



UNIVERSITY
of HAWAII®
SYSTEM

DTS # 18079

February 28, 2017

MEMORANDUM

TO: David K. Lassner
President

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

SUBJECT: Reorganization Proposal for the University of Hawai'i, Office of the Vice President for Research and Innovation (OVPRI)

SPECIFIC ACTION REQUESTED:

It is respectfully requested that you approve the proposed reorganization of the University of Hawai'i System Office of the Vice President for Research and Innovation (OVPRI).

RECOMMENDED EFFECTIVE DATE:

The recommended effective date is upon President's approval.

ADDITIONAL COST:

There will be no additional funds requested to effectuate this reorganization proposal. Any additional costs, if applicable, will be covered by OVPRI's existing budgetary allocation.

PURPOSE:

The purpose of the proposed reorganization is threefold:

1. Update the organizational structure and functional statements of the University of Hawai'i System Office of the Vice President for Research and Innovation (OVPRI);

2. Review the current organizational structure due to the recent incorporation of the Office of Research Compliance from the University of Hawai'i at Mānoa (UH Mānoa) to the UH System OVPRI;
3. Meet the expectations and desired outcomes of:
 - a) the Western Interstate Commission on Higher Education (WICHE) report dated April 30, 2015, which recommended that the University of Hawai'i's administrative effectiveness and efficiency could be improved by clearly defining and delineating the roles and responsibilities of system and campus-level administrative units;
 - b) the Board of Regent's 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;
 - c) the University of Hawai'i Strategic Directions, 2015-2021, Hawai'i Innovation Initiative (HII) goals to *"Create more high-quality jobs and diversity Hawai'i's economy by leading the development of a \$1 billion innovation, research, education and training enterprise that addresses the challenges and opportunities faced by Hawai'i and the world"*; and
 - d) the recommendations noted in the Research Compliance Task Force (RCTF) dated October 2015, which stated: 1) build an effective research community in compliance with statutes and regulations; 2) improve compliance efficiency for the UH research community that balances risks, costs, and benefits; and 3) reorganize to enable the UH research community to be more successful and efficient, while maintaining compliance with regulations.

The proposed reorganization of the OVPRI will allow the existing organization to be better suited and structured to meet the above-cited expectations and mandates. In addition, having the Office of Research Compliance (ORC), the Office of Research Services (ORS), and the Office of Technology Transfer and Economic Development (OTTED) to be situated and housed physically together in close proximity to increase the efficiency and effectiveness of a one-stop collective services approach to better service and support the research community.

BACKGROUND:

Pursuant to Regent's Policy RP 3.202 – Reorganizations, Section III. Board of Regent's Policy, Subsection A., dated September 27, 2007, and Administrative Procedure A3.101, University of Hawai'i Organizational and Functional Changes, Section 3. Approving Authority, subsection b. Approval Under Delegated Authority, dated March 2008, which provides that:

*“Authority to approve organizational changes that are not subject to BOR approval, as described in section 3.a. above, is delegated by the BOR to the President and by the President to each Vice President and Chancellor, provided that **all organizational changes must be approved two supervisory levels above where the changes are proposed and may not be further delegated.** E.g., a Chancellor may approve the consolidation of Colleges that report to Vice-Chancellors, but the reorganization of functions that report to a Chancellor just be approved by the President (or by the Vice President for Community Colleges). In addition, Presidential approval is required for reorganizations that increase expenses for executive leadership by more than \$250,000. In this context, the costs of executive leadership are considered to include all executive positions and direct support staff (e.g., secretaries, assistants), but not non-executive line management.”*

The reorganization proposal for the OVPRI has been analyzed, reviewed, and discussed with the entire OVPRI staff and consulted with all appropriate stakeholders (e.g., unions, faculty senates, UH Leadership, and BOR Committee on Research and Innovation). In addition, the proposed reorganization was a product developed and proposed by a Work Group that I constituted via memorandum dated July 18, 2016. The work group included the following OVPRI senior staff members:

- ORS Director Yaa-Yin Fong
- ORC Interim Director Leonard Gouveia, Jr.
- ORS Interim Director Darcie Yoshinaga,
- STEM Pre-Academy Administrative Services Manager Cheryl Ishii
- Academy for Creative Media Director Chris Lee
- Applied Research Laboratory Director Margo Edwards
- Office of Technology Transfer and Economic Development Technology Transfer Specialist Leigh-Ann Miyasato
- Administrative Services Director Dwight Takeno

The Work Group was charged with providing input, comments, and recommendations to the Vice President with a recommended organizational structure to meet the expectations and desired outcomes of the above-cited mandates.

ACTION RECOMMENDED:

It is recommended that you approve the proposed reorganization of the University of Hawai'i System Office of the Vice President for Research and Innovation (OVPRI) effective upon your approval.

Attachments:

- 1) Board of Regent's Policy RP 3.202 - Reorganizations
- 2) UH Administrative Procedure A3.101 – University of Hawai'i Organizational and Functional Changes
- 3) Executive Summary
- 4) Narrative
- 5) UH Allocated and Authorized BJ/BT Positions Impacted by the Reorganization
- 6) Current organizational chart and functional statements
- 7) Working organizational charts and functional statements
- 8) Proposed organizational chart and functional statements
- 9) Additional Supporting Documents (e.g., consultation letters, correspondences, and responses to the various stakeholders)

APPROVED / DISAPPROVED:



David K. Lassner
President

3/1/17

Date

Reorganization Proposal
Office of the Vice President for Research and Innovation
University of Hawai'i System Office

EXECUTIVE SUMMARY

I. Purpose:

The purpose of this reorganization is threefold:

- 1) Update the organizational structure and functional statements of the University of Hawai'i System Office of the Vice President for Research and Innovation (OVPRI);
- 2) Review the current organizational structure due to the recent incorporation of the Office of Research Compliance from the University of Hawai'i at Mānoa (UH Mānoa) to OVPRI;
- 3) Meet the expectations and desired outcomes of:
 - a) the Western Interstate Commission on Higher Education (WICHE) report dated April 30, 2015, which recommended that the University of Hawai'i's administrative effectiveness and efficiency could be improved by clearly defining and delineating the roles and responsibilities of system and campus-level administrative units;
 - b) the UH Board of Regent's directive to the UH 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;
 - c) the University of Hawai'i Strategic Directions, 2015-2021, Hawai'i Innovation Initiative (HII) goal to *"Create more high-quality jobs and diversity Hawai'i's economy by leading the development of a \$1 billion innovation, research, education and training enterprise that addresses the challenges and opportunities faced by Hawai'i and the world"*; and
 - d) the recommendations noted in the Research Compliance Task Force Report (RCTF) dated October 2015, which recommended that UH: a) Build an Effective Research Community in Compliance with Regulations; b) Improve Compliance Efficiency for the UH Research Community; and c) Reorganize to Enable the UH Research Community to be More Successful and Efficient, While Maintaining Compliance with Regulations.

