

STATE OF HAWAII
UNIVERSITY OF HAWAII
OFFICE OF THE PRESIDENT
**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 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.

STATE OF HAWAII
UNIVERSITY OF HAWAII
SYSTEMWIDE ADMINISTRATION
OFFICE OF VICE PRESIDENT FOR RESEARCH AND INNOVATION
OFFICE OF RESEARCH SERVICES

FUNCTIONAL STATEMENT

INTRODUCTION

The Office of Research Services (ORS) of the University of Hawai'i (UH) is responsible for providing efficient and effective administration and management for all extramural research and non-research contracts and grants that are entered into by the University.

ORS is administratively responsible for: review and approval of proposals and offers to extramural sponsors; acceptance of grants, contracts, subcontracts, cooperative agreements and all other extramural agreements on behalf of the UH; negotiation of the award terms and conditions; resolution of disputes and other issues with sponsors; development of systemwide administrative policies and procedures relating to extramurally financed programs; and the provision of training and coordinating services in these matters.

Furthermore, ORS is responsible for ensuring that all contracts and grants are in compliance with funding agency policies by providing oversight and monitoring functions that include: on-going reviews of departmental and systemwide internal controls; coordination of required actions to correct deficiencies; post-audit activities to ensure compliance with federal and state laws and university policies and procedures; coordination and resolution of audit findings and questioned costs with sponsoring agencies; and the provision of counsel and guidance directly to UH executives, administrators, principal investigators, and fiscal staff on all matters relating to extramurally funded programs including the interpretation and application of contract and grant terms and conditions.

ORS has overall financial reporting responsibilities that include: billing and financial reporting to sponsors; developing and maintaining necessary accounting systems and records that comply with federal cost principles and financial management standards; and preparing indirect cost and other special analytic studies that are periodically required. A description of each ORS section follows below.

Office of the Director. Plans, directs and manages system-wide research support services. Functional responsibilities include:

- Creating the vision for system-wide research support services and providing leadership to develop long- and short-range strategic planning for effective research service programs to ensure responsive and quality services to the research community system-wide;
- Interpretation and application of federal laws and regulations and governing contract and grants as well as all other terms and conditions imposed by an sponsor;
- Making recommendations to the Vice President for Research and Innovation and other UH executives on system-wide sponsored research administration policies, procedures and practice;
- Implementing and enforcing federal, state, UH and Board of Regents policies and procedures as they apply to sponsored research administration;
- Directing research support services through subordinate level subject matter experts;
- Ensuring compliance with federal, state, funding agency, and university rules, regulations, policies and procedures; overseeing research financial management support systems and the system of internal controls to meet federal criteria and external audit standards;
- Signing extramural award contracts and grants on behalf of the UH;

- Negotiating with federal agencies regarding overhead rates, implementation procedures and compliance requirements;
- Assisting auditors in the conduct of scheduled and non-scheduled audits and initiating appropriate remediation actions for audit findings;
- Advising the Vice President for Research and Innovation and other UH executives on research support services between the UH and RCUH;
- Collaborating with faculty researchers to establish communication network (i.e., ORS Faculty Advisory Council) for the dissemination of essential grant management information; and
- Planning periodic training and workshop in research administration to all research personnel at all university campus and programs.

Administrative Operations. Manages and provides administrative support services relating to fiscal and personnel transactions support for ORS. Functional responsibilities include:

- Managing the day-to-day business operations for ORS;
- Overseeing the fiscal and human resources functions of the ORS office;
- Developing and implementing business and personnel operating procedures for ORS;
- Providing fiscal support services to the Director, including, but not limited to, budget projection and preparation; financial managerial reports preparation; and budget monitoring; and
- Providing administrative support for all ORS personnel functions including, but not limited to: payroll; recruitment; position classification (e.g., preparation of position description and reclassification actions); labor relations; implementation of personnel procedures; processing of personnel transactions to include preparation of personnel documents (e.g., PNFs and SF-1s); maintaining and updating the Human Resource Information System; and providing information and assistance regarding employee benefits;
- Assisting all sections within ORS with financial, accounting, and facility planning when necessary; and
- Preparing system-wide monthly, quarterly, and annual extramural contract and grants financial reports for ORS Director, UH Executives and Board of Regent.
- Preparing the annual Research and Training Revolving Fund reports to the Governor and the legislature

