include:

- Assisting the senior executives, the President and Board of Regents with the formulation of Board and executive policies across the full array of University

activities;

- Monitoring, evaluating, and handling policy interpretations and guidance across University campuses;
- Assisting with executive level policy analysis and administration for the University of Hawai'i system and preparing studies and reports;
- Handling annual State and University reporting requirements for the Office of the Vice President for Planning and Policy;
- Handling project management for the preparation of executive and Board briefings, and responding to ad hoc requests.

Specific system-wide student service operational functions include:

- Administering, coordinating, and monitoring the Coordinated Admissions Program Information System, the student tracking systems, and the Senior Citizens Tuition Subsidy Program;
- Administering, coordinating and monitoring updates to and accuracy of data element definitions and master codes for system-wide student-related information systems;
- Assisting with project management coordination and liaison responsibilities for the development of a new system-wide Student Information Management System; and
- Administering student services budget responsibility assigned to the Office of the Vice President for Planning and Policy.

**STATE OF HAWAII
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SYSTEM-WIDE ADMINISTRATION**

FUNCTIONAL STATEMENT

INSTITUTIONAL RESEARCH OFFICE

Responsible for developing and preparing institutional analyses, reports and other similar support services to the University at the direction of the Vice President for Planning and Policy. Generally, these services include the analysis and dissemination of informational reports and studies, special ad hoc studies, resource needs analysis and forecasting, and analytical support for the University's academic and financial planning process.

Information Services: Major Functions

- Designing systematic reports, developing formats, defining terms, summarizing and analyzing data to be distributed to University administrators and campus personnel as part of the management and planning support studies (MAPS) and UH Fact Sheet;
- Researching key changes in programs, course offerings and other required information, and updating master code and lookup tables used in the generation of system-wide reports from data housed in administrative databases;
- Designing and developing automated reports or new data administration computer systems by using the latest computer technology, and working with the Information Technology unit to streamline data retrieval, access and reporting;
- Collecting, summarizing, analyzing and responding to information needs as required by University administrators, planners and staff, as well as responding to information needs of external agencies, such as other state departments, federal agencies for comprehensive information requirements such as IPEDS and Student Right-to-Know, special legislative requests to the University, and requests from the private sector;
- Researching the latest computer software and hardware and their applicability to benefit IRO staff; acquiring and installing the software in staff computers; and training the staff in the use of updated equipment and/or software; and
- Coordinating and conducting workshops, training sessions and committees to facilitate the dissemination of information and information analysis to UH administrators and campus/program directors and their staffs as part of the University's overall management program.

Analytical Services: Major Functions

- Researching and preparing analyses, supported by charts and graphic displays, for management and planning support reports, and special reports as required, including assessment reports;
- Researching identifying and defining key data elements required for University-wide data use and analysis; developing policies and procedures required to systematize data across campuses; and disseminating information on definitions, scope and use of these data elements;
- Developing and utilizing analytical techniques to support the University's institutional and campus-level planning process, including: simulated models and other tools such as enrollment projection models, financial planning models, and

budget models; quantitative unit activity and resource indicators analyses; workload measures; program efficiency measures; quantitative program review indicators; and student progress and outcomes analyses;

- **Researching system-wide indicators, and developing analytical data and studies on the factor affecting University programs; and, researching and summarizing the external benefits directly or indirectly attributable to University programs;**
- **Providing analytical support, training and consultation to campuses in academic and financial planning and analysis and the utilization of analytical techniques and systems; and**
- **Providing technical support and consultation in the training and dissemination of computer models and statistical techniques as required for operations and strategic planning.**

STATE OF HAWAII
UNIVERSITY OF HAWAII
ADMINISTRATION
OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY
AND AFFIRMATIVE ACTION (MANOA)
(Chart AA)

FUNCTIONS

The EEO/AA Office promotes a climate in which students and employees can expect equal opportunity and unprejudiced treatment. The office is primarily responsible for overseeing equal opportunity and affirmative action programs as they relate to employment practices of the Manoa campus. Its major functions are as follows:

- o Establishing and/or monitoring methods of administration that promote equity in employment practices such as recruitment, hiring, promotion, tenure, compensation, employee training, benefits, leave policies, transfers, and layoffs.
- o Developing, updating, publicizing, and reaffirming the University's EEO/AA policies and procedures; advising supervisors and administrators of these policies and of changes in EEO laws and their implementation.
- o Providing educational workshops and informational materials to employees and students to prevent discrimination and promote affirmative action.
- o Developing and updating the institution's affirmative action plan. The plan includes annual goals and timetables and action oriented programs to achieve goals.
- o Assessing the institution's affirmative action efforts and advising the President of both progress and problem areas; performing annual workforce and utilization analyses, developing internal audit procedures, conducting studies of personnel actions and compensation, and assessing managers' affirmative action efforts and results.
- o Serving as an accessible campus level resource for addressing discriminatory practices by developing and implementing complaint procedures that comply with the principles of due process, publicizing the availability of these procedures, resolving informal complaints, and investigating formal charges.
- o Performing community outreach and participating in projects with community and state agencies to inform the public about the University's EEO/AA program and encourage a more diverse pool of applicants.

The Office of EEO/AA performs systemwide duties which typically involve coordination among the campuses. The Office performs the following systemwide functions:

- o Developing and disseminating systemwide EEO/AA policies and procedures.
- o Preparing the affirmative action reports for Systems Offices.
- o Providing technical assistance to other campuses and sharing EEO/AA resources acquired by the Manoa campus office.

- o Investigating discrimination complaints referred from the campuses to the President's Office.
- o Serving as systemwide liaison to state and federal agencies with regard to joint education programs, federal liaison group activities, and state commission representation. Coordinating the University's response to class action EEO/AA complaints involving the system.
- o Coordinating with the Management Systems Office and Personnel Management Office on the development and production of systemwide federal reports.

UNIVERSITY OF HAWAII
UNIVERSITY OF HAWAII AT MANOA

OFFICE OF RESEARCH ADMINISTRATION

MAJOR FUNCTIONS

THE MISSION OF THE OFFICE OF RESEARCH ADMINISTRATION (ORA)

The central mission of ORA is to serve as the University's arm (for all campuses) in seeking extramural funding opportunities, the review of proposed projects, the submission of requests for funding from extramural sources, negotiating the extramural support with outside agencies, accepting the awards on behalf of the University and providing the faculty with post-award implementation of the projects.

ORA also prepares the necessary policies and procedures for compliance with the Federal requirements and regulations, conducts educational workshops on compliance, and makes the necessary certification, representations and assurance to Federal agencies. This responsibility is assigned to the Compliance Officer who reports to the Director of Research.

Objectives

The objectives of ORA are:

- (a) to make information on extramural funding programs available to faculty
- (b) advise and assist faculty in preparing proposals for extramural funding
- (c) negotiate and obtain awards for faculty projects
- (d) oversee the administration of funded projects and facilitate the work of the funded faculty to assure success of project
- (e) protect the rights of the UH and the faculty with respect to patents on inventions
- (f) encourage faculty initiative through awards to initiate projects (seed money and matching funds) and to present papers at professional meetings

- (g) assure the protection of the rights of human subjects in projects and the proper treatment and care of laboratory animals

The services provided by ORA are offered to all faculty, programs, departments and institutes throughout the U.H. system.

ORGANIZATION OF ORA

In addition to the Office of the Director of Research, there are four divisions of the ORA which are designed to help achieve its mission. The Extramural Project Development Division provides individual faculty members with up-to-date information on funding opportunities for their specialized areas and provides reports to the UH administration on extramural funding, maintaining a five year data base on proposals submitted and awards received. The Extramural Projects Division under which there is a Research Projects subdivision and a Non-Research Projects subdivision. The Research Projects subdivision provides the faculty with the necessary advice and assistance to prepare a research proposal, ensuring compliance with the regulations of the granting agency, the Federal and State governments and the UH, submits the proposal and when appropriate negotiates the award. Files are maintained on all proposed and funded projects and advice and assistance are given to the investigators until the projects have been completed. The Non-Research Projects subdivision also provides the same services as the research projects for non-research projects (training, instrumentation, fellowships, facilities grants, conferences, etc.). The third division of ORA is the Fiscal Centers. This division provides the services of fiscal officers to faculty who have extramurally funded projects in departments or units which have no fiscal officers. The staff of this division give fiscal advice, maintains the accounts and assists the faculty in all fiscal aspects of their projects. There are four Fiscal Centers, each serving researchers in a number of units:

Fiscal Center

Units Served

- | | |
|--|---|
| 1) Office of Research Administration | VP Rsch & Grad Ed |
| 2) Office of Research Administration | WRRRC
Social Sciences
Departments |
| 3) Office of the Director, HNEI | HNEI, Engineering,
Industrial Relation
Ctr.
Lyon Arboretum |
| 4) Office of the Dean,
Natural Sciences | Natural Sciences
Departments
DUMAND Project |

The fourth division of ORA is Fiscal and Personnel Administration, which handles the fiscal affairs of the Office of Research Administration and the Office of the Vice President for Research and Graduate Education. The Director of Research has been given the authority for personnel actions and for the approval of travel for the following research units:

Social Science Research Institute
Industrial Relations Center
Water Resources Research Center
Lyon Arboretum
Laboratory Animal Service

This authority is exercised through the division of Fiscal and Personnel Administration.

ADDITIONAL FUNCTIONS OF ORA

ORA is charged with additional functions performed through the office of the Director of Research. These include:

1. The University Research Council
ORA serves as the administrative arm of the University Research Council. The intramural support for faculty projects, faculty travel to conferences or for equipment matching is administered by ORA for the URC. Proposals are solicited, evaluations obtained and URC decisions on funding are implemented. Fiscal support

services and administrative assistance to faculty are provided by ORA. The Director chairs the URC. ORA is responsible for the administration of these funds, and prepares the annual reports as mandated by law.

2. Biomedical Research Support Grant

ORA serves as the administrative arm of the Biomedical Research support Grant from the U.S. Public Health Service. ORA applies for the grant and solicits proposals from UHM faculty, arranges for review by the BRSG Committee, administers the awards to faculty and prepares and submits the final report to PHS annually.

3. UH-EWC Collaborative Research

ORA serves as the administrative arm of the UH-EWC Collaborative Research Program, convening the review committee and administering the funding for the approved projects. The Director of Research co-chairs the Committee and is responsible for the quarterly and the annual reports on the program.

4. Committee on Human Studies

ORA serves as the administrative arm of the Committee on Human Studies, mandated by the Federal Government and responsible for the review of all projects involving human subjects. The Compliance Grants Officer serves as the Executive Secretary of CHS.

5. University Patent and Copyright Committee

The University Patent and Copyright Committee is co-chaired by the Director. The PCC is charged with all decisions and actions on inventions and material that might be subject to copyright. Policy recommendations and procedure changes are also the responsibility of the PCC.

6. OPAS and IPAS Authority

The Director of Research is the UH official authorized to approve certain changes on behalf of the National Science Foundation and the Public Health Service funded projects at the UH. ORA is responsible for maintaining the documentation for audits.

7. Research and Training Revolving Fund
ORA administers the Research and Training Revolving Fund. Preparing the annual reports to the Governor and the legislature on the use and impact of these funds is also a responsibility assigned to ORA.
8. Animal Care Advisory Committee and the Laboratory Animal Service
The Director of Research has been assigned the line authority for the Animal Care Advisory Committee, which reviews and approves protocol of any research involving the use of animals as mandated by U.S. laws and regulations; and for the Laboratory Animal Service, which is responsible for the animal facilities at UH Manoa.