II. Major Elements of the Proposal:

1. The creation of a new Fiscal and Administrative Operations unit in OVPRI (Chart I) that combines all fiscal and administrative positions to provide a shared services approach to service the entire OVPRI organization and its research community.
2. Changing the title of the Assistant Vice President for Research Compliance, Office of Research Compliance, Pos. No. 89119, to the Director of Research Compliance, to be consistent and in alignment with all other organizational unit leaders under OVPRI.
3. Creating the Office of Export Controls under the Office of Research Compliance (proposed Chart III), and having the Contracts and Grants Specialist, PBD, Pos. No. 81317, report to the newly retitled Director of Research Compliance, Pos. No. 89119, in lieu of the Vice President of Research and Innovation, Pos. No. 89538.
4. Combining the Academy for Creative Media System and the STEM Pre-Academy into a newly created Office of Strategic Initiatives to focus on projects and programs created by the Legislature and to ensure that these units achieve their performance and metrics targets.
5. Reflect the change in title and bargaining unit exclusion of Faculty Specialist, S5M11, Pos. No. 88934T, to an Executive Managerial position, Administrative Program Officer, SM-2, Pos. No. 89557, effective December 1, 2016.
6. Moving the Financial Conflicts of Interest and Commitment (FCOIC) responsibilities from the Office of Research Services, Fiscal Compliance, to the Office of Research Compliance, Office of Research Integrity; renaming the Office of Research Services, Fiscal Compliance to Financial Compliance; and moving Fiscal Support Specialist, PBB, Pos. No. 77314, from the Office of Research Services, Financial Compliance, to the Office of Research Compliance, Office of Research Integrity
7. Establishment of the Office of Innovation and Commercialization; renaming the Office of Technology Transfer and Economic Development to the Office of Technology Transfer; and the creation of the office of UH Ventures and the Strategic Grants Development Office.

III. Resource Impact:

A. Budget

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

This proposed reorganization proposal will not incur any additional cost or increase costs to the current operational budget for OVPRI.

2. *Are any additional funds needed? If so, how will the costs of the reorganization be funded?*

No.

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

It is anticipated that the proposed reorganization will be cost neutral in hard costs, with a potential for soft cost savings through the combining of fiscal and administrative services. This shared services approach will reduce and/or eliminate duplication, improve on services and the delivery of services through continuity and coverage, as well as build organizational capacity.

B. Operational

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

There will be no impact on 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?*

Additional faculty/support personnel will not be required.

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

There will be no reduction in faculty/staff due to the proposed reorganization.

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

- Assistant Vice President for Research Compliance, Pos. No. 89119 (change in title to Director of Research Compliance). No change in organizational segment.
- Director of Administrative Services, Pos. No.77119T (change in organization segment OVPRI to OVPRI Fiscal and Administrative Operations; change in working title from Director of Administrative Services to Senior Administrative Services Manager; and new supervisory responsibilities)
- Administrative Services Manager, Pos. No. 77804 (change in organizational segment OVPRI to OVPRI Fiscal and Administrative Operations and supervisor)
- Administrative Officer, Pos. No. 80038 (change in organizational segment OVPRI to OVPRI Fiscal and Administrative Operations and supervisor)

- Administrative and Fiscal Support, Pos. No. 77226T (change in organizational segment OVPRI to OVPRI Fiscal and Administrative Operations)
- Administrative Officer, Pos. No. 81901 (change in organizational segment OVPRI to OVPRI Fiscal and Administrative Operations)
- Administrative Services Manager, Pos. No. 80161 (change in organizational segment ORS Administrative Operations to OVPRI Fiscal and Administrative Operations and supervisor)
- Administrative and Fiscal Support, Pos. No. 78836(W) (change in organizational segment ORS Administrative Operations to OVPRI Fiscal and Administrative Operations)
- Human Resources Specialist, Pos. No. 81855 (change in organizational segment ORS Administrative Operations to OVPRI Fiscal and Administrative Operations)
- Clerk, #101845T (change in organizational segment ORS Administrative Operations to OVPRI Fiscal and Administrative Operations)
- Administrative Officer, Pos. No. 77571 (change in organizational segment STEM Pre-Academy to OVPRI Fiscal and Administrative Operations and supervisor)
- Administrative Officer, Pos. No. 80504 (change in organizational segment ORC Animal and Veterinary Services Program to OVPRI Fiscal and Administrative Operations and supervisor)
- Administrative and Fiscal Support, Pos. No. 84131 (change in organizational segment ORC Animal and Veterinary Services Program to OVPRI Fiscal and Administrative Operations and supervisor)
- Information Technology Specialist, Pos. No. 80419T (change in organizational segment OVPRI to OVPRI Fiscal and Administrative Operations and supervisor)
- Information Technology Specialist, Pos. No. 79392T (change in organizational segment ORC to OVPRI Fiscal and Administrative Operations and supervisor)
- Operations Coordinator, Pos. No. 79304T (change in organizational segment OVPRI to OVPRI Fiscal and Administrative Operations and supervisor)
- Fiscal Specialist, Pos. No. 77314 (change in organizational segment ORS Fiscal Compliance to ORC Office of Research Integrity and supervisor)
- Director, Pos. No. 89435 (change in organizational segment Office of Technology Transfer and Economic Development to Office of Innovation and Commercialization and supervisor)
- Administrative Assistant, Pos. No. 81300T (change in organizational segment Office of Technology Transfer and Economic Development to Office of Innovation and Commercialization)
- Technology Transfer Specialist, Pos. No. 81914T (change in organizational segment Office of Technology Transfer and Economic Development to Office of Technology Transfer)

- Technology Transfer Specialist, Pos. No. 77309 (change in organizational segment Office of Technology Transfer and Economic Development to Office of Technology Transfer)
- Technology Transfer Specialist, Pos. No. 79254T (change in organizational segment Office of Technology Transfer and Economic Development to Office of Technology Transfer)
- Technology Transfer Specialist, Pos. No. 81969T (change in organizational segment Office of Technology Transfer and Economic Development to Office of Technology Transfer)
- Technology Transfer Specialist, Pos. No. 78177T (change in organizational segment Office of Technology Transfer and Economic Development to Office of Technology Transfer)
- Technology Transfer Specialist, Pos. No. 79585T (change in organizational segment Office of Technology Transfer and Economic Development to Office of Technology Transfer)
- Director of ACM, Pos. No. 88934T (change in supervisor, change in position number to Pos. No. 89557, and change from BU-07 to excluded E/M). Remaining in ACM and change in organizational segment.
- Administrative Services Manager, Pos. No. 77694 (change in supervisor). Remaining in STEM and no change in organizational segment.
- Research Associate, Pos. No. 80751 (change in working title from ORC Director of Human Studies Program to ORC Human Studies Program Manager)
- Research Associate, Pos. No. 81657 (change in working title from ORC Director of Animal Welfare and ORC Biosafety Program to Animal Welfare and Biosafety Program Manager)
- Faculty Specialist, Pos. No. 86262 (change in working title from ORC Director of Animal and ORC Veterinary Services Program to Animal and Veterinary Services Program Manager)
- Research Associate, Pos. No. 79509T (change in working title from ORC Director of Office of Research Integrity to ORC Office of Research Integrity Manager)
- Contracts and Grants Specialist, Pos. No. 81317 (change in working title from ORC Director of Export Controls to ORC Export Controls Manager)
- Fiscal Manager, Pos. No. 80379 (change in working title from ORS Associate Director of Cost Studies to ORS Cost Studies and Rate Analysis Manager)

C. Space

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

No. The proposed organization is merely a re-structuring of the OVPRI organization.

IV. Consultation:

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

Executive Leadership at both the UH System and campus levels (e.g., UH President, Vice Presidents, and Chancellors) were consulted with regard to the subject proposal; no comments in opposition were received.

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

The **Hawai'i Government Employees Association (HGEA)** and the **University of Hawai'i Professional Assembly (UHPA)** were consulted pursuant to statutory and contractual requirements.

V. Implementation:

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

This proposed reorganization will be implemented upon approval by the UH President.

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 OVPRI's organizational charts do not currently reflect its current operations and organizational structure. Since 2013, the organizational charts only reflected the Office of Research Services (ORS), the Office of Technology Transfer and Economic Development (OTTED) and University Connections. However, organizationally OVPRI also includes oversight over the Applied Research Laboratory at the University of Hawai'i (ARL at UH) that was created in July 2008, the Office of Export Controls (OEC) that was created in 2011, and the Academy for Creative Media (ACM) and the STEM Pre-Academy -- which were both created by the Legislature under Act 134, SLH 2013.

In April 2014, Vassilis L. Syrmos, Vice President for Research and Innovation, established the Research Compliance Task Force (RCTF) in response to a request by the UH System Research Advisory Board (RAB) in "*...recognizing the need to reduce the administrative burdens associated with the inefficiencies in the UH research compliance system.*" 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 UH research compliance procedures and processes.

In April 2014, the Western Interstate Commission on Higher Education (WICHE) Report recommended that UH's administrative efficiency could be improved by clearly defining and delineating the roles and responsibilities of System and campus-level administrative units. In response, the UH Board of Regents directed the UH President 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.

In August 2015, a proposed organization was approved by the UH President, that transferred the Office of Research Compliance (ORC) from the Office of the Vice Chancellor for Research (OVCR), University of Hawai'i at Mānoa (UH Mānoa), to the UH System OVPRI, in an effort to improve research services, support and compliance functions system-wide.

In October 2015, the RCTF issued their report with the recommendations that UH:

- a) Build an effective research Community in compliance with statutes and regulations;
- b) Improve compliance efficiency for the UH research community that balances risks, costs, and benefits; and
- c) Reorganize to enable the UH research community to be more successful and efficient, while maintaining compliance with regulations.

In addition, the University of Hawai'i Strategic Directions, 2015-2021, Hawai'i Innovation Initiative (HII) goals, has directed UH to *"Create more high-quality jobs and diversify Hawai'i's economy by leading the development of a \$1 billion innovation, research, education and training enterprise that addresses the challenges and opportunities faced by Hawai'i and the world."*

In November 2016, as part of the approved August 2015 ORC reorganization to OVPRI, the ORC staff physically moved from the Biomedical Services Building to Sinclair 10, where the OEC, ORS, OTTED and OVPRI administrative staff are currently located.

Based on the above series of events, OVPRI believes it is an ideal time and in the best interest of the University for the organizational structure and functional statements to be updated and be reviewed to reflect the office's new program requirements, changes to the workplace environment, and its new initiatives and directives.

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

The proposed reorganization will create a new Fiscal and Administrative Operations unit in OVPRI that will provide a shared services approach for fiscal, administrative, human resources, information technology, legislative and performance metric/analysis services. All such related positions and functions across all OVPRI units will be consolidated into the new Fiscal and Administrative Operations unit. The shared services approach will address the reduction and elimination in duplication of services, improve the delivery and consistency of services through continuity and coverage, as well as building organizational capacity.

The proposal will also combine the Office of Export Controls (OEC) into the existing ORC and move the Financial Conflicts of Interest and Commitment (FCOIC) unit from the ORS Fiscal Compliance unit, to the ORC Office of Research Integrity. The consolidation of these units will a) improve the compliance efficiencies for risks, costs, and benefits of the UH research community, b) improve the compliance efficiencies for the UH research community, and c) enable the UH

research community to be more productive and efficient while still complying with rules and regulations.

The placement of ACM System and STEM Pre-Academy under the aegis of the newly created Office of Strategic Initiatives will allow for better oversight, planning, and strategic development to ensure that these entities achieve their target objectives. For ACM System, the unit's goal is to build upon its highly successful creative media program to provide employment opportunities and living wage jobs in Hawai'i. The STEM Pre-Academy's mission is to foster inspiration and relevance in science, technology, engineering, and mathematics (STEM) through various initiatives in collaboration with public educators to develop and implement research and technology based curriculum for elementary, middle and high school students.

Under the proposed reorganization, a new Office of Innovation and Commercialization (OIC) will be created. OIC will retain OTTED's intellectual property and technology licensing functions under a new unit called the Office of Technology Transfer. The economic development and education functions formerly under OTTED will be moved to a new UH Ventures unit and a new Strategic Grants Development Office will be created under OIC.

The Office of Technology Transfer will be responsible for the management of intellectual property assets and the transfer of new technology. The functions of intellectual property and technology licensing, economic development and education will continue unchanged and commercial partnerships will be handled by a new UH Ventures unit – that will also have oversight over UH's accelerator programs like XLR8UH. Additionally, UH Ventures will be responsible for seeking small business partnership opportunities for faculty through Small Business Innovation Research and Small Business Technology Transfer (SBIR/STTR) initiatives administered by the U.S. Small Business Administration.

The Strategic Grants Development Office will be responsible for assisting and mentoring faculty, students, post-docs and alumni in developing and applying for grants and research funding, including large, multi-investigator grants.

These changes to the organizational structure will better enable OVPRI to fulfill its commitment to the Hawai'i Innovation Initiative, one of four priorities set forth in the University of Hawai'i Strategic Directions, 2015-2021.

- 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 UH.**

The proposed organization of OVPRI will create a more effective and efficient organizational structure and a one-stop service center for the UH research community system-wide by leveraging the advantages of centralized and shared services to maximize efficiencies, responsiveness and consistency to all internal (UH faculty, staff, and students) and external (e.g., state and federal government, community, private organizations, etc.) constituents. The proposed organizational structure will help address all three (3) recommendations by the RCTF, as well as to define clear lines of authority and responsibility, minimize duplication of effort, and improve on efficiencies and effectiveness of current services.

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

Refer to 2. and 3. above.

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

The centralization and consolidation of services will result in long-term resource savings and requirements for OVPRI. The reorganization will eliminate the necessity to enter into temporary or emergency hire contracts – since the workload can be easily distributed among cross-trained employees.

- 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.**

There will be no additional resources required for OVPRI to implement the proposed reorganization. All positions, functions and services are already under OVPRI oversight, and no new positions, equipment, revenue or office space will be required.

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

Refer to 1. above.

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

Program Title: Office of the Vice President for Research and Innovation

Item No.	Chart No.(s)	Affected Position No.(s)	Classification/Organizational/Functional Change		Basis for Change/ Impact on Position
			From:	To:	
1	I	77119T	OVPRI (F)	Fiscal and Administrative Operations (F)	New supervisory duties/unit/working title Change in supervisor/unit Change in supervisor/unit Change in supervisor/unit Change in unit Change in supervisor/unit Change in supervisor/unit Change in unit Change in unit Change in unit Change in supervisor/unit Change in supervisor/unit Change in supervisor/unit Change in unit Change in supervisor/unit
		77804	OVPRI (F)	Fiscal and Administrative Operations (F)	
		80038	OVPRI (F)	Fiscal and Administrative Operations (F)	
		77226T	OVPRI (F)	Fiscal and Administrative Operations (F)	
		81901	ORC (F)	Fiscal and Administrative Operations (F)	
		80161	ORS (F)	Fiscal and Administrative Operations (F)	
		78836	ORS (F)	Fiscal and Administrative Operations (F)	
		81855	ORS (F)	Fiscal and Administrative Operations (F)	
		101845T	ORS (F)	Fiscal and Administrative Operations (F)	
		77571	STEM Pre-Academy (F)	Fiscal and Administrative Operations (F)	
		80504	ORC (V)	Fiscal and Administrative Operations (V)	
		81431	ORC (V)	Fiscal and Administrative Operations (V)	
		80419T	OVPRI (F)	Fiscal and Administrative Operations (F)	
		79392T	ORC (F)	Fiscal and Administrative Operations (F)	
79304T	OVPRI (F)	Fiscal and Administrative Operations (F)			
2	II	80379	ORS (F)	ORS (F)	Change in working title to Manager
3	III	89119	ORC (V)	ORC (V)	Change in title to Director
		80751	ORC (F)	ORC (F)	Change in working title to Manager
		79509T	ORC (V)	ORC (V)	Change in working title to Manager
		81657	ORC (F)	ORC (F)	Change in working title to Manager
		86262	ORC (F)	ORC (F)	Change in working title to Manager
		81317	OVPRI (F)	Export Controls (F)	Change in supervisor/unit/working title
77314	ORS (F)	Research Integrity Program (F)	Change in supervisor/unit		
4	IV	89435	OTTED (V)	Office of Technology Transfer (V)	Change in supervisor/unit
		81300T	OTTED (F)	Office of Technology Transfer (F)	Change in unit
		81914T	Intellectual Property/Tech Lic. Program (V)	Office of Technology Transfer (V)	Change in unit
		77309	Intellectual Property/Tech Lic. Program (V)	Office of Technology Transfer (V)	Change in unit
		79254T	Intellectual Property/Tech Lic. Program (F)	Office of Technology Transfer (F)	Change in unit
		81969T	Intellectual Property/Tech Lic. Program (F)	Office of Technology Transfer (F)	Change in unit
		78177T	Intellectual Property/Tech Lic. Program (F)	Office of Technology Transfer (F)	Change in unit
		79585T	Intellectual Property/Tech Lic. Program (F)	Office of Technology Transfer (F)	Change in unit
5	V	88934T	ACM (F)	Office of Strategic Initiatives (F)	Change in supervisor & changed to E/M #89557
		77694	STEM (F)	STEM (F)	Change in supervisor

Administrator's Signature, Name and Title _____

Date _____

Telephone Number _____

HR Review _____
 OFA Review _____

CURRENT

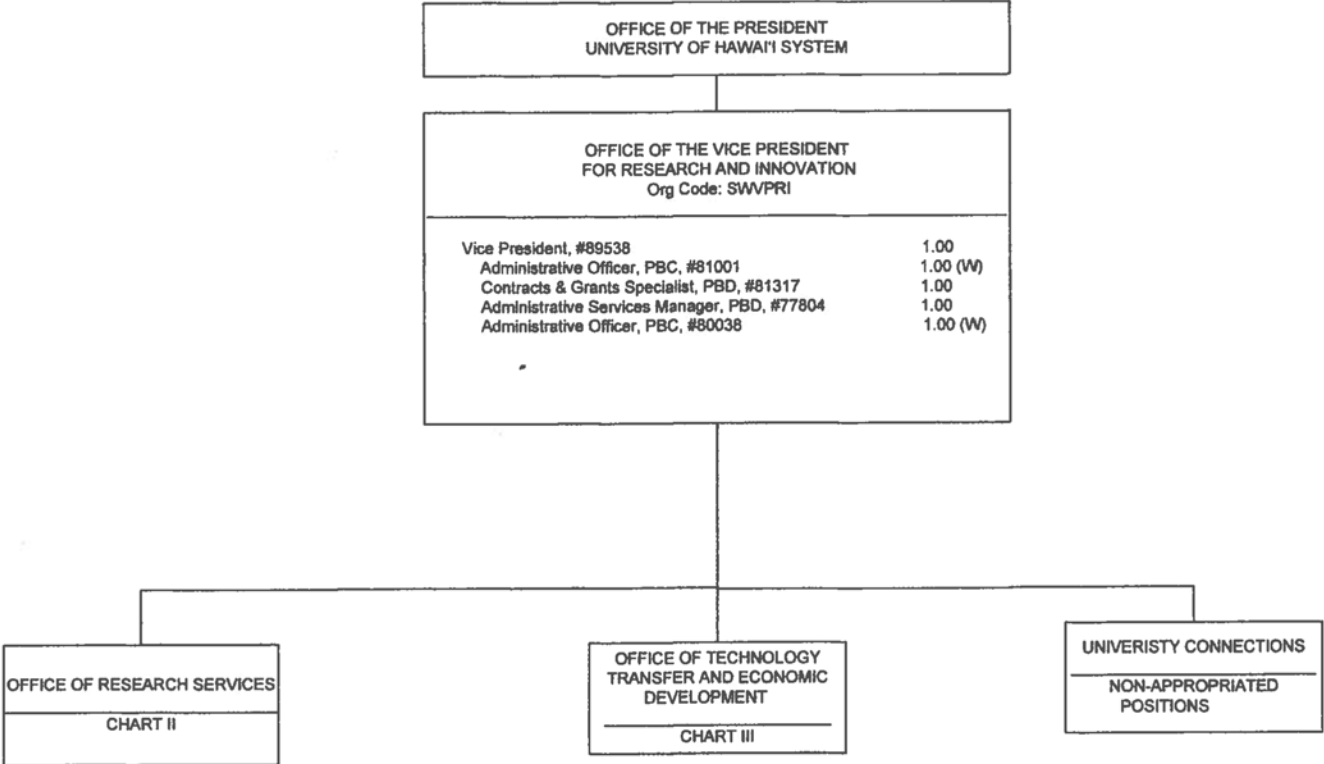
Organizational Chart and Functional
Statement

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



OFFICE OF THE PRESIDENT
UNIVERSITY OF HAWAII SYSTEM

OFFICE OF THE VICE PRESIDENT
FOR RESEARCH AND INNOVATION
Org Code: SWVPRI

Vice President, #89538	1.00
Administrative Officer, PBC, #81001	1.00 (W)
Contracts & Grants Specialist, PBD, #81317	1.00
Administrative Services Manager, PBD, #77804	1.00
Administrative Officer, PBC, #80038	1.00 (W)

OFFICE OF RESEARCH SERVICES
CHART II

OFFICE OF TECHNOLOGY
TRANSFER AND ECONOMIC
DEVELOPMENT
CHART III

UNIVERSITY CONNECTIONS
NON-APPROPRIATED
POSITIONS

General Fund: 21.00
 Revolving Fund (W): 2.00

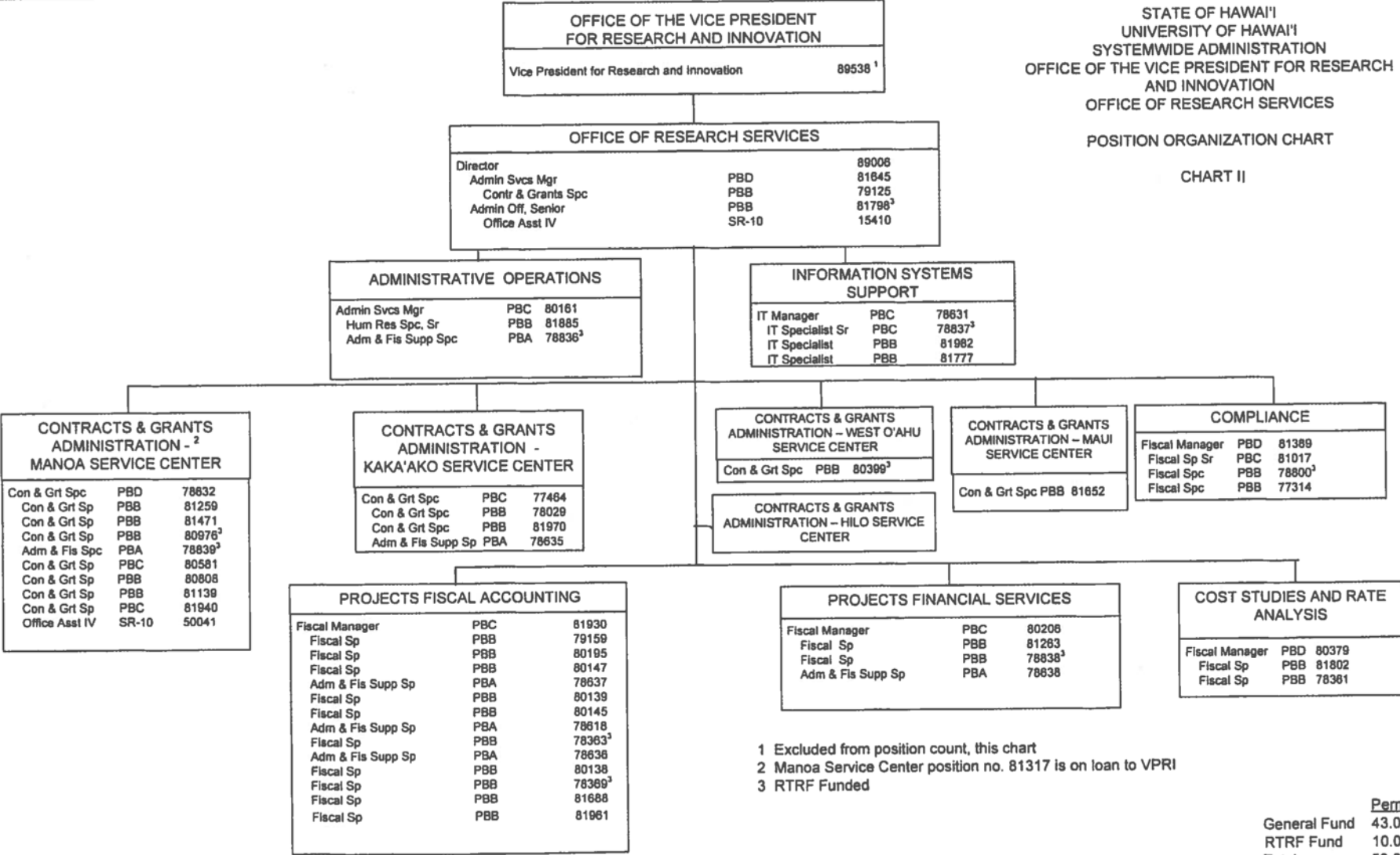
Appropriated, pending reorganization, 8.00 General Fund (A) Positions: 77571, 77294, 77862, 78020, 77694, 80151, 78129, 78459

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

CHART UPDATED
DATE: July 1, 2015

STATE OF HAWAII
 UNIVERSITY OF HAWAII
 SYSTEMWIDE ADMINISTRATION
 OFFICE OF THE VICE PRESIDENT FOR RESEARCH AND INNOVATION
 OFFICE OF RESEARCH SERVICES
 POSITION ORGANIZATION CHART

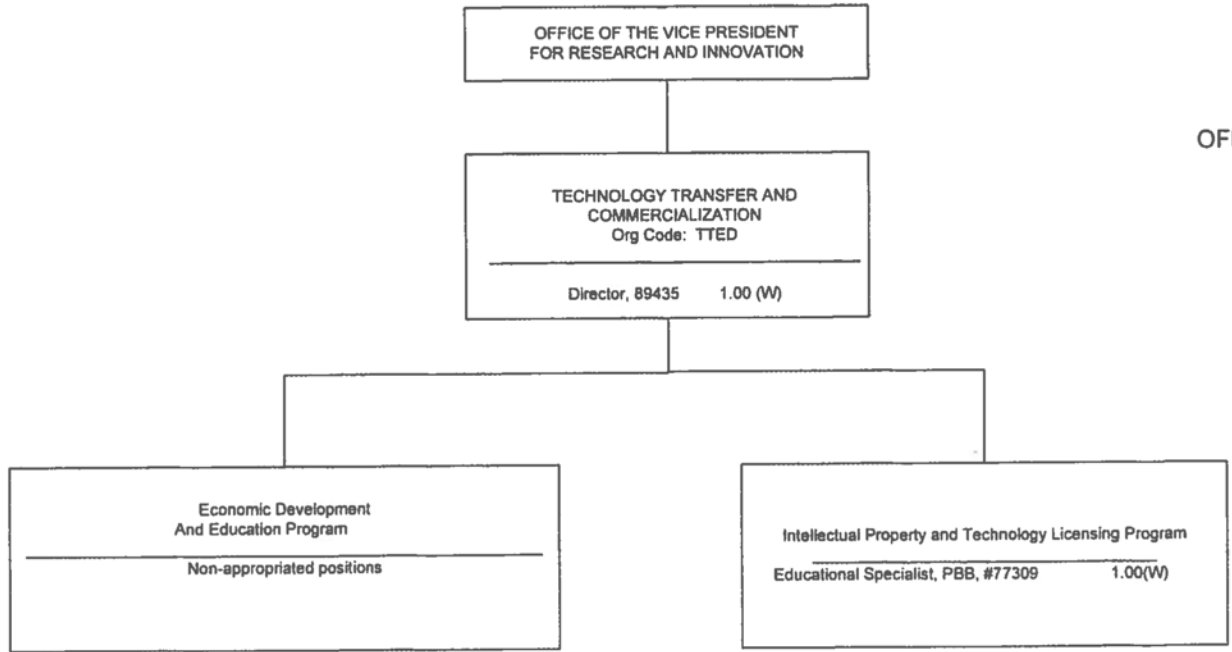
CHART II



1 Excluded from position count, this chart
 2 Manoa Service Center position no. 81317 is on loan to VPRI
 3 RTRF Funded

	Perm
General Fund	43.00
RTRF Fund	10.00
Total	53.00

CHART UPDATED
DATE: July 1, 2015



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

General Fund: 0.00
Revolving Fund (W): 2.00

STATE OF HAWAII
UNIVERSITY OF HAWAII
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.

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 a 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 Quali-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 of 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;
-
- 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
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.

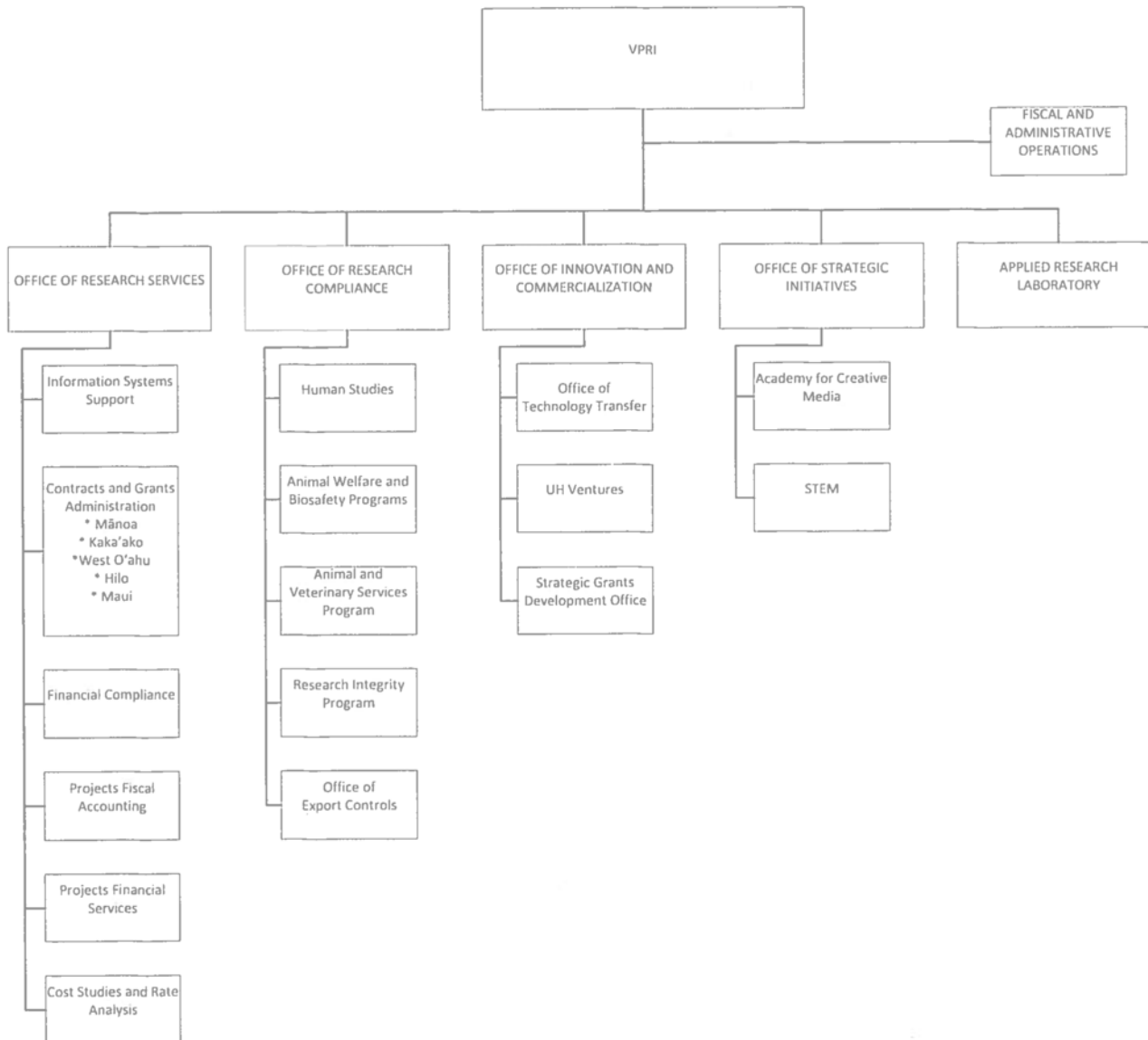
Education

- 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.

PROPOSED

Organizational Chart and Functional
Statement

Vice President for Research and
Innovation



PROPOSED
 STATE OF HAWAI'I
 UNIVERSITY OF HAWAI'I
 OFFICE OF THE VICE PRESIDENT
 FOR RESEARCH AND INNOVATION
 POSITION ORGANIZATION CHART
 SUMMARY

APPROVED:

03/01/2017

Vassilis L. Syrmos
 Vice President for Research and Innovation

OFFICE OF THE PRESIDENT
UNIVERSITY OF HAWAI'I SYSTEM

OFFICE OF THE VICE PRESIDENT FOR RESEARCH AND INNOVATION
Org Code: SWVPRI

Vice President, #89538 1.00
Administrative Officer, PBC, #81001 1.00 (W)
Associate VP, TBD

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

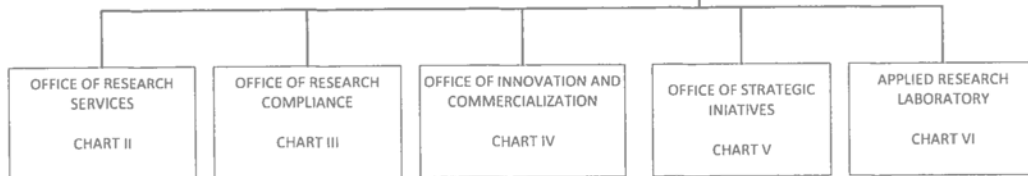
POSITION ORGANIZATION CHART I

FISCAL AND ADMINISTRATIVE OPERATIONS

Administrative Services Manager, PBD, #77804 1.00

Administrative Officer, PBC, #80038 1.00 (W)
Administrative Officer, Senior, PBB, #81901 1.00 (B)
Administrative Officer, PBB, #77571 1.00
Admin and Fiscal Support, PBA, #78836 1.00 (W)
Administrative Officer, PBB, #80504 1.00 (B)
Admin and Fiscal Support, PBA, #81431 1.00 (B)

Administrative Services Manager, PBB, #80161 1.00
Human Res Spc. Sr, PBB, #81885 1.00



5.00 Perm
3.00 Perm (W)
3.00 Perm (B)

APPROVED:

03/01/2017

Vassilis L. Syrmos
Vice President for Research and Innovation

OFFICE OF THE VICE PRESIDENT
FOR RESEARCH AND INNOVATION

OFFICE OF RESEARCH SERVICES

Director, #89006	1.00
Admin Svcs Mgr, PBD, #81645	1.00
Admin Off, Senior, PBB, #81798	1.00 (W)
Office Asst IV, SR-10, #15410	1.00

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

POSITION ORGANIZATION CHART

CHART II

INFORMATION SYSTEMS SUPPORT

IT Manager, PBC, #78631	1.00
IT Specialist Sr, PBC, #78837	1.00 (W)
IT Specialist, PBB, #81982	1.00
IT Specialist, PBB, #81777	1.00

CONTRACTS & GRANTS ADMINISTRATION
HILO SERVICE CENTER

NON-APPROPRIATED POSITIONS

COST STUDIES AND RATE ANALYSIS

Fiscal Manager, PBD, #80379	1.00
Fiscal Sp, PBB, #81802	1.00
Fiscal Sp, PBB, #78361	1.00

PROJECTS FINANCIAL SERVICES

Fiscal Manager, PBC, #80206	1.00
Fiscal Sp, PBB, #81263	1.00
Fiscal Sp, PBB, # 78838	1.00 (W)
Adm & Fis Supp Sp, PBA, #78638	1.00

CONTRACTS & GRANTS ADMINISTRATION
MĀNOA SERVICE CENTER

Con & Grt Spc, PBD, #78632	1.00
Con & Grt Sp, PBB, #81259	1.00
Con & Grt Sp, PBB, #81471	1.00
Con & Grt Sp, PBB, #80976	1.00 (W)
Adm & Fis Sp, PBA, #78839	1.00 (W)
Con & Grt Sp, PBC, #80581	1.00
Con & Grt Sp, PBB, #80808	1.00
Con & Grt Sp, PBB, #81139	1.00
Con & Grt Sp, PBC, #81940	1.00
Office Asst IV, SR-10, #50041	1.00
Con & Grt Sp, PBB, #79125	1.00

CONTRACTS & GRANTS ADMINISTRATION
MAUI SERVICE CENTER

Con & Grt Spc, PBB, #81652	1.00
----------------------------	------

PROJECTS FISCAL ACCOUNTING

Fiscal Manager, PBC, #81930	1.00
Fiscal Sp, PBB, #79159	1.00
Fiscal Sp, PBB, #80195	1.00
Fiscal Sp, PBA, #80147	1.00
Adm & Fis Supp Sp, PBA, #78637	1.00
Fiscal Sp, PBB, #80139	1.00
Fiscal Sp, PBB, #80145	1.00
Adm & Fis Supp Sp, PBA, #78618	1.00
Fiscal Sp, PBB, #78363	1.00(W)
Adm & Fis Supp Sp, PBA, #78636	1.00
Fiscal Sp, PBB, #80138	1.00
Fiscal Sp, PBB, #78369	1.00(W)
Fiscal Sp, PBB, #81688	1.00
Fiscal Sp, PBB, #81961	1.00

FINANCIAL COMPLIANCE

Fiscal Manager, PBD, #81389	1.00
Fiscal Sp Sr, PBC, #81017	1.00
Fiscal Spc, PBB, #78800	1.00 (W)

CONTRACTS & GRANTS ADMINISTRATION
KAKA'AKO SERVICE CENTER

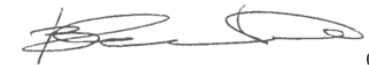
Con & Grt Spc, PBC, #77464	1.00
Con & Grt Spc, PBB, #78029	1.00
Con & Grt Spc, PBB, #81970	1.00
Adm & Fis Supp Sp, PBA, #78635	1.00

CONTRACTS & GRANTS ADMINISTRATION
WEST O'AHU SERVICE CENTER

Con & Grt Sp, PBB, #80399	1.00 (W)
---------------------------	----------

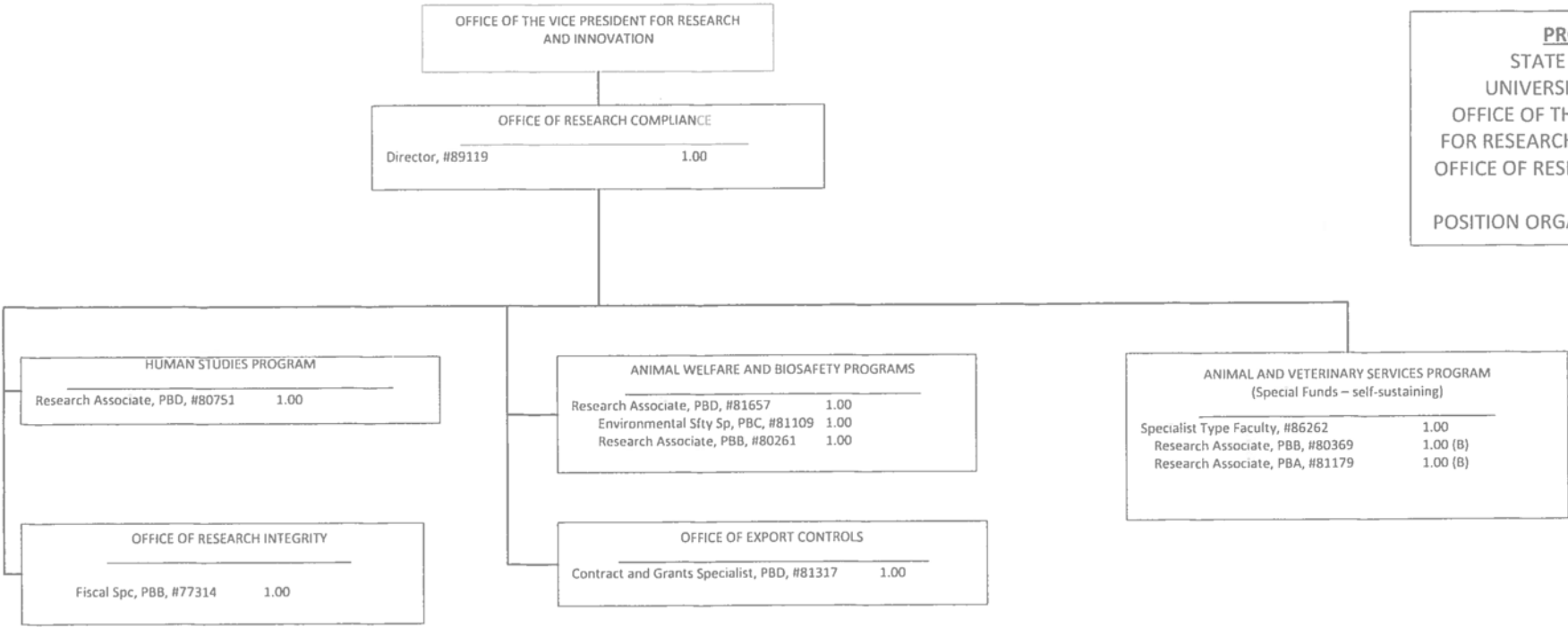
40.00 Perm
9.00 Perm (W)

APPROVED:



03/01/2017

Vassilis L. Symros
Vice President for Research and Innovation