Information Systems Support Section. Installs and maintains the system-wide grant and contract tracking system, i.e., *myGRANT*, develops system-wide proposal and award statistic reports for ORS Director, UH Executives and Board of Regent for extramurally funds and provides information technology support to ORS staff, and provides eRA helpline support to faculty and staff system-wide. Functional responsibilities include:

- Designing and developing adaptations and program customization of the Kuali-Coeus, (*myGRANT*) software to conform the system to university requirements and desired functionality;
- Collaborating with *myGRANT* system users, e.g., researchers, staff, and external agencies, in the identification of necessary program modifications;
- Testing program modification and maintain systems operations;
- Providing training and workshop on the use of *myGRANT* and any sponsor-specific systems to the research community;
- Developing and managing the ORS web site and web reports
- Providing helpline functions for the research community at UH with respect to *myGRANT*, as well as sponsor-specific systems for proposal submission;
- Providing technical support for ORS training programs;
- Troubleshooting office computer equipment;

- Establishing, monitoring and maintaining the ORS exchange server;
- Planning for future upgrades and system modifications;
- Establishing and maintaining a database for extramurally funded research grants & contracts; preparing research statistic reports for the Board of Regents and upper administration; preparing special reports as requested, and tracking the status of extramural contract and grants;
- Graphic design as needed for e.g., training materials; and
- Advising the Director as to research information system and technology tools and upgrade that may be necessary to meet federal, state and other sponsor requirements.

Contracts and Grants Administration – Manoa Service Center. The Manoa Service Center provides contracts and grants support services to faculty and staff primary at UH Manoa units excluding the units at **Kaka’ako** Campus; collaborates with funding agencies on the identification of possible funding opportunities and initiatives, directs principal investigators to funding opportunities, and provides administrative support with the preparation of funding proposals and post award management; Drafts, reviews, and negotiates extramural award terms and conditions between the UH and funding agencies to ensure that awards conform to state and university liability, indemnification and other statutory, regulatory or policy requirements. With primary emphasis on the Units at UH Manoa Campus, but also providing support to other university departments and units as needed, Functional responsibilities include:

- Collaborating with funding agencies to identify funding opportunities;
- Serving as subject matter experts and directing faculty members system-wide on potential funding opportunities;
- Advising faculty and staff on proposal preparation and submission based on funding opportunity information for their specialized areas;
- Reviewing proposals for compliance with federal, state, university and sponsor standards and requirements, as applicable;
- Identifying deficiencies, if any, and the cooperative measures necessary to remediate deficiencies;
- Interpreting and providing guidance as to federal, state, and university guidelines for proposal submission;
- Acting - through delegated authority - as the university’s authorized organizational representative to sign and submit proposals and to review, approve and endorse post-award requests for modifications;
- Exercising considerable knowledge and expertise in the use of federally-mandated electronic research administration systems;
- Developing, modifying and implementing procedures to ensure University proposals are in compliance with federal, state and university guidelines;
- Keeping abreast of applicable proposal submission requirements;
- Making recommendations for update or revision to UH policies and procedures to meet federal or state mandates, or as otherwise may be necessary; and
- Provide training for research faculty and staff on proposal preparation and submission.
- Drafting, reviewing, and negotiating contracts between the UH and funding agencies to ensure conformity with statutory, regulatory, and university policy and procedural requirements;
- Developing, implementing, and maintaining system controls for administrative management of extramural agreements;
- Ensuring compliance with the regulations of the granting agency, the federal and state governments, and the UH;
- Issuing and updating system-wide administrative procedures relating to contracts and grants management;
- Submitting proposals and negotiating award terms and conditions, when appropriate;
- Ensuring the timely processing and execution of new extramural awards, renewals, and extensions received from sponsors; and

- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate UH personnel on procedural changes and/or to discuss and resolve problem areas.

Contracts & Grants Administration – Kaka’ako Service Center. **Kaka’ako** service center provides contracts and grants support services to faculty and staff primary at UH **Kaka’ako campus**. While collaborating with Manoa Service Center and other service center counterpart, the Kaka’ako Service Center functions independently, reports to the Director of ORS and has independent authority, in accordance with parameters set forth by the Director. With primary emphasis on the John A. Burn School of Medicine (JABSOM) and the University of Hawai’i Cancer Center proposals and awards, but also providing support to other university departments and units as needed, functional responsibilities include:

- Collaborating with funding agencies to identify funding opportunities;
- Serving as subject matter experts and directing faculty members system-wide on potential funding opportunities;
- Advising faculty and staff on proposal preparation and submission based on funding opportunity information for their specialized areas;
- Reviewing proposals for compliance with federal, state, university and sponsor standards and requirements, as applicable;
- Identifying deficiencies, if any, and the cooperative measures necessary to remediate deficiencies;
- Interpreting and providing guidance as to federal, state, and university guidelines for proposal submission;
- Acting - through delegated authority - as the university’s authorized organizational representative to sign and submit proposals and to review, approve and endorse post-award requests for modifications;
- Exercising considerable knowledge and expertise in the use of federally-mandated electronic research administration systems;
- Developing, modifying and implementing procedures to ensure University proposals are in compliance with federal, state and university guidelines;
- Keeping abreast of applicable proposal submission requirements;
- Making recommendations for update or revision to UH policies and procedures to meet federal or state mandates, or as otherwise may be necessary;
- Provide training for research faculty and staff on proposal preparation and submission
- Drafting, reviewing, and negotiating contracts between the UH and funding agencies to ensure conformity with statutory, regulatory, and university policy and procedural requirements;
- Developing, implementing, and maintaining system controls for administrative management of extramural agreements;
- Ensuring compliance with the regulations of the granting agency, the federal and state governments, and the UH;
- Issuing and updating system-wide administrative procedures relating to contracts and grants management;
- Issuing and updating administrative procedures relating to contracts and grants management that may be specific to the Kaka’ako Service Center;
- Submitting proposals and negotiating award terms and conditions, when appropriate;
- Ensuring the timely processing and execution of new extramural awards, renewals, and extensions received from sponsors; and
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate UH personnel on procedural changes and/or to discuss and resolve problem areas.

Contracts & Grants Administration – Maui Service Center. Maui service center provides contracts and grants support services primary to UH faculty and staff

located on Maui, as they relate to extramural proposals and awards . While collaborating with Manoa Service Center and other service center counterpart, the Maui Service Center functions independently, reports to the Director of ORS and has independent authority, in accordance with parameters set forth by the Director. With primary emphasis on University of Hawai'i Maui College awards, but also providing support to other university campuses, departments and units as needed, functional responsibilities include:

- Collaborating with funding agencies to identify funding opportunities;
- Serving as subject matter experts and directing faculty members system-wide on potential funding opportunities;
- Advising faculty and staff on proposal preparation and submission based on funding opportunity information for their specialized areas;
- Reviewing proposals for compliance with federal, state, university and sponsor standards and requirements, as applicable;
- Identifying deficiencies, if any, and the cooperative measures necessary to remediate deficiencies;
- Interpreting and providing guidance as to federal, state, and university guidelines for proposal submission;
- Acting - through delegated authority - as the university's authorized organizational representative to sign and submit proposals and to review, approve and endorse post-award requests for modifications;
- Exercising considerable knowledge and expertise in the use of federally-mandated electronic research administration systems;
- Developing, modifying and implementing procedures to ensure University proposals are in compliance with federal, state and university guidelines;
- Keeping abreast of applicable proposal submission requirements;
- Making recommendations for update or revision to UH policies and procedures to meet federal or state mandates, or as otherwise may be necessary;
- Provide training for research faculty and staff on proposal preparation and submission
- Drafting, reviewing, and negotiating contracts between the UH and funding agencies to ensure conformity with statutory, regulatory, and university policy and procedural requirements;
- Developing, implementing, and maintaining system controls for administrative management of extramural agreements;
- Ensuring compliance with the regulations of the granting agency, the federal and state governments, and the UH;
- Issuing and updating system-wide administrative procedures relating to contracts and grants management;
- Issuing and updating administrative procedures relating to contracts and grants management that may be specific to the MauiService Center;
- Submitting proposals and negotiating award terms and conditions, when appropriate;
- Ensuring the timely processing and execution of new extramural awards, renewals, and extensions received from sponsors; and
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate UH personnel on procedural changes and/or to discuss and resolve problem areas.

Contracts & Grants Administration – West O`ahu Service Center. **West O`ahu** service center provides contracts and grants support services primary to faculty and staff located on west **O`ahu**, as they relate to extramural proposals and awards for the University of Hawai'i West O`ahu and Leeward Community College. While collaborating with Manoa Service Center and other service center counterpart, the West O`ahu Service Center functions independently, reports to the Director of ORS and has independent authority, in accordance with parameters set forth by the Director. With primary emphasis on University of West O`ahu awards, but also

providing support to other university campuses, departments and units as needed, functional responsibilities include:

- Collaborating with funding agencies to identify funding opportunities;
- Serving as subject matter experts and directing faculty members system-wide on potential funding opportunities;
- Advising faculty and staff on proposal preparation and submission based on funding opportunity information for their specialized areas;
- Reviewing proposals for compliance with federal, state, university and sponsor standards and requirements, as applicable;
- Identifying deficiencies, if any, and the cooperative measures necessary to remediate deficiencies;
- Interpreting and providing guidance as to federal, state, and university guidelines for proposal submission;
- Acting - through delegated authority - as the university's authorized organizational representative to sign and submit proposals and to review, approve and endorse post-award requests for modifications;
- Exercising considerable knowledge and expertise in the use of federally-mandated electronic research administration systems;
- Developing, modifying and implementing procedures to ensure University proposals are in compliance with federal, state and university guidelines;
- Keeping abreast of applicable proposal submission requirements;
- Making recommendations for update or revision to UH policies and procedures to meet federal or state mandates, or as otherwise may be necessary;
- Provide training for research faculty and staff on proposal preparation and submission
- Drafting, reviewing, and negotiating contracts between the UH and funding agencies to ensure conformity with statutory, regulatory, and university policy and procedural requirements;
- Developing, implementing, and maintaining system controls for administrative management of extramural agreements;
- Ensuring compliance with the regulations of the granting agency, the federal and state governments, and the UH;
- Issuing and updating system-wide administrative procedures relating to contracts and grants management;
- Issuing and updating administrative procedures relating to contracts and grants management that may be specific to the West O'ahu Service Center;
- Submitting proposals and negotiating award terms and conditions, when appropriate;
- Ensuring the timely processing and execution of new extramural awards, renewals, and extensions received from sponsors; and
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate UH personnel on procedural changes and/or to discuss and resolve problem areas.

Contracts & Grants Administration – Hilo Service Center. Hilo service center provides contracts and grants support services primary to faculty and staff located on Hawaii, as they relate to extramural proposals and awards for the University of Hawai'i at Hilo and Hawaii Community College. While collaborating with Manoa Service Center and other service center counterpart, the Hilo Service Center functions independently, reports to the Director of ORS and has independent authority, in accordance with parameters set forth by the Director. With primary emphasis on University of Hawaii at Hilo awards, but also providing support to other university campuses, departments and units as needed, functional responsibilities include:

- Collaborating with funding agencies to identify funding opportunities;

- Serving as subject matter experts and directing faculty members system-wide on potential funding opportunities;
- Advising faculty and staff on proposal preparation and submission based on funding opportunity information for their specialized areas;
- Reviewing proposals for compliance with federal, state, university and sponsor standards and requirements, as applicable;
- Identifying deficiencies, if any, and the cooperative measures necessary to remediate deficiencies;
- Interpreting and providing guidance as to federal, state, and university guidelines for proposal submission;
- Acting - through delegated authority - as the university's authorized organizational representative to sign and submit proposals and to review, approve and endorse post-award requests for modifications;
- Exercising considerable knowledge and expertise in the use of federally-mandated electronic research administration systems;
- Developing, modifying and implementing procedures to ensure University proposals are in compliance with federal, state and university guidelines;
- Keeping abreast of applicable proposal submission requirements;
- Making recommendations for update or revision to UH policies and procedures to meet federal or state mandates, or as otherwise may be necessary;
- Provide training for research faculty and staff on proposal preparation and submission
- Drafting, reviewing, and negotiating contracts between the UH and funding agencies to ensure conformity with statutory, regulatory, and university policy and procedural requirements;
- Developing, implementing, and maintaining system controls for administrative management of extramural agreements;
- Ensuring compliance with the regulations of the granting agency, the federal and state governments, and the UH;
- Issuing and updating system-wide administrative procedures relating to contracts and grants management;
- Issuing and updating administrative procedures relating to contracts and grants management that may be specific to the Hilo Service Center;
- Submitting proposals and negotiating award terms and conditions, when appropriate;
- Ensuring the timely processing and execution of new extramural awards, renewals, and extensions received from sponsors; and
- Conducting periodic training sessions, workshops and information sessions to familiarize the appropriate UH personnel on procedural changes and/or to discuss and resolve problem areas.

Compliance Section. Monitors the university's administration, finance and research compliance with UH business systems; personnel; procurement and property management; research administration; accounting and financial reporting requirements and ascertains the adequacy of the UH's efforts to conform with federal, funding agency, state, and UH policies and procedures. Functional responsibilities include:

- Reviewing financial management systems, internal controls and to ensure strict compliance with federally imposed standards and requirements;
- Reviewing departmental office records to ensure policies and procedures are adequate to provide reasonable and reliable internal controls of assets, liabilities, revenues, and expenses;
- Identifying deficiencies, if any, and the cooperative measures necessary to improve effectiveness and efficiency;
- Coordinating all functional reviews and audit examinations of federally sponsored programs conducted by Office of Naval Research, United States Department of Health and Human Services and independent public accounting firms;

- Reviewing and evaluating audit findings, coordinates the implementation of corrective actions by appropriate units, recommends improvements to established systems and procedures, and coordinates the preparation and submission of audit responses;
- Coordinating the university's internal audit to ensure external audit requirements imposed by the federal government are met;
- Ensuring expenditure compliance within funding limitations; reviews and approves cost transfers and adjustments;
- Providing counsel and guidance to principal investigators and fiscal administrators on program administrative matters including the interpretation of contract and grant terms and conditions relating to the reprogramming of project funds, allowability and allocability of costs, and the transfer or subcontracting of project scope to another college or university; and
- Ensuring that subrecipient (subaward) monitoring policies and procedures are in compliance with A-133 audit.
- Monitoring the Conflict of Interest and Financial Conflict of Interests policy and procedures to ensure it is in compliance with A-133 and sponsor's requirements.

Projects Fiscal Accounting Section. Coordinates post-award accounting, record maintenance, and cash management requirements of extramurally funded awards. There are two teams, with accountants assigned by Contracts and Grants sponsors. Each team comprises of nine (9) members, one (1) team leader who is responsible for day to day management and eight (8) accountants. Functional responsibilities include:

- Reviewing and approving requests for establishment of accounts and provides assistance to fiscal officers in setting up accounting systems and fiscal controls for all the sponsored accounts;
- Preparing and processing financial reports, billings and vouchers in accordance with contract and grant provisions specified by sponsoring agencies;
- Reviewing and calculating final indirect cost charges for contracts and grants; initiates adjusting and closing;
- Maintaining contracts, grants and cooperative agreement accounting records and files including correspondence and related documents;
- Maintaining and reconciling accounts receivables and advances for sponsors, and preparing fiscal-year end closing and adjusting entries;
- Reviewing, analyzing, and projecting cash requirements for all extramurally funded research and training contracts and grants and determines cash drawdown requirements for letter of credit and advance funding agreements;
- Coordinating and processing monthly cash advance requests and reimbursements including the reconciliation of cash advances with actual expenditures;
- Reviewing and clearing UH financial system suspense transactions daily;
- Reviewing and clearing RCUH Cash Clearing accounts;
- Reconciling interest due to the federal government on advances and requesting and submitting payments to the federal government as required;
- Reviewing and approving requests for establishment of accounts and account changes for non-ORS USDA Direct Appropriation accounts and Services Cost Center accounts;
- Providing assistance to administer close-out process of extramurally funded research and training contracts and grants; and
- Assisting with the A-133 audit as needed.

Projects Financial Services Section. Monitors and coordinates the timely processing of the close out of all extramural awards. The Financial Services unit coordinates system wide requirement for each extramurally funded project to ensure all the requirements are met based the funding agencies and the project is closed promptly and timely. The Financial Services Unit monitors, reconciles, and coordinates the

accounts receivable and collections functions for all the extramural awards Functional responsibilities include:

- Developing necessary accounting systems to accommodate financial reporting requirements imposed by the federal government and providing meaningful financial data for the review and evaluation of the financial status federally sponsored programs;
- Recording the collection of sponsored projects accounts receivable;
- Reconciling accounts receivables and preparing aging management reports;
- Developing policies and procedures for the write off of uncollectible accounts;
- Developing and Implementing effective business processes to collect, manage and reconcile receivables;
- Maintaining master files and ensuring the proper coding and deletion of inactive and terminated accounts;
- Maintaining and monitoring master files for the projects at the close out stage and providing assistance to fiscal officers and principal investigators with the close out of project accounts;
- Coordinating with the projects fiscal accounting section to prepare and process final financial reports, billings and vouchers in accordance with contract and grant provisions specified by sponsoring agencies;
- Administering accounting records and files for extramural awards, including correspondence and related documents for close out;
- Reviewing daily reports for distribution and problem resolution;
- Coordinating and assisting with the fiscal year beginning and end with the UH financial office;
- Advising with the adjusting of entries related to project close out.
- Monitoring and coordinating the close out of projects with the projects fiscal accounting section and fiscal operations personnel to ensure all the charges and receivables are reconciled, and all the financial and other reports (e.g., management, patent, copyright, property inventory, scientific, technical or other special reports) and documents are submitted to the sponsor in a timely manner;
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- Developing, modifying, and updating accounting systems that are implemented on a system-wide basis to accommodate research financial reporting requirements imposed by the federal governments and the auditors;
- Assisting in design, development, implementation, and maintenance of computer generated financial management reports;
- Assisting with the A-133 audit as needed.

Cost Studies and Rate Analysis Section. Coordinates and performs analytical studies relating to computation of federal and indirect cost rates, and other special studies as required. It also establishes policies for proper accounting treatment and allocation of costs and must monitor and revise the UH Disclosure Statement as necessary to comply with federal regulations. Functional responsibilities include:

- Preparing the indirect cost rate proposal for the UH as required;
- Coordinating the audit review process by the Division of Cost Allocation (DCA) and the Department of Health & Human Services (DHHS) and assists in the negotiations of rates;
- Assuring that the rate development process is appropriate, equitable, and in compliance with applicable federal regulations and directives;
- Reviewing, analyzing, and coordinating the submission of annual financial reports and proposed rate schedules to cognizant federal agency for review and approval; and coordinates the audit review process by DCA
- Monitoring Indirect Cost Recovered Accounts and Preparing the annual indirect cost recovered allocation reports for all campuses as requested Reconciling and transferring RTRF allocations to each campus;
- Interpreting applicable rules and regulations and providing technical support to principal investigators and fiscal administrators on cost sharing;
- Monitoring cost sharing data submitted by fiscal officers;

- Monitoring vacation reserve journal vouchers;
- Calculating unemployment insurance and vacation reserve rates and preparing fringe benefit rates schedules;
- Assisting with the A-133 audit as needed.

STATE OF HAWAII
UNIVERSITY OF HAWAII
OFFICE OF THE PRESIDENT
OFFICE OF THE VICE PRESIDENT FOR RESEARCH
AND INNOVATION
OFFICE OF TECHNOLOGY TRANSFER AND ECONOMIC DEVELOPMENT

FUNCTIONAL STATEMENT

- Manage intellectual property assets developed through research and scholarship at the University of Hawai'i to identify, develop and transfer innovative technologies to broader public use through commercial partners.
- Foster commercial investment in University technologies to turn academic research into new products and services to improve public health and welfare.
- Seek closer relationships with entrepreneurs, businesses, and investors to expand opportunities for the development and utilization of innovative new technologies.
- Market, promote and license University-owned intellectual property to generate revenues for the support of the University's technology transfer and economic development programs.
- Facilitate economic development and innovation through the education, training and research missions of the University.
- Facilitate and encourage technology transfer and economic development activities by the University of Hawai'i on a system wide basis.
- Promulgate and administer University policies to assist our faculty, students and the community-at-large achieve the goals as described in the six functional statements listed above.

Program and Administrative Functions

Intellectual Property and Technology Licensing Program

- Develop and implement the University's Intellectual Property and Technology Licensing Program, including the day-to-day administration of the University Patent and Copyright Policy.
- Work with inventors to understand their research innovations, discover commercial applications for their research, and identify companies that may be interested in working with the University to develop and commercialize innovative new technologies.
- Solicit and receive invention disclosures for discoveries and inventions from University researchers.
- Analyze the commercial potential, technical risks and market challenges of University inventions, and selectively focus on technologies where UH has competitive advantages and unique strengths
- Seek closer relations with the academic, business, venture, and technology communities to assist in the evaluation of commercial feasibility and technical and scientific merit of invention disclosures.
- Develop and implement appropriate and effective patenting, marketing, and commercialization strategies.
- In cooperation with other University offices, investigate and resolve intellectual property disputes, and develop recommendations to the President regarding intellectual property rights.
- Support related activities that contribute to the efficient operation of the office.
- Actively support the program goals of the office and the University of Hawai'i.

Economic Development and Education Program

Economic Development

- Develop and implement Business and Economic Development support programs and activities to stimulate the economic development of the state.
- Work with federal, state and local economic development organizations and the business community to channel University resources to address the needs of business and participate with local, state, and federal agencies in various economic development projects and programs.
- Work with federal, state and local economic development organizations and the business community to assist entrepreneurs in the creation of new business enterprises based on the commercial application of University-licensed intellectual property.
- Support related activities that contribute to the efficient operation of the office.
- Actively support the program goals of the office and the University of Hawai'i.

Education

- Develop and implement entrepreneurial education and support programs and activities to support the spin-off of technology business from University research.
- Foster entrepreneurship among students, faculty and staff, and in cooperation with other University and external organizations, provide training in starting and managing a technology business, obtaining needed financing, and protecting and developing intellectual property.
- Educate University administrators, faculty, staff and students in intellectual property issues and provide advice and counsel on intellectual property policies and practices.
- Support related activities that contribute to the efficient operation of the office.
- Actively support the program goals of the office and the University of Hawai'i.

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

FUNCTIONAL STATEMENT

OFFICE OF RESEARCH COMPLIANCE (ORC) – 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