



UNIVERSITY
of HAWAII
SYSTEM

Office of the Vice President for Research and Innovation

April 28, 2016

The Honorable Shan S. Tsutsui
Lieutenant Governor, State of Hawai'i
State Capitol
415 South Beretania Street
Honolulu, Hawai'i 96813

Dear Lt. Governor Tsutsui:

Enclosed is a copy of the reorganization of the University of Hawai'i's Office of Research Compliance that was approved by the Board of Regents.

Should you have any questions regarding this matter, please contact me at 956-5006.

Sincerely,

Vassilis L. Syrmos
Vice President for Research and Innovation

c: Kristeen Hanselman, MLIR, Executive Director, University of Hawai'i Professional Assembly
Randy Perreira, Executive Director, Hawai'i Government Employees Association
Michael Ng, Director of Budget, University Budget Office
Debra Ishii, System Director of Human Resources

Committee Chair Bal thanked Regent Matayoshi for providing copies of the Hawai'i Tourism Authority newsletters recognizing the impact of the UH's research and innovation on Hawai'i (Attachment 1).

A. For Action:

1. Recommend Approval of Office of the Research Compliance (ORC) Reorganization

VP Symros provided a slide presentation on the proposed ORC reorganization. Highlights included how the proposed reorganization is based, in part, on the recommendations of the Western Interstate Commission on Higher Education (WICHE) and aligned with recommendations from the Research Compliance Task Force (RCTF); background on the organizational structure and current status; how projected savings for the university are \$1.1 million and \$1.8 million for UHM because UHM will retain \$1.8 million in Research Training & Revolving Funds (RTRF) to spend on strategic research investment rather than compliance and infrastructure, and reallocate to system \$600,000 in general funds, and \$1.1 million in savings comprised of \$250,000 carryover of an existing account, less \$150,000 in salary, fringe & benefits due to general fund transfer, \$350,000 for 3 vacant positions, \$100,000 reduction of casual hires, and \$250,000 from better management of the special fund for laboratory animal services and human studies, and utilizing the system's fiscal office to manage funds. Administration will report back in one year on the actual expenditures of the reorganized ORC.

Regarding the consultation process, it was reported that there was no opposition received from the VPs, Chancellors, or the All Campus Council of Faculty Senate Chairs. Concern raised by the Hawai'i Government Employees Association regarding job functions and relocation of the physical plant was provided; and responses to concerns raised by UHMFS were provided with no follow-up response other than the resolution opposing the proposed reorganization.

Comments and questions were raised regarding impact on other campuses, rationale of relocation and designation of UH Mānoa and System Offices; justification for highly compensated staff at both the UH Mānoa and System levels; validating projected cost efficiencies questioned by UHMFS, and scope and breadth of new role of obtaining grants.

It was explained how the reorganization and relocation combined the management and compliance services of the grants generated at all campuses to be housed under the system to allow campuses to focus on achieving targets and reflects research activities by distinct campus roles eg. biosafety, veterinarian sciences, versus systemwide roles eg. environmental health and safety that oversees all construction and teaching laboratories. Vacated space will be returned to the campus to determine utilization. It was recognized that administration views differ from UHMFS, and confident savings will be more evident when the administration reports back on the reorganization in one year.

• Regent Mizuno moved to recommend board approval of the ORC reorganization, seconded by Committee Vice Chair Sullivan, and the motion carried unanimously.



UNIVERSITY
of HAWAII
SYSTEM

UNIVERSITY OF HAWAII
BOARD OF REGENTS

16 FEB -4 P2:10

Office of the Vice President for Research and Innovation

DT 6841
157 17430

February 4, 2016

MEMORANDUM

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

VIA: David Lassner
President

VIA: Robert Bley-Vroman
Chancellor, UH Mānoa

VIA: Michael Bruno
Vice Chancellor for Research, UH Mānoa

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

SUBJECT: PROPOSED TRANSFER OF THE OFFICE OF RESEARCH COMPLIANCE (ORC) FROM THE UNIVERSITY OF HAWAII AT MANOA OFFICE OF THE VICE CHANCELLOR FOR RESEARCH (OVCR) TO THE SYSTEM OFFICE OF THE VICE PRESIDENT FOR RESEARCH AND INNOVATION (OVPRI) TO IMPROVE SYSTEMWIDE RESEARCH COMPLIANCE SERVICES

SPECIFIC ACTION REQUESTED:

It is requested that the Board of Regents approve the proposed reorganization of the Office of Research Compliance (ORC) to effectively transfer oversight of the ORC from the UH Mānoa Office of the Vice Chancellor for Research (OVCR) to the UH System Office of the Vice President for Research and Innovation (OVPRI).

RECOMMENDED EFFECTIVE DATE:

The recommended effective date is March 1, 2016.

UNIVERSITY OF HAWAII
PRESIDENT'S OFFICE

16 FEB -4 AM 1:36

RECEIVED

ADDITIONAL COST:

The OVPRI is requesting an estimated \$600K in general funds from the Mānoa OVCR and \$800K from the System Research and Training Revolving Fund (RTRF) to cover associated ORC operational expenses. It is estimated that the cost to sustain the ORC as a system office is approximately \$1.4M annually.

PURPOSE:

Improve the efficiency and effectiveness of research compliance services provided to the UH research community by consolidating and realigning associated responsibilities of the OVPRI and OVCR; clearly establishing lines of authority and responsibility; and properly recognizing ORC as a system office.

BACKGROUND:

The ORC is responsible for assuring that UH research and scholarly work involving the use of vertebrate animals, human participants, and microbiological materials is performed responsibly and complies with applicable Federal, state and UH policies. Below is a brief overview of each of ORC's four (4) programs:

- **Human Studies Program** directs and oversees the federally mandated human research protection program with responsibilities for: administering three Institutional Review Boards (IRB) that serve the UH and several partnership institutions; providing training, consultation and support to UH faculty and others who perform human participant research across the UH system; conducting on-site monitoring of active protocols involving human participants.
- **Animal Welfare and Biosafety Program** provides oversight and direction for the systemwide, federally mandated Institutional Animal Care and Use Committee (IACUC) and Institutional Biosafety Committee (IBC) for the UH with responsibilities for: reviewing and approving animal use protocols; consulting and advising on appropriateness of proposed and actual experimental procedures; processing biological material importation applications; conducting training for faculty, staff and students.
- **Animal and Veterinary Services Program** has systemwide responsibilities for overseeing the clinical care of all vertebrate animals used by the UH; operating vivariums and providing daily care for animals used for biomedical and neurobehavioral research and training; conducting training for faculty, staff, and students; providing consultation and education on fish health management.

- **Research Integrity Program** is responsible for handling allegations of research and scholarly misconduct and whistleblower retaliation, and for educating faculty, staff and students about responsible conduct of research.

Currently, the ORC resides within the Mānoa Office of the Vice Chancellor for Research (OVCR) though it performs systemwide duties and responsibilities by providing research compliance services for all 10 UH campuses.

The proposed reorganization seeks to transfer oversight of the ORC from the Mānoa OVCR to the System Office of the Vice President for Research and Innovation (OVPRI) for the purpose of: improving the efficiency and effectiveness of research compliance services provided to the UH research community.

As mentioned, the ORC currently provides research compliance services for all 10 UH campuses; thus the proposed reorganization and recognition of the ORC as a UH System office is a sensible decision made in consideration of ORC's systemwide impact and ongoing endeavors to strengthen and maintain institutional compliance and service to the University research community.

The proposed reorganization is also being made in due consideration of 1) a recent Western Interstate Commission on Higher Education (WICHE) report which recommended that the university's administrative effectiveness and efficiency could be improved by clearly defining and delineating the roles and responsibilities of system and campus-level administrative units and 2) the related Board of Regents directive to the President to seek administrative reorganizations designed to reduce costs, establish clear lines of authority and responsibility, minimize duplication of effort, and improve efficiencies and effectiveness via the consolidation and realignment of system-level and campus level offices (i.e. Vice President / Vice Chancellor level and below).

Information included in a recent report issued by the Research Compliance Task Force (RCTF) further reiterates how the proposed reorganization will improve the efficiency and effectiveness of research compliance services at UH. The RCTF was charged to identify and recommend improvements in research compliance that would reduce the administrative workload of researchers and address longstanding issues with research compliance procedures and processes at UH. To implement its charge, the RCTF conducted an extensive yearlong study involving: interviews with faculty members and administrators; review of regulations; review of reports prepared by national advisory groups, organizations, and ad hoc committees at UH; review of materials and policies of peer institutions, government websites, and UH's compliance-related websites; and a system-wide web-based survey, among other methods of information gathering.

The RCTF identified three overarching recommendations and specific steps to achieve UH's research goals. One of the three recommendations, as included in the RCTF's October 2015 report, was to reorganize compliance structures to enable the UH research community to be more successful and efficient, while maintaining compliance with regulations. The RCTF specifically noted that the ORC should report to the OVPRI and that the reorganization of the reporting structure would increase transparency, accountability, and consistency across campuses and units.

The proposed transfer of the ORC from the Mānoa OVCR to the System OVPRI is expected to occur seamlessly, as duties, responsibilities and reporting relationships for the vast majority of ORC staff will remain the same and the implementation of the proposed reorganization will not result in a reduction in temporary or permanent staff. Aside from slight changes to position descriptions and reporting relationships of a few bargaining unit 8 employees due to operational requirements, the only other tangible change resulting from the proposed reorganization of ORC is the physical relocation of three (3) of the four (4) ORC program offices. With the exception of staff included in the Animal and Veterinary Services Program, ORC will physically relocate from its current offices in the Biomedical Sciences Building, 1960 East-West Road to Sinclair Library, 2425 Campus Road.

Below is a brief summary of the changes associated with the proposed reorganization:

- ORC will be removed from the purview of the Mānoa OVCR and placed under the direction of the System OVPRI.
- Assistant Vice Chancellor for Research Compliance (AVCRC) will report directly to the System Vice President for Research and Innovation instead of the Mānoa Vice Chancellor for Research. Accordingly, the AVCRC title will be changed to *Assistant Vice President for Research Compliance*.
- Administrative support positions currently residing within the ORC Office of the Vice Chancellor for Research Compliance will be organizationally relocated to the Animal and Veterinary Services Program (AVSP) due to operational requirements.
- With the exception of staff assigned to the AVSP, ORC staff offices will be physically relocated from the Biomedical Sciences building to Sinclair 10. The physical relocation of ORC staff will provide UH Mānoa with nearly 4,800 square feet of additional research/office space in the Biomedical Sciences building. Correspondingly, underutilized space within Sinclair 10 will be occupied with ORC staff who will have greater opportunity to work collaboratively alongside

other administrative offices (e.g. Office of Export Controls, Office of Technology Transfer and Economic Development) of the OVPRI.

By establishing ORC as a System office:

- ORC programs and services will be properly aligned within the OVPRI; this change is expected to expand and enhance ORC's ability to more efficiently provide valuable research compliance services to faculty, staff and students.
- Enhanced cohesive communication and collaboration will result in support of OVPRI's responsibilities to: provide leadership to research institutes and programs; develop systemwide research plans, goals, policies and objectives; and continually assess the UH's research compliance endeavors.
- UH facilities will be more efficiently utilized. The planned physical relocation of ORC staff from the Biomedical Sciences building to Sinclair 10 will provide UH Mānoa with an additional 4,800 square feet of research/office space. Currently underutilized space within Sinclair 10 will be occupied with ORC staff who will have greater opportunity to work collaboratively alongside other administrative offices (e.g. Office of Export Controls, Office of Technology Transfer and Economic Development) of the OVPRI.
- Clear lines of authority and responsibility will be established, with ORC being better able to perform services as a System office. Efficiencies and responsiveness to internal (e.g. faculty, staff, students) and external (e.g. State and Federal government, regulatory agencies, community) stakeholders will be improved

The proposed reorganization will result in an overall cost savings to the University; however, the OVPRI will incur new, additional costs (i.e. ORC operational costs). Because it is estimated that the cost to sustain the ORC as a system office will be approximately \$1.4M annually, the OVPRI is requesting an estimated \$600K in general funds from the Mānoa OVCR and \$800K from the Research and Training Revolving Fund (RTRF) to cover ORC operational expenses.

Additional details regarding the proposed reorganization are outlined in the attached Executive Summary and Narrative.

ACTION RECOMMENDED:

It is recommended that the Board of Regents approve the proposed reorganization of the Office of Research Compliance (ORC) to effectively transfer oversight of the ORC from the UH Mānoa Office of the Vice Chancellor for Research to the UH System Office of the Vice President for Research and Innovation (OVPRI).

Attachments

- Executive Summary and Narrative
- Reorganization proposal

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

Reorganization Proposal
University of Hawai'i
Office of Research Compliance

Executive Summary

I. Purpose:

Explain the purpose of this reorganization and the anticipated overall impact.

The Office of Research Compliance (ORC) is responsible for assuring that UH research and scholarly work involving the use of vertebrate animals, human participants, and microbiological materials is performed responsibly and complies with applicable Federal, state and UH policies. Currently, the ORC resides within the Mānoa Office of the Vice Chancellor for Research (OVCR) though it performs systemwide duties and responsibilities by providing research compliance services for all ten UH campuses.

The proposed reorganization seeks to transfer oversight of the ORC from the Mānoa OVCR to the System Office of the Vice President for Research and Innovation (OVPRI) for the purpose of: improving the efficiency and effectiveness of research compliance services; consolidating and realigning associated responsibilities of the OVPRI and OVCR; clearly establishing lines of authority and responsibility; and properly recognizing ORC as a system office.

The anticipated impacts of the reorganization are:

- Proper alignment of ORC programs and services within OVPRI thereby expanding and enhancing ORC's ability to more efficiently provide research compliance services to faculty, staff and students
- Establishment of appropriate reporting relationship between the Vice President for Research Innovation and the Assistant Vice President for Research Compliance (i.e. current Assistant Vice Chancellor for Research Compliance)
- Maximization of existing facilities, as it is proposed that three (3) of four (4) ORC programs be relocated from the Biomedical building to Sinclair 10. Thus, UH Mānoa will gain approximately 4,800 square feet in research/office space in the Biomedical Sciences building.
- Establishment of appropriate lines of authority and responsibility regarding issues of related to research compliance.
- Cost savings associated with physical and organizational efficiencies.

II. Major Elements of the Proposal:

Explain or list the key changes being proposed in this reorganization relative to purpose and results.

Below are key elements included in the proposed ORC reorganization:

- ORC will be removed from the purview of the Mānoa OVCR and placed under the direction of the System OVPRI. During fiscal year 2015, the total operational cost for the ORC under the Mānoa OVCR was \$2.5 million. The System OVPRI estimates that the cost to sustain the ORC as a System Office will be approximately \$1.4 million annually; this estimation is based on an analysis of ORC's FY15 operating costs; an assessment of ORC's FY15 budget surplus; the continued success of the Animal and Veterinary Services Program as a self-sustaining entity; and ongoing endeavors to review and analyze how to increase operational efficiencies to achieve the estimated cost saving goals.
- Assistant Vice Chancellor for Research Compliance (AVCRC) will report directly to the System Vice President for Research and Innovation instead of the Mānoa Vice Chancellor for Research. Accordingly, the AVCRC title will be changed to *Assistant Vice President for Research Compliance*.
- Administrative support positions currently residing within the ORC Office of the Vice Chancellor for Research Compliance will be organizationally relocated to the Animal and Veterinary Services Program (AVSP) due to operational requirements.
- With the exception of staff assigned to the AVSP, ORC staff offices will be physically relocated from the Biomedical Sciences building (1960 East-West Road) to Sinclair 10 (2425 Campus Road). The physical relocation of ORC staff will provide UH Mānoa with nearly 4,800 square feet of additional research/office space in the Biomedical Sciences building. Correspondingly, underutilized space within Sinclair 10 will be occupied by ORC staff who will have greater opportunity to work collaboratively alongside other administrative offices (e.g. Office of Export Controls, Office of Technology Transfer and Economic Development) of the OVPRI.
- All staff of the Animal and Veterinary Services Program will remain at the Biomedical Sciences building due to their associated responsibilities for providing daily care for animals in the vivaria located in the Biomedical Sciences building.

III. Resource Impact:

Explain the resources impacted as a result of this reorganization. If there is no impact, reflect "None" for each category as appropriate.

A. Budget:

1. *What is the estimated cost of the reorg?*

While the proposed reorganization will result in an overall cost savings to the University, the OVPRI will incur new, additional costs (i.e. ORC operational costs). It is estimated that the cost to sustain the ORC as a system office will be approximately \$1.4M annually. Thus, the OVPRI is requesting an estimated \$600K in general funds from the Mānoa OVCR and the use of \$800K from the

Research and Training Revolving Fund (RTRF) to cover ORC operational expenses.

2. Are additional funds needed? If so, how will the cost of the reorg be funded?

As mentioned, the OVPRI will be required to utilize approximately \$800K in RTRF to cover ORC operational expenses assuming that \$600K in general funds is obtained from OVCR.

3. Will the reorg result in cost savings or be cost neutral?

Based on current estimates, the reorganization is expected to result in an overall, ongoing cost savings to the University.

B. Operational:

1. What is the overall impact on faculty and staffing responsibilities, if any?

Overall, the proposed reorganization will not impact faculty and staffing responsibilities. Duties and responsibilities for the majority of ORC positions will remain unchanged. However, updates will be made to the position descriptions of administrative support staff whom will be organizationally relocated from the ORC Office of the Assistant Vice Chancellor to the ORC Animal and Veterinary Services Program (AVSP). These special-fund positions were initially established to support the AVSP (formerly known as Lab Animal Sciences). Relocating the positions restores the intended purpose and placement of the positions. Position descriptions of the foregoing positions will be updated to appropriately reflect administrative duties pertaining to the AVSP versus administrative duties encompassing all of ORC. Aside from the foregoing, the proposed reorganization will not result in changes to ORC faculty and staffing responsibilities.

2. Will additional faculty/support personnel be required? If so, what is the plan to obtain the additional faculty/staffing to successfully implement the reorganization?

Implementation of the proposed ORC reorganization will not require additional faculty/support personnel.

3. Will there be a reduction in faculty/staff? If so, what steps are planned or have been taken to ensure proper consultation?

Implementation of the proposed ORC reorganization will not result in a reduction in temporary or permanent staff.

4. *Identify faculty/staff positions impacted by the anticipated changes.*

Below is a listing of all permanent and temporary positions currently allocated to the Office of Research Compliance. As mentioned, the proposed reorganization seeks to transfer oversight of all ORC positions from the Mānoa Office of the Vice Chancellor for Research to the System Office of the Vice President for Research and Innovation. Any additional, anticipated impacts to positions are specified below.

| Pos. No. | Title | Additional Impact |
|----------|---------------------------|---|
| 89119 | Assistant Vice Chancellor | Title change to Assistant VP; New reporting line to 89538; Physical relocation to Sinclair 10 |
| 81901 | Administrative Officer | Relocate to AVSP New reporting line to 86262 Physical relocation within Biomed |
| 78042T | Admin & Fiscal Support | Relocate to AVSP Physical relocation within Biomed |
| 81431 | Admin & Fiscal Support | Relocate to AVSP |
| 80504 | Administrative Officer | Relocate to AVSP |
| 79392T | IT Specialist | Physical relocation to Sinclair 10 New reporting line to 89119 |
| 79745T | IT Specialist | Physical relocation to Sinclair 10 |
| 81657 | Research Associate | Physical relocation to Sinclair 10 |
| 81109 | Environmental Safety Spec | Physical relocation to Sinclair 10 |
| 80261 | Research Associate | Physical relocation to Sinclair 10 |
| 80289T | Research Associate | Physical relocation to Sinclair 10 |
| 77052T | Research Associate | Physical relocation to Sinclair 10 |
| 80751 | Research Associate | Physical relocation to Sinclair 10 |
| 81368T | Research Associate | Physical relocation to Sinclair 10 |
| 111739 | Office Assistant III | Physical relocation to Sinclair 10 |
| 81536T | Research Associate | Physical relocation to Sinclair 10 |
| 78021T | Admin & Fiscal Support | Physical relocation to Sinclair 10 |
| 79775T | Research Associate | Physical relocation to Sinclair 10 |
| 86262 | Specialist, 11-Mo | n/a |
| 70023T | Assistant Specialist | n/a |
| 80369 | Research Associate | n/a |
| 81179 | Research Associate | n/a |

C. Space

1. *Will additional space outside own resources/allocations be required?*

Additional space will not be required since ORC staff will be relocated to underutilized space currently available in Sinclair 10. Conversely, with the relocation of ORC staff, UH Mānoa will gain approximately 4,800 sq. ft. of additional space in the Biomedical Sciences building for research labs and/or other purposes.

IV. Consultation:

Explain or list the individuals and groups consulted and the key comments/feedback received.

Executive leadership at both the System and Mānoa levels (e.g., President Lassner, Chancellor Robert Bley-Vroman, former Interim Vice Chancellor Brian Taylor) were consulted with regard to the subject proposal; no comments in opposition were received.

The **All Campus Council of Faculty Senate Chairs** was also consulted regarding the subject proposal; no comments in opposition were received.

Hawai'i Government Employees Association (HGEA) and University of Hawai'i Professional Assembly (UHPA)

Pursuant to statutory and contractual requirements, the HGEA and UHPA were both consulted with regard to the proposed transfer of ORC from Mānoa OVCR to System OVPRI. Comments from HGEA and UHPA were generally related to: how proposed cost savings would be achieved; whether adequate space has been allocated to accommodate incoming ORC programs within Sinclair 10; whether or not the proposed reorganization will result in a reduction in staff; and questions regarding impacts to staff responsibilities. In response to the foregoing questions and comments, below is a summary of information conveyed:

- The total operational cost for the ORC under the UHM VCR was \$2.5 million. The OVPRI estimates that the cost to sustain the ORC as a System office will be approximately \$1.4 million based on an analysis of ORC's FY15 operating costs; an assessment of ORC's FY15 budget surplus; the continued success of the Animal and Veterinary Services Program as a self-sustaining entity; and ongoing endeavors to review and assess methods resulting in increased operational efficiencies to achieve cost savings.
- The space allocated within Sinclair 10 will sufficiently and reasonably accommodate incoming ORC programs.
- The ORC reorganization will not result in a reduction in temporary or permanent staff.
- The transfer of the ORC from the OVCR to the OVPRI is expected to occur seamlessly as duties, responsibilities and reporting relationships for the majority of ORC staff will remain the same.

Through meaningful dialogue and discussion, including but not limited to: requesting and considering the input, opinion, and comments of the HGEA and UHPA, we

believe the contractual and statutory duty to consult over the subject organizational transfer of ORC has been fulfilled. However, the implementation of the overall physical relocation plan (e.g. space allocation, timelines) will require additional discussion and with the HGEA and UHPA as plans develop.

Mānoa Faculty Senate (MFS)

The OVPRI also consulted with the MFS regarding the proposed ORC reorganization. The Committee on Administration and Budget (CAB) reviewed the proposal and presented a resolution at the January 20, 2016 MFS meeting in opposition to the reorganization; the resolution was submitted with 48 votes in favor, 1 opposed and 1 abstained.

The CAB's recommendation to oppose the proposed reorganization was based on their assessment that a clear rationale was not provided by the OVPRI to merit the proposed transfer of positions and functions. In general, the CAB's concerns were related to proposed cost savings; potential impacts to the Mānoa VCR; funds necessary to support ORC operations if transferred to the OVPRI; and changes to authority, roles and responsibilities.

The OVPRI acknowledges the comments and opposition expressed by the MFS; however, we believe adequate information and responses were provided and made available to address these concerns. Below is a summary of some of the information provided:

- Because the ORC currently encompasses systemwide responsibilities, its designation as a "system" office will appropriately recognize ORC's functions and authority, with appropriate oversight by the OVPRI.
- The total operational cost for the ORC under the UHM VCR was \$2.5 million. The OVPRI estimates that the cost to sustain the ORC as a System office will be approximately \$1.4 million based on an analysis of ORC's FY15 operating costs; an assessment of ORC's FY15 budget surplus; the continued success of the Animal and Veterinary Services Program as a self-sustaining entity; and ongoing endeavors to review and assess methods resulting in increased operational efficiencies to achieve cost savings.
- Clear lines of authority and responsibility will be established, with ORC being better able to perform services as a System office. Efficiencies and responsiveness to internal (e.g. faculty, staff, students) and external (e.g. State and Federal government, regulatory agencies, community) stakeholders will be improved
- The subject reorganization aligns with recommendations by the Research Compliance Task Force (RCTF) that ORC be placed under the OVPRI rather than the UH Manoa OVCR to improve research compliance efficiency to enable the UH research community to be more successful and efficient, while maintaining compliance with regulations

V. Implementation:

Explain when and how this reorganization will be implemented. Identify anticipated effective date.

This reorganization will be implemented upon approval by the Board of Regents. The physical relocation of ORC staff from Biomedical Sciences to Sinclair 10 is expected to occur in the latter part of 2016.

Narrative

Changes to the Organization, Functions and Reporting Relationships of the Office of the Vice President for Research and Innovation (OVPRI)

In accordance with Administrative Procedures A3.101, University of Hawai'i Organizational and Functional Changes, the following information is provided:

1. Description of the conditions or factors prompting the proposed reorganization, e.g., new program requirements, changes in the environment, new legal or policy considerations.

The Office of Research Compliance (ORC) was established in 2012 under the UH Mānoa Office of the Vice Chancellor for Research (OVCR) for the purpose of centralizing existing compliance services and providing optimal support for the UH's growing research enterprise. At that time, the ORC was placed under the direction of the UH Mānoa OVCR though it was recognized that the office would be providing systemwide services, support, and programs. This decision was largely attributed to the fact that UH Mānoa would be the primary beneficiary of ORC's services given its robust research programs.

The ORC currently provides research compliance services for all 10 UH campuses; thus the proposed reorganization and recognition of the ORC as a UH System office is a sensible decision made in consideration of ORC's systemwide impact and responsibilities and ongoing endeavors to strengthen and maintain institutional compliance and service to the University research community.

The proposed reorganization is also being made in due consideration of 1) the recent Western Interstate Commission on Higher Education (WICHE) report which recommended that the university's administrative effectiveness and efficiency could be improved by clearly defining and delineating the roles and responsibilities of system and campus-level administrative units and 2) the related Board of Regents directive to the President to seek administrative reorganizations designed to reduce costs, establish clear lines of authority and responsibility, minimize duplication of effort, and improve efficiencies and effectiveness via the consolidation and realignment of system-level and campus level offices (i.e. Vice President / Vice Chancellor level and below). Thus, the intent of the reorganization is to: improve the efficiency and effectiveness of research compliance services by consolidating and realigning associated responsibilities of the OVPRI and OVCR; clearly establishing lines of authority and responsibility; and properly recognizing ORC as a system office.

2. Explanation of how the proposed reorganization will address these conditions or factors.

By establishing ORC as a System office:

- ORC programs and services will be properly aligned within the OVPRI; this change is expected to expand and enhance ORC's ability to more efficiently provide valuable research compliance services to faculty, staff and students
- Appropriate reporting relationship between the Vice President for Research and Innovation and the Assistant Vice Chancellor for Research Compliance (i.e. Assistant Vice President for Research Compliance) will be established, providing for more strategic decision-making in regards to research compliance
- With the physical relocation of ORC staff to Sinclair 10, UH Mānoa will gain approximately 4,800 square feet in research/office space in the Biomedical building, thereby maximizing the use of existing facilities.
- Clear lines of authority and responsibility will be established, with ORC being better able to perform services as a System office. Efficiencies and responsiveness to internal (e.g. faculty, staff, students) and external (e.g. State and Federal government, regulatory agencies, community) stakeholders will be improved
- Alignment of ORC within the OVPRI will establish appropriate lines of authority and responsibility regarding issues of research compliance

Information included in a recent report issued by the Research Compliance Task Force (RCTF) further reiterates how the proposed reorganization will improve the efficiency and effectiveness of research compliance services at UH. The RCTF was established by the Vice President for Research and Innovation, Vassilis L. Symos, in response to a request by the UH System Research Advisory Board (RAB). The RCTF was charged to identify and recommend improvements in research compliance that would reduce the administrative workload of researchers and address longstanding issues with research compliance procedures and processes at UH. To implement its charge, the RCTF conducted an extensive yearlong study involving: interviews with faculty members and administrators; review of regulations; review of reports prepared by national advisory groups, organizations, and ad hoc committees at UH; review of materials and policies of peer institutions, government websites, and UH's compliance-related websites; and a system-wide web-based survey, among other methods of information gathering.

The RCTF identified three overarching recommendations and specific steps to achieve UH's research goals. One of the three recommendations included in the RCTF's October, 2015 report was to reorganize compliance structures to enable the UH research community to be more successful and efficient, while maintaining compliance with regulations. Specifically, the RCTF noted the following:

- Barriers to collaboration among research administrative units and between campuses are costly. Relationships among the UH research community must be strengthened to cope with the growing regulatory burden.
- Interoperability of electronic systems between ORC and [the System] Office of Research Services (ORS) is essential. There should be greater collaboration between ORC and other units, such as the Office for Information Technology. ORC can benefit from the expertise of these other units.
- The ORC should report to the UH Vice President for Research and Innovation (OVPRI). The VPRI has oversight over all campuses in the UH System, and every campus has some activities that deal with research compliance issues. While the ORC currently reports to the UH Mānoa Vice Chancellor for Research, compliance issues and activities are not restricted to that campus alone.
- Reorganization of reporting structure is also needed for consistency across campuses and units. It will increase transparency and accountability, and it will enable a realistic and comprehensive assessment of budget needs.
- The VPRI should provide the leadership and facilitation for collaboration among ORS, ITS, RCUH, and the UH Business Process Council to assist ORC and EHSO to provide seamless services. Only the VPRI can ensure that research compliance services are distributed across the UH System and that authority is appropriately delegated while responsibility is consolidated.

3. Description of how the organization's operational, organizational, functional and programmatic relationships will be affected, including impact on services to students, other target groups and relationships with other segments of the university.

Establishing ORC as a UH System office will effectively:

- Enhance cohesive communication and collaboration in support of OVPRI's responsibilities to: provide leadership to research institutes and programs; develop systemwide research plans, goals, policies and objectives; and continually assess the UH's research compliance endeavors.
- Enable ORC programs to serve faculty members more efficiently and effectively, while continuing to protect the university from potential federal or state sanctions and any potential negative impacts. For example, assigning dedicated administrative support staff to the Animal and Veterinary Services Program will provide the resources necessary to more efficiently manage the purchasing, billing, reporting, and customer service that is critical to the profitability and sustainability of a recharge center and a vivarium.
- UH facilities will be more efficiently utilized. The physical relocation of ORC staff from the Biomedical Sciences building to Sinclair 10 will provide UH Mānoa with an additional 4,800 square feet of research/office space. Currently underutilized space within Sinclair 10 will be occupied with ORC staff who will have greater opportunity to work collaboratively alongside

other administrative offices (e.g. Office of Export Controls, Office of Technology Transfer and Economic Development) of the OVPRI.

4. Discussion of the efficiencies, service improvements or other benefits that will be achieved as a result of the organization.

Please refer to responses to items 2 and 3.

5. Complete description of the resource requirement or savings associated with the reorganization, including funding, positions, space, equipment and other resources.

During fiscal year 2015, the total operational cost for the ORC under the Mānoa OVCR was \$2.5 million. The System OVPRI estimates that the cost to sustain the ORC as a System Office will be approximately \$1.4 million annually; this estimation is based on an analysis of ORC's FY15 operating costs; an assessment of ORC's FY15 budget surplus; the continued success of the Animal and Veterinary Services Program as a self-sustaining entity; and ongoing endeavors to review and analyze how to increase operational efficiencies to achieve the estimated cost saving goals.

While the proposed reorganization will result in an overall cost savings to the University, the OVPRI will incur new, additional costs (i.e. ORC operational costs). Because it is estimated that the cost to sustain the ORC as a system office will be approximately \$1.4M annually, the OVPRI is requesting an estimated \$600K in general funds from the Mānoa OVCR and \$800K from the Research and Training Revolving Fund (RTRF) to cover ORC operational expenses.

With the relocation of ORC staff to available space within Sinclair 10, UH Mānoa will gain approximately 4,800 sq. ft. of additional space in the Biomedical Sciences building for research labs and/or other purposes.

6. Explanation of the source of resources needed to implement the reorganization, e.g., reallocation from within the program or major unit, or new revenue.

The OVPRI is requesting an estimated \$600K in general funds from the Mānoa OVCR and utilization of \$800K from the System Research and Training Revolving Fund (RTRF) to cover ORC operational expenses. The System OVPRI estimates that the cost to ORC as a system office is \$1.4 million annually.

7. Discussion of the programmatic impacts of the proposed reorganization on the university.

As mentioned, establishing ORC as a System office will effectively:

- Enhance cohesive communication and collaboration in support of OVPRI's responsibilities to: provide leadership to research institutes and programs;

develop systemwide research plans, goals, policies and objectives; and continually assess the UH's research compliance endeavors.

- Enable ORC programs to serve faculty members more efficiently and effectively, while continuing to protect the university from potential federal or state sanctions and any potential negative impacts.
- Provide ORC programs greater opportunity to work collaboratively alongside other administrative offices (e.g. Office of Export Controls, Office of Research Services Office of Technology Transfer and Economic Development) of the OVPRI.
- Support increased transparency and accountability and enable a realistic and comprehensive assessment of research compliance needs.

University of Hawai'i
Allocated and Authorized BJ/ST Positions Impacted by the Reorganization

Program Title: Office of Research Compliance

| Item No. | Chart No.(s) | Affected Position No.(s) | Classification/Organizational/Functional Change Identify whether position is vacant (V) or filled (F) | | Basis for Change/ Impact on Position |
|----------|--------------|--------------------------|---|--|--|
| | | | From: | To: | |
| 1 | III-A, IV | 89119 (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Title change to Assistant VP; new reporting line to VPRD (89538); physical relocation to Sinclair 10 |
| 2 | III-A, IV | 81901 (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Relocate to AVSP; new reporting line to 84282; physical relocation within Biomedical Sciences |
| 3 | III-A, IV | 78042T(F) | Office of the VC for Research | Office of the VP for Research and Innovation | Relocate to AVSP; physical relocation within Biomedical Sciences |
| 4 | III-A, IV | 81431 (V) | Office of the VC for Research | Office of the VP for Research and Innovation | Relocate to AVSP |
| 5 | III-A, IV | 80504 (V) | Office of the VC for Research | Office of the VP for Research and Innovation | Relocate to AVSP |
| 6 | III-A, IV | 78392T (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10; new reporting line to AVPRD (89119) |
| 7 | III-A, IV | 78745T (V) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10 |
| 8 | III-A, IV | 81657 (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10 |
| 9 | III-A, IV | 81108 (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10 |
| 10 | III-A, IV | 80261 (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10 |
| 11 | III-A, IV | 80289T (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10 |
| 12 | III-A, IV | 77052T (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10 |
| 13 | III-A, IV | 80761 (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10 |
| 14 | III-A, IV | 81385T (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10 |
| 15 | III-A, IV | 111739 (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10 |
| 16 | III-A, IV | 81836T (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10 |
| 17 | III-A, IV | 78021T (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10 |
| 18 | III-A, IV | 78775T (F) | Office of the VC for Research | Office of the VP for Research and Innovation | Physical relocation to Sinclair 10 |
| 19 | III-A, IV | 84282 (F) | Office of the VC for Research | Office of the VP for Research and Innovation | |
| 20 | III-A, IV | 70023T (F) | Office of the VC for Research | Office of the VP for Research and Innovation | |
| 21 | III-A, IV | 80369 (V) | Office of the VC for Research | Office of the VP for Research and Innovation | |
| 22 | III-A, IV | 81179 (F) | Office of the VC for Research | Office of the VP for Research and Innovation | |


Vasilis Symmos, VP for Research and Innovation

Administrator's Signature, Name and Title

02/04/2016

Date

956-5006

Telephone Number

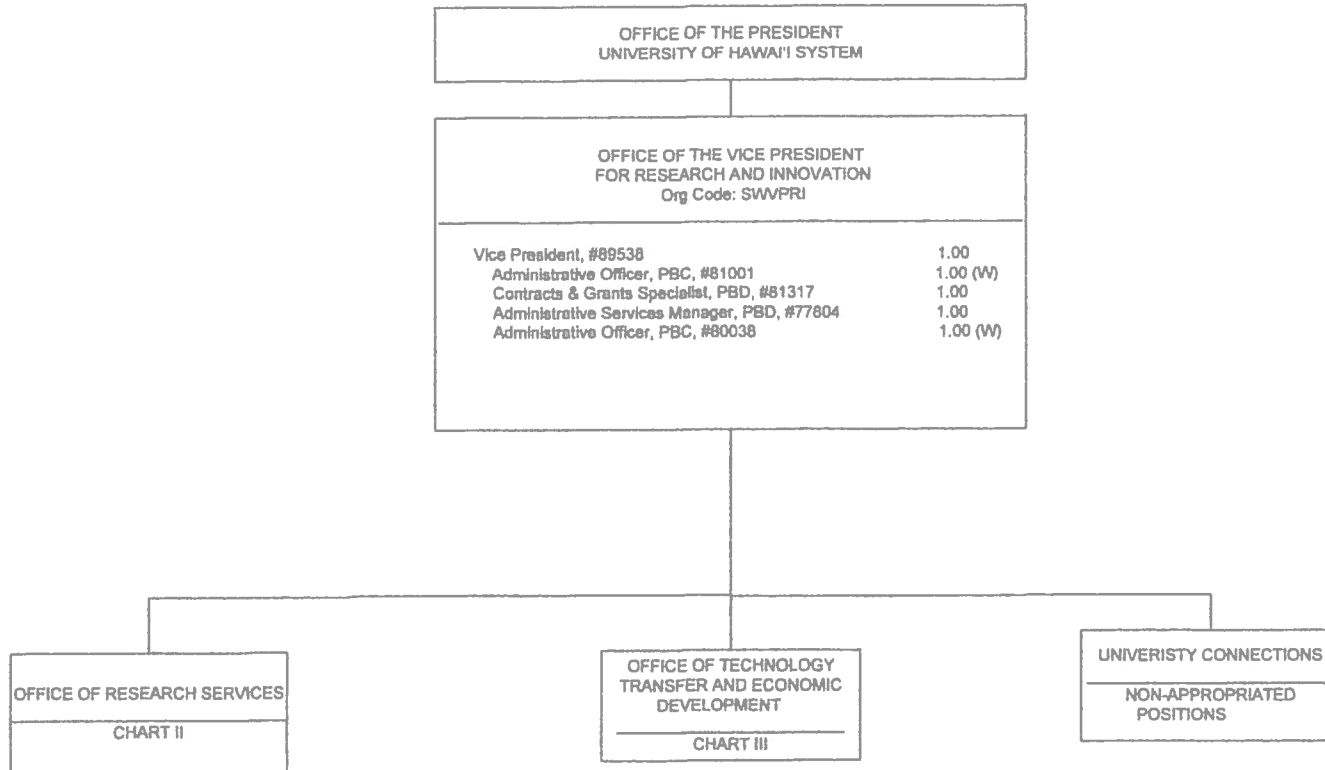
HR Review _____
 OFA Review _____

CURRENT Organizational Chart and Functional Statement

Vice President for Research and
Innovation

CHART UPDATED
DATE: July 1, 2015

STATE OF HAWAII
 UNIVERSITY OF HAWAII
 OFFICE OF THE VICE PRESIDENT
 FOR RESEARCH AND INNOVATION
 POSITION ORGANIZATION CHART I



General Fund: 21.00
 Revolving Fund (W): 2.00

Appropriated, pending reorganization, 8.00 General Fund (A) Positions: 77571, 77294, 77862, 78020, 77694, 80151, 78129, 78459

Appropriated, pending transfer, 10.00 General Fund (A) Positions: 94834F, 80272, 70286, 86736, 86739, 86721, 76308, 76309, 76310, 76311

STATE OF HAWAI'I
UNIVERSITY OF HAWAI'I
OFFICE OF THE VICE PRESIDENT
FOR RESEARCH AND INNOVATION

FUNCTIONAL STATEMENT

INTRODUCTION

The office of the Vice President for Research and Innovation has systemwide leadership responsibility for planning, developing, and coordinating systemwide research policies and procedures of the University of Hawai'i. Serves as chief research policy advisor to the President and other University executives.

MAJOR FUNCTIONS

- Provides policy leadership and administrative support to systemwide and Mānoa campus research institute and programs. Fosters and monitors inter-campus collaborative research efforts.
- Develops systemwide research plans, goals, policy, and objectives in consultation with campus senior executives. Coordinates in consultation with campus senior executives, systemwide policies reflecting research priorities and direction.
- Develops systemwide research policies and procedures, including long-range and planning studies.
- Develops and maintains an international standard of research excellence. Serves as the University's expert on research policy matters.
- Coordinates and monitors research efforts of statewide concern.
- Monitors and assesses the University's administrative compliance and recommends revisions as necessary.
- Represents the University in systemwide policy research issues involving governmental, private, international, and other external agencies.
- Assures efficient and effective financial management of all extramural research and training contracts and grants that are entered into by the University.
- Facilitates and encourages technology transfer and economic development activities by the University on a systemwide basis.

CURRENT Organizational Chart and Functional Statement

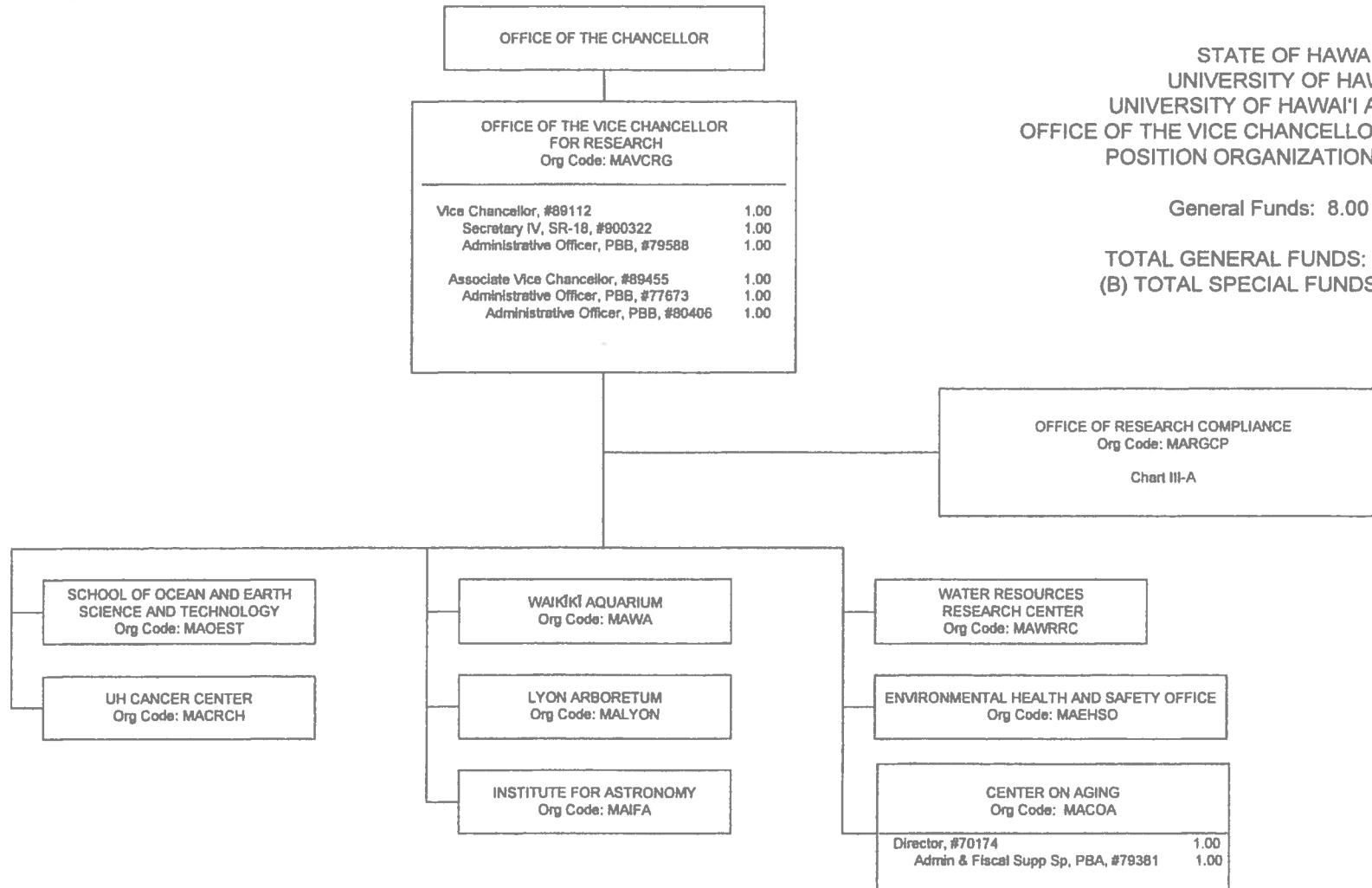
Vice Chancellor for Research

CHART UPDATED
DATE: July 1, 2015

STATE OF HAWAII
 UNIVERSITY OF HAWAII
 UNIVERSITY OF HAWAII AT MĀNOA
 OFFICE OF THE VICE CHANCELLOR FOR RESEARCH
 POSITION ORGANIZATION CHART III

General Funds: 8.00 FTE

TOTAL GENERAL FUNDS: 14.00 FTE
 (B) TOTAL SPECIAL FUNDS: 5.00 FTE



Footnotes:

+ Academic matters within the School of Ocean and Earth Science and Technology will be administered in coordination with the Vice Chancellor for Academic Affairs

STATE OF HAWAI'I
UNIVERSITY OF HAWAI'I
UNIVERSITY OF HAWAI'I AT MĀNOA
OFFICE OF THE CHANCELLOR
**OFFICE OF THE VICE CHANCELLOR
FOR RESEARCH**

FUNCTIONAL STATEMENT

**OFFICE OF THE VICE CHANCELLOR FOR RESEARCH (OVCR) – Org Code:
MAVCRG**

Overview of Office:

In support of the deans and directors and in collaboration with the Office of the Vice Chancellor for Academic Affairs, this Office has leadership responsibility for the planning, direction, initiation, development and coordination of research programs of the University of Hawai'i at Mānoa. The Vice Chancellor for Research (VCR) serves as the chief policy advisor to the Chancellor in these areas and the chief operating officer for University of Hawai'i at Mānoa research programs.

Authority:

The OVCR has the authority to develop new research programs within the applicable campus executive and Board of Regents policies, to allocate or reallocate budgets of the Research and Training Revolving Funds in support of the research enterprise, to develop and promulgate policies for compliance of the research faculty and staff with Federal and State regulations, and to take actions to improve the research climate at the University of Hawai'i at Mānoa. Leadership, direction and oversight is provided to select organized research units (ORUs), and the School of Ocean and Earth Science and Technology.

Interactions with other UHM Vice Chancellors

The VCR works with the Vice Chancellor for Academic Affairs to ensure that the research programs of the academic units are provided with the best possible support; with the VC for Administration, Finance and Operations to ensure responsible allocation and expenditure of financial resources, to ensure that the research enterprise is well-represented in the media, to ensure that researchers have access to the best information technology available at the University, and to ensure that personnel actions taken are reasonable and compliant; to ensure that physical facilities are adequate for research needs; and with the VC for Students to ensure optimal involvement of students in the research activities of the University of Hawai'i at Mānoa.

Major Functions of the Office

In support of and under the direction of the Chancellor, the Office directs the University of Hawai'i at Mānoa's research programs through the development of governing policies, the conduct of program planning and assessment, the determination of directions, the setting of priorities in response to new research opportunities, the formulation of goals and objectives, and the allocation of resources.

The Office is actively involved in encouraging and developing new research initiatives, in providing an environment conducive to research, in establishing approved new research programs, and in restructuring existing programs within policy. The Office facilitates and encourages technology transfer and economic development activities by the University of Hawai'i at Mānoa.

The responsibilities of this Office also include the following:

- Initiates and develops long-range planning studies for research at the University of Hawai'i at Mānoa.
- Administers a policy of continuing qualitative evaluation of each of the major efforts relative to the development and maintenance of an international standard of excellence.

- Coordinates the activities of the research units and programs through the respective academic deans and directors.
- Selects/appoints University of Hawai'i at Mānoa representatives to various external and internal boards and committees associated with University research programs.
- Serves as the Chancellor's representative for research with a variety of individuals, groups and agencies, both inside and outside the University of Hawai'i at Mānoa, such as Federal and State agencies, other research institutes and universities, legislators, and the general public, which have the potential to take appropriate actions to enhance the University of Hawai'i at Mānoa's research programs and capabilities.
- Serves as the University of Hawai'i at Mānoa source of expertise on the subject of research programs and activities.
- Manages strategic initiatives, research program development, research information systems, business operations of the Office of the VCR, and interacts with the Office of Research Services; oversees research and technology transfer, research commercialization and industrial support.
- Finds means by which the research environment can be improved and made more conducive to research and educating faculty concerning research funding opportunities and proposal preparation.
- Identifies opportunities for Federal funding of research and helping researchers obtain the Federal financial support they need.
- Manages the Research and Training Revolving Funds, the fiscal management of campus wide research initiative headed by the office of the VCR, the management of internal resource allocations within the office of the VCR and the interaction with the Research Corporation of the University of Hawaii in fiscal matters.
- Interacts with the Office of Research Services to provide appropriate procedures to foster research and training activities at the University of Hawai'i at Mānoa.
- Provides general oversight of the appointment, compensation, and service conditions of post-doctoral fellows.
- Serves as the Chancellor's representative and advisor on interactions with the Research Corporation of the University of Hawai'i.
- Provides advice, assistance, financial support, and administrative guidance for new research centers and institutions during the formative or start-up phases.
- Supports the Chancellor in other matters as directed.

The following units report to the Vice Chancellor:

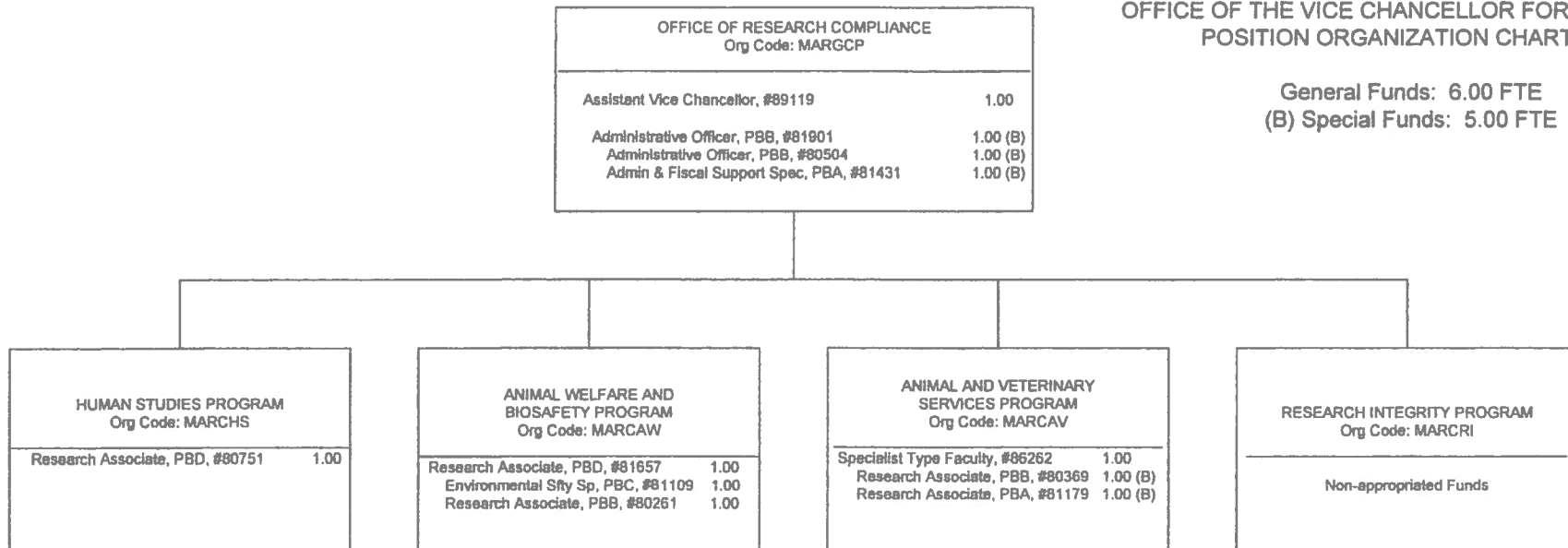
- School of Ocean and Earth Science and Technology – Org Code: MAOEST
- UH Cancer Center – Org Code: MACRCH
- Waikīkī Aquarium – Org Code: MAWA
- Lyon Arboretum – Org Code: MALYON
- Institute for Astronomy – Org Code: MAIFA
- Water Resources Research Center – Org Code: MAWRRC
- Environmental Health & Safety Office – Org Code: MAEHSO
- Center on Aging – Org Code: MACOA
 - The University of Hawai'i Center on Aging offers graduate and undergraduate 15-credit certificates in gerontology, with students taking courses from professors across campus in the fields of family resources, law, medicine, nursing, public health, psychology, social work, sociology, etc.
 - Support the UH chapter of Sigma Phi Omega (gerontological honor society), provide service to the community, and conduct research on aging.
 - Conducts program development and evaluation.
- Office of Research Compliance – Org Code: MARGCP
 - Human Studies Program – Org Code: MARCHS
 - Oversees and directs the federally-mandated human research protection program.
 - Designed to function as the federally mandated Institutional Review Board (IRB) for the University of Hawai'i System.
 - Responsible for monitoring all research involving human subjects.
 - Animal Welfare and Biosafety Program – Org Code: MARCAW

- Oversees and directs the federally mandated Institutional Animal Care and Use Committee (IACUC), and Institutional Biosafety Committee (IBC) for the University of Hawai'i System.
- Animal and Veterinary Services Program – Org Code: MARCAV
 - Responsible for administering the Program of Humane Care and Use of all vertebrate animals for the University of Hawai'i System.
- Research Integrity Program – Org Code: MARCRI
 - Responsible for administering compliance in the areas of Research and Scholarly Misconduct, Responsible Conduct of Research (RCR), and Conflicts of Interest (COI) for the University of Hawai'i System.

CHART UPDATED
DATE: July 1, 2015

STATE OF HAWAII
 UNIVERSITY OF HAWAII
 UNIVERSITY OF HAWAII AT MĀNOA
 OFFICE OF THE VICE CHANCELLOR FOR RESEARCH
 POSITION ORGANIZATION CHART III-A

General Funds: 6.00 FTE
 (B) Special Funds: 5.00 FTE



STATE OF HAWAI'I
UNIVERSITY OF HAWAI'I
UNIVERSITY OF HAWAI'I AT MANOA
OFFICE OF THE CHANCELLOR
OFFICE OF THE VICE CHANCELLOR FOR RESEARCH
OFFICE OF RESEARCH COMPLIANCE

FUNCTIONAL STATEMENT

OFFICE OF RESEARCH COMPLIANCE (ORC) – Org Code: MARGCP

Major Functions of the Office:

In support of and under the direction of the Vice Chancellor for Research, the Office is responsible for ensuring compliance of research and scholarly work involving the use of vertebrate animals, human participants, microbiological materials, and issues related to the research and scholarly misconduct, and responsible conduct of research. This office is also responsible for appropriate veterinary care, and for the health and well-being for all animals used at the institution, and for managing and operating university animal facilities involved in biomedical and neuroscience research and training on the UH Manoa campus and at the John A. Burns School of Medicine at Kaka'ako.

Human Studies Program – Org Code: MARCHS

Human Studies Program directs and oversees the federally-mandated human research protection program under a Federal wide Assurance (FWA), an agreement executed between the University of Hawai'i and the DHHS Office for Human Research Protections (OHRP).

The Human Studies Program staff members perform the following tasks:

1. Administers three Institutional Review Boards (IRB) that serve the University of Hawai'i and several partnership institutions
2. Reviews all exempt research protocols involving human participants
3. Oversees the initial and continuing review of all non-exempt research protocols involving human participants or their private identifiable information
4. Provides education, training, consultation and support to UH faculty and others who perform human participant research across the University of Hawai'i system
5. Develops and implements policies and procedures to ensure compliance with applicable federal regulations and University policies
6. Maintains documentation of protocol review, approval and oversight
7. Follows up on allegations of non-compliance with applicable regulations and policies.
8. Conducts on-site monitoring visits of active protocols involving human participants.

Animal Welfare and Biosafety Program – Org Code: MARCAW

The Animal Welfare and Biosafety Program provides oversight and direction for the system-wide, federally-mandated Institutional Animal Care and Use Committee (IACUC) and Institutional Biosafety Committee (IBC) for the University of Hawai'i.

The Animal Welfare Program staff members perform the following tasks:

1. Review and approve animal use protocols
2. Inspect animal facilities and specific programs
3. Investigate alleged and confirmed non-compliant adverse events
4. Consult and advise on appropriateness of proposed and actual experimental procedures to meet criteria for scientific data gathering
5. Review and confirm extramural award information conformity with actual animal use protocol design
6. Provide administrative support for IACUC

The Biosafety Program staff members perform the following tasks:

1. Conduct training for faculty, staff, and students
 - a. General Biological Safety
 - b. Transportation of Biological Commodities
 - c. Blood Borne Pathogen Standards and Sharps Hazard Prevention
 - d. Select Agents
 - e. Biosafety Cabinet Use
2. Conduct laboratory biosafety inspections
 - a. Annual Review
 - b. Unannounced
 - c. Permitting and IBC Protocols
3. Process biological material importation applications
4. Dispose biological waste
5. Provide administrative support for IBC

Animal and Veterinary Services Program – Org Code: MARCAV

Animal and Veterinary Services (AVS) fulfills three functions at the University of Hawai'i (UH):

1. The Office of the University Veterinarian (UV) has System-wide responsibilities for overseeing the health and well-being and clinical care of all vertebrate animals used by the UH, as required by United States federal law. As such the Office of the UV assists Principal Investigators with the development and review of Institutional Animal Care and Use Committee (IACUC) protocols, and conducts at least semi-annual scheduled visits to facilities where vertebrate animals are housed or used for research, training, or other activities. The Office of the UV may provide veterinary care for animals used on IACUC protocols.
2. AVS operates the vivariums and provides daily care for animals used for biomedical and neurobehavioral research and training on the Manoa campus and at the John A. Burns School of Medicine (JABSOM) at Kaka'ako.
3. AVS helps fulfill the federal mandate that personnel involved with care and use of vertebrate animals are adequately trained, and/or qualified in the basic principles of animal care and use to ensure quality research and animal well-being. As such AVS provides necessary training of personnel using or caring for animals on behalf of the UH.
4. Provides consultation on fish health management through its fish diagnostic laboratory and providing education for the UH fish facilities and the community.

Research Integrity Program – Org Code: MARCRI

Staff of the Research Integrity Program are responsible for handling allegations of Research and Scholarly Misconduct and whistleblower retaliation, and for educating faculty, staff and students about Responsible Conduct of Research.

The Research Integrity Program staff members perform the following tasks:

Research and Scholarly Misconduct:

1. Receive misconduct allegations; assist in gathering information and completing the assessment, inquiry and investigation, as appropriate.
2. Provide staff support for all aspects of misconduct cases, concerns, conflicts, and Ethics Committee (EC).
3. Communicate with key parties: Complainant, Respondent, Witnesses, EC, Vice Chancellor, Deciding Official, and federal Office of Research Integrity.
4. Manage case records
5. Transcribe interviews
6. Update misconduct policy/program as required by federal regulations
7. Provide training sessions or workshops related to misconduct
8. Provide assistance as needed to Vice Chancellor for Research in fact-finding investigations and other areas of concern

Responsible Conduct of Research (RCR):

1. Monitor on-line RCR training (CITI) component
2. Prepare and deliver interactive RCR training sessions
3. Manage database for RCR training completions
4. Maintain communication with other campuses for collaboration related to RCR
5. Update RCR plan/program as required by federal regulations

PROPOSED
Organizational Chart and Functional
Statement

Vice President for Research and
Innovation

APPROVED:



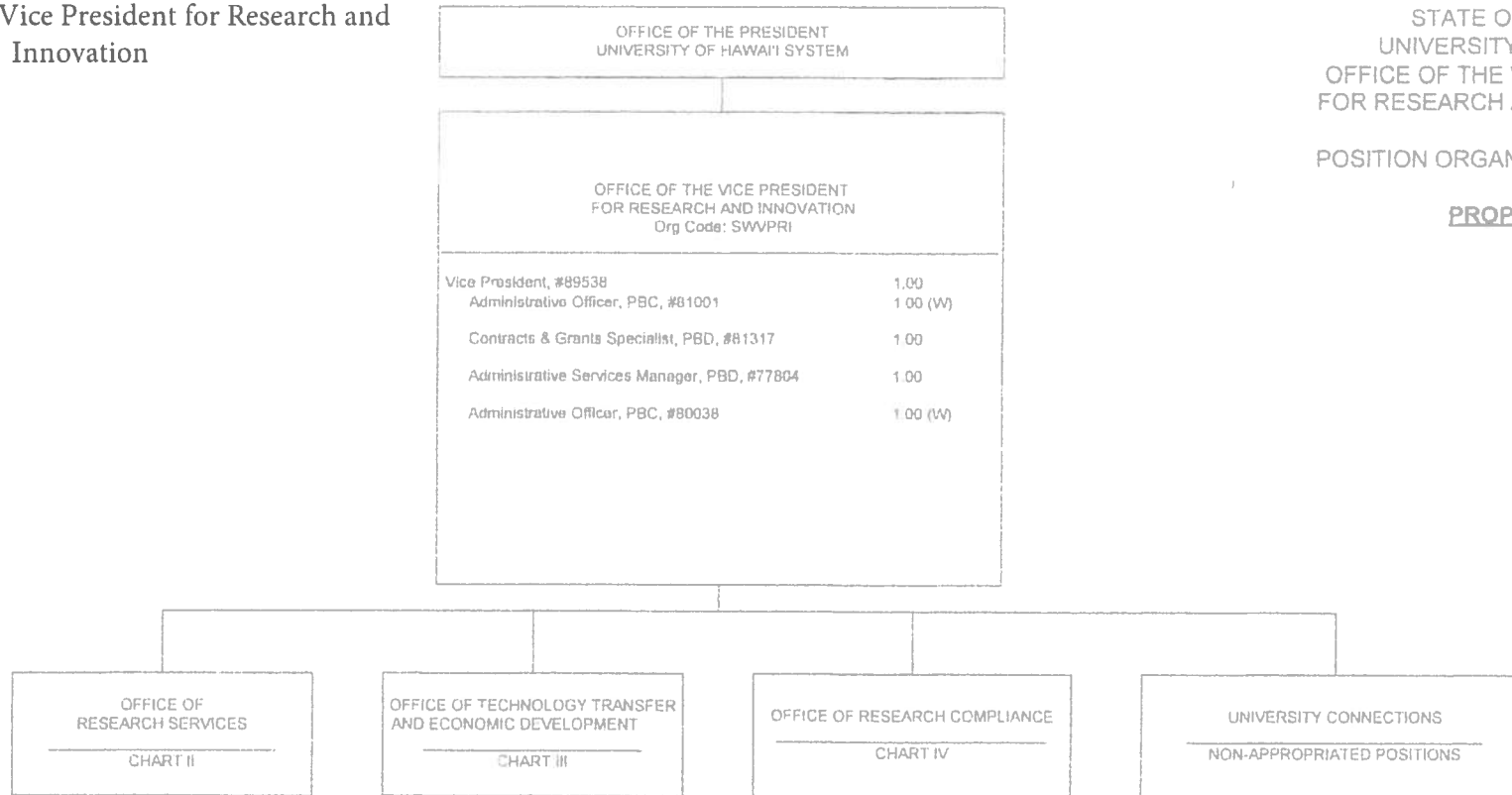
Vassilis Syrmos

Vice President for Research and
Innovation

STATE OF HAWAII
UNIVERSITY OF HAWAII
OFFICE OF THE VICE PRESIDENT
FOR RESEARCH AND INNOVATION

POSITION ORGANIZATION CHART I

PROPOSED

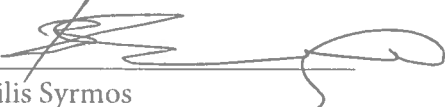


Appropriated, pending reorganization, 8.00 General Fund (A) Positions: 77571, 77294, 77862, 78020, 77694, 80151, 78129, 78459

Appropriated, pending transfer, 10.00 General Fund (A) Positions: 94834F, 80272, 70286, 86736, 86739, 86721, 76308, 76309, 76310, 76311

General Fund: 21.00
Revolving Fund (W): 2.00

APPROVED:


Vassilis Syrmos
Vice President for Research and
Innovation

STATE OF HAWAII
UNIVERSITY OF HAWAII
OFFICE OF THE PRESIDENT
**OFFICE OF THE VICE PRESIDENT
FOR RESEARCH AND INNOVATION**

FUNCTIONAL STATEMENT
PROPOSED

INTRODUCTION

The office of the Vice President for Research and Innovation has systemwide leadership responsibility for planning, developing, and coordinating systemwide research policies and procedures of the University of Hawai'i. Serves as chief research policy advisor to the President and other University executives.

MAJOR FUNCTIONS

- Provides policy leadership and administrative support to systemwide and Mānoa campus research institute and programs. Fosters and monitors inter-campus collaborative research efforts.
- Develops systemwide research plans, goals, policy, and objectives in consultation with campus senior executives. Coordinates in consultation with campus senior executives, systemwide policies reflecting research priorities and direction.
- Develops systemwide research policies and procedures, including long-range and planning studies.
- Develops and maintains an international standard of research excellence. Serves as the University's expert on research policy matters.
- Coordinates and monitors research efforts of statewide concern.
- Monitors and assesses the University's research compliance and recommends revisions as necessary.
- Represents the University in systemwide policy research issues involving governmental, private, international, and other external agencies.
- Assures efficient and effective financial management of all extramural research and training contracts and grants that are entered into by the University.
- Facilitates and encourages technology transfer and economic development activities by the University on a systemwide basis.

APPROVED:


Vassilis Syrmos
Vice President for Research and
Innovation

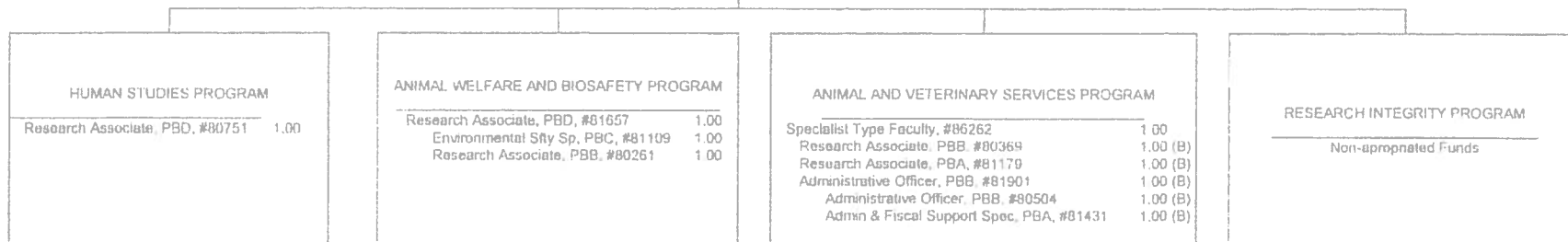
OFFICE OF THE VICE PRESIDENT FOR RESEARCH AND
INNOVATION

OFFICE OF RESEARCH COMPLIANCE
Assistant Vice President, #89119 1.00

STATE OF HAWAII
UNIVERSITY OF HAWAII
OFFICE OF THE VICE PRESIDENT
FOR RESEARCH AND INNOVATION
OFFICE OF RESEARCH COMPLIANCE

POSITION ORGANIZATION CHART IV

PROPOSED



General Funds: 6.00
Special Funds (B): 5.00

APPROVED:



Vassilis Syrmos
Vice President for Research and
Innovation

STATE OF HAWAII
UNIVERSITY OF HAWAII
UNIVERSITY OF HAWAII
OFFICE OF THE PRESIDENT
OFFICE OF THE VICE PRESIDENT FOR RESEARCH
AND INNOVATION
OFFICE OF RESEARCH COMPLIANCE

FUNCTIONAL STATEMENT
PROPOSED

OFFICE OF RESEARCH COMPLIANCE (ORG) – Org Code:

Major Functions of the Office:

In support of and under the direction of the Vice President for Research and Innovation, the Office is responsible for ensuring compliance of research and scholarly work involving the use of vertebrate animals, human subjects, microbiological materials, and issues related to the research and scholarly misconduct, and responsible conduct of research. This office is also responsible for appropriate veterinary care, and for the health and well-being for all animals used at the institution, and for managing and operating university animal facilities involved in biomedical and neuroscience research and training on the UH Mānoa campus and at the John A. Burns School of Medicine at Kaka'ako.

Human Studies Program – Org Code:

Human Studies Program directs and oversees the federally-mandated human research protection program under a Federal wide Assurance (FWA), an agreement executed between the University of Hawai'i and the DHHS Office for Human Research Protections (OHRP).

The Human Studies Program staff members perform the following tasks:

1. Administers three Institutional Review Boards (IRB) that serve the University of Hawai'i and several partnership institutions
2. Reviews all exempt research protocols involving human subjects
3. Oversees the initial and continuing review of all non-exempt research protocols involving human subjects or their private identifiable information
4. Provides education, training, consultation and support to UH faculty and others who perform human subjects research across the University of Hawai'i system
5. Develops and implements policies and procedures to ensure compliance with applicable federal regulations and University policies
6. Maintains documentation of protocol review, approval and oversight
7. Follows up on allegations of non-compliance with applicable regulations and policies.

Animal Welfare and Biosafety Programs – Org Code:

Animal Welfare and Biosafety Programs provides oversight and direction for the system-wide, federally-mandated Institutional Animal Care and Use Committee (IACUC) and Institutional Biosafety Committee (IBC) for the University of Hawai'i.

The Animal Welfare Program staff members perform the following tasks:

1. Review and approve animal use protocols
2. Inspect animal facilities and specific programs
3. Investigate alleged and confirmed non-compliant adverse events
4. Consult and advise on appropriateness of proposed and actual experimental procedures to meet criteria for scientific data gathering
5. Review and confirm extramural award information conformity with actual animal use protocol design
6. Provide administrative support for IACUC

The Biosafety Program staff members perform the following tasks:

1. Conduct training for faculty, staff, and students
 - a. General Biological Safety
 - b. Transportation of Biological Commodities
 - c. Blood Borne Pathogen Standards and Sharps Hazard Prevention
 - d. Select Agents
 - e. Biosafety Cabinet Use

Conduct laboratory biosafety inspections

- f. Annual Review
- g. Unannounced
- h. Permitting and IBC Protocols
2. Process biological material importation applications
3. Dispose biological waste
4. Provide administrative support for IBC

Animal and Veterinary Services Program – Org Code:

Animal and Veterinary Service (AVS) fulfills three functions at the University of Hawai'i (UH):

1. The Office of the University Veterinarian (UV) has System-wide responsibilities for overseeing the health and well-being and clinical care of all vertebrate animals used by the UH, as required by United States federal law. As such the Office of the UV assists Principal Investigators with the development and review of Institutional Animal Care and Use Committee (IACUC) protocols, and conducts at least semi-annual scheduled visits to facilities where vertebrate animals are housed or used for research, training, or other activities. The Office of the UV may provide veterinary care for animals used on IACUC protocols.
2. AVS operates the vivariums and provides daily care for animals used for biomedical and neurobehavioral research and training on the Manoa campus and at the John A. Burns School of Medicine (JABSOM) at Kaka'ako.
3. AVS helps fulfill the federal mandate that personnel involved with care and use of vertebrate animals are adequately trained, and/or qualified in the basic principles of animal care and use to ensure quality research and animal well-being. As such AVS provides necessary training of personnel using or caring for animals on behalf of the UH.

Research Integrity Program – Org Code:

Staff members of the Research Integrity Program are responsible for handling allegations of Research and Scholarly Misconduct and whistleblower retaliation, and for educating faculty, staff and students about Responsible Conduct of Research.

The Research Integrity Program staff members perform the following tasks:

Research and Scholarly Misconduct:

1. Receive misconduct allegations; assist in gathering information and completing the assessment, inquiry and investigation, as appropriate.
2. Provide staff support for all aspects of misconduct cases, concerns, conflicts, and Ethics Committee (EC).
3. Communicate with key parties: Complainant, Respondent, Witnesses, EC, Vice President, Deciding Official, and federal Office of Research Integrity.
4. Manage case records
5. Transcribe interviews
6. Update misconduct policy/program as required by federal regulations
7. Provide training sessions or workshops related to misconduct
8. Provide assistance as needed to Vice President for Research and Innovation in fact-finding investigations and other areas of concern

Responsible Conduct of Research (RCR):

1. Monitor on-line RCR training (CITI) component
2. Prepare and deliver interactive RCR training sessions
3. Manage database for RCR training completions
4. Maintain communication with other campuses for collaboration related to RCR
5. Update RCR plan/program as required by federal regulations

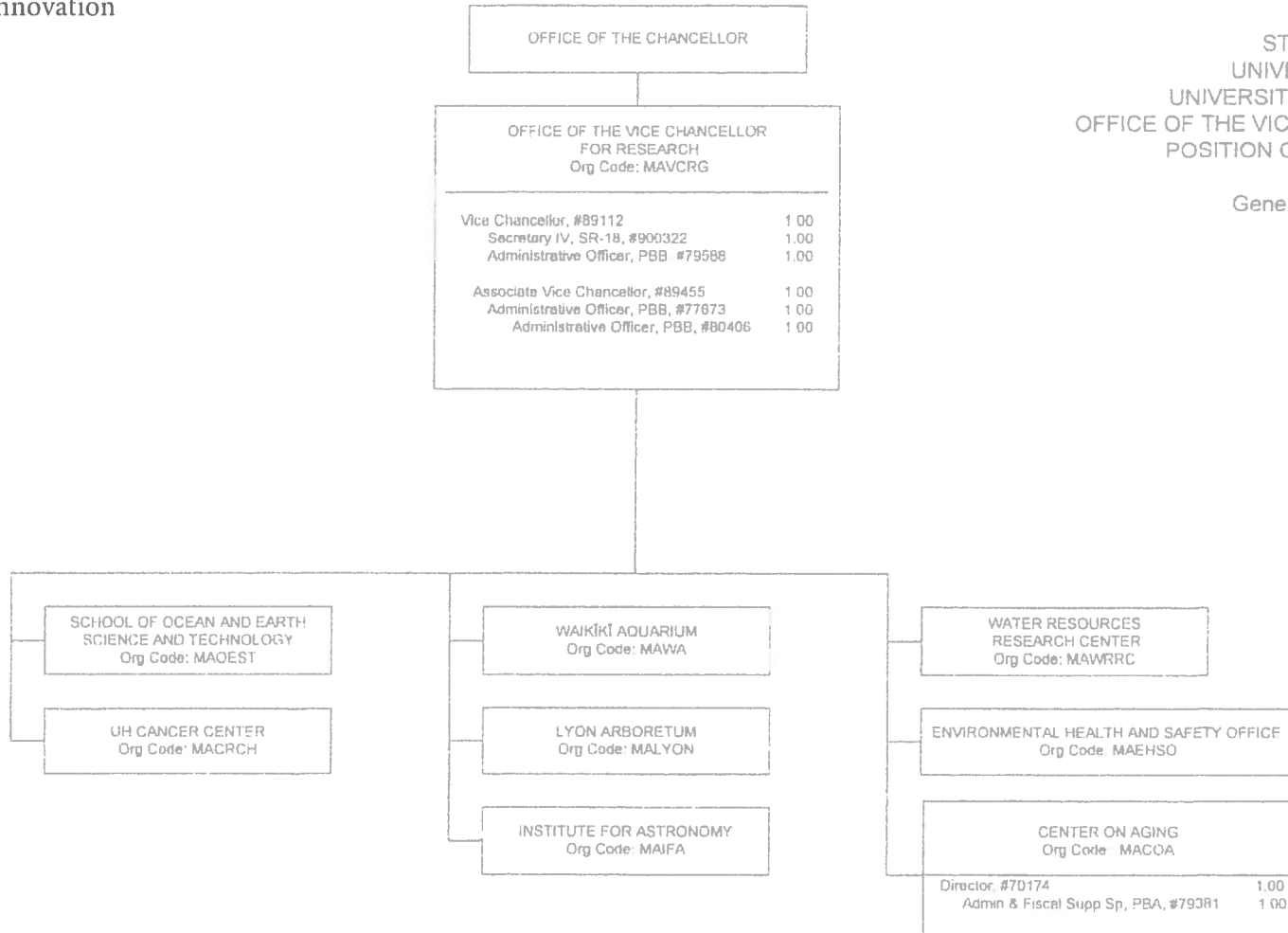
**PROPOSED
Organizational Chart and Functional
Statement**

Vice Chancellor for Research

APPROVED:


Vassilis Syrmos

Vice President for Research and
Innovation



STATE OF HAWAII
UNIVERSITY OF HAWAII
UNIVERSITY OF HAWAII AT MĀNOA
OFFICE OF THE VICE CHANCELLOR FOR RESEARCH
POSITION ORGANIZATION CHART III


General Funds: 8.00 FTE

PROPOSED

Footnotes

+ Academic matters within the School of Ocean and Earth Science and Technology will be administered in coordination with the Vice Chancellor for Academic Affairs

APPROVED:


Vassilis Syrmos
Vice President for Research and
Innovation

STATE OF HAWAII
UNIVERSITY OF HAWAII
UNIVERSITY OF HAWAII AT MĀNOA
OFFICE OF THE CHANCELLOR
**OFFICE OF THE VICE CHANCELLOR
FOR RESEARCH**

FUNCTIONAL STATEMENT
PROPOSED

**OFFICE OF THE VICE CHANCELLOR FOR RESEARCH (OVCR) – Org Code:
MAYCRG**

Overview of Office:

In support of the deans and directors and in collaboration with the Office of the Vice Chancellor for Academic Affairs, this Office has leadership responsibility for the planning, direction, initiation, development and coordination of research programs of the University of Hawai'i at Mānoa. The Vice Chancellor for Research (VCR) serves as the chief policy advisor to the Chancellor in these areas and the chief operating officer for University of Hawai'i at Mānoa research programs.

Authority:

The OVCR has the authority to develop new research programs within the applicable campus executive and Board of Regents policies, to allocate or reallocate budgets of the Research and Training Revolving Funds in support of the research enterprise, to develop and promulgate policies for compliance of the research faculty and staff with Federal and State regulations, and to take actions to improve the research climate at the University of Hawai'i at Mānoa. Leadership, direction and oversight is provided to select organized research units (ORUs), and the School of Ocean and Earth Science and Technology.

Interactions with other UHM Vice Chancellors

The VCR works with the Vice Chancellor for Academic Affairs to ensure that the research programs of the academic units are provided with the best possible support; with the VC for Administration, Finance and Operations to ensure responsible allocation and expenditure of financial resources, to ensure that the research enterprise is well-represented in the media, to ensure that researchers have access to the best information technology available at the University, and to ensure that personnel actions taken are reasonable and compliant; to ensure that physical facilities are adequate for research needs; and with the VC for Students to ensure optimal involvement of students in the research activities of the University of Hawai'i at Mānoa.

Major Functions of the Office

In support of and under the direction of the Chancellor, the Office directs the University of Hawai'i at Mānoa's research programs through the development of governing policies, the conduct of program planning and assessment, the determination of directions, the setting of priorities in response to new research opportunities, the formulation of goals and objectives, and the allocation of resources.

The Office is actively involved in encouraging and developing new research initiatives, in providing an environment conducive to research, in establishing approved new research programs, and in restructuring existing programs within policy. The Office facilitates and encourages technology transfer and economic development activities by the University of Hawai'i at Mānoa.

The responsibilities of this Office also include the following:

- Initiates and develops long-range planning studies for research at the University of Hawai'i at Mānoa.
- Administers a policy of continuing qualitative evaluation of each of the major efforts relative to the development and maintenance of an international standard of excellence.

- Coordinates the activities of the research units and programs through the respective academic deans and directors.
- Selects/appoints University of Hawai'i at Mānoa representatives to various external and internal boards and committees associated with University research programs.
- Serves as the Chancellor's representative for research with a variety of individuals, groups and agencies, both inside and outside the University of Hawai'i at Mānoa, such as Federal and State agencies, other research institutes and universities, legislators, and the general public, which have the potential to take appropriate actions to enhance the University of Hawai'i at Mānoa's research programs and capabilities.
- Serves as the University of Hawai'i at Mānoa source of expertise on the subject of research programs and activities.
- Manages strategic initiatives, research program development, research information systems, business operations of the Office of the VCR, and interacts with the Office of Research Services; oversees research and technology transfer, research commercialization and industrial support.
- Finds means by which the research environment can be improved and made more conducive to research and educating faculty concerning research funding opportunities and proposal preparation.
- Identifies opportunities for Federal funding of research and helping researchers obtain the Federal financial support they need.
- Manages the Research and Training Revolving Funds, the fiscal management of campus wide research initiative headed by the office of the VCR, the management of internal resource allocations within the office of the VCR and the interaction with the Research Corporation of the University of Hawaii in fiscal matters.
- Interacts with the Office of Research Services to provide appropriate procedures to foster research and training activities at the University of Hawai'i at Mānoa.
- Provides general oversight of the appointment, compensation, and service conditions of post-doctoral fellows.
- Serves as the Chancellor's representative and advisor on interactions with the Research Corporation of the University of Hawai'i.
- Provides advice, assistance, financial support, and administrative guidance for new research centers and institutions during the formative or start-up phases.
- Supports the Chancellor in other matters as directed.

The following units report to the Vice Chancellor:

- School of Ocean and Earth Science Technology – Org Code: MAOEST
- UH Cancer Center – Org Code: MACRCH
- Waikīkī Aquarium – Org Code: MAWA
- Lyon Arboretum – Org Code: MALYON
- Institute for Astronomy – Org Code: MAIFA
- Water Resources Research Center – Org Code: MAWRRC
- Environmental Health and Safety Office – Org Code: MAEHSO
- Center on Aging – Org Code: MACOA
 - The University of Hawai'i Center on Aging offers graduate and undergraduate 15-credit certificates in gerontology, with student taking courses from professors across campus in the fields of family resources, law, medicine, nursing, public health, psychology, social work, sociology, etc.
 - Support the UH chapter of Sigma Phi Omega (gerontological honor society), provide service to the community, and conduct research on aging.
 - Conducts program development and evaluation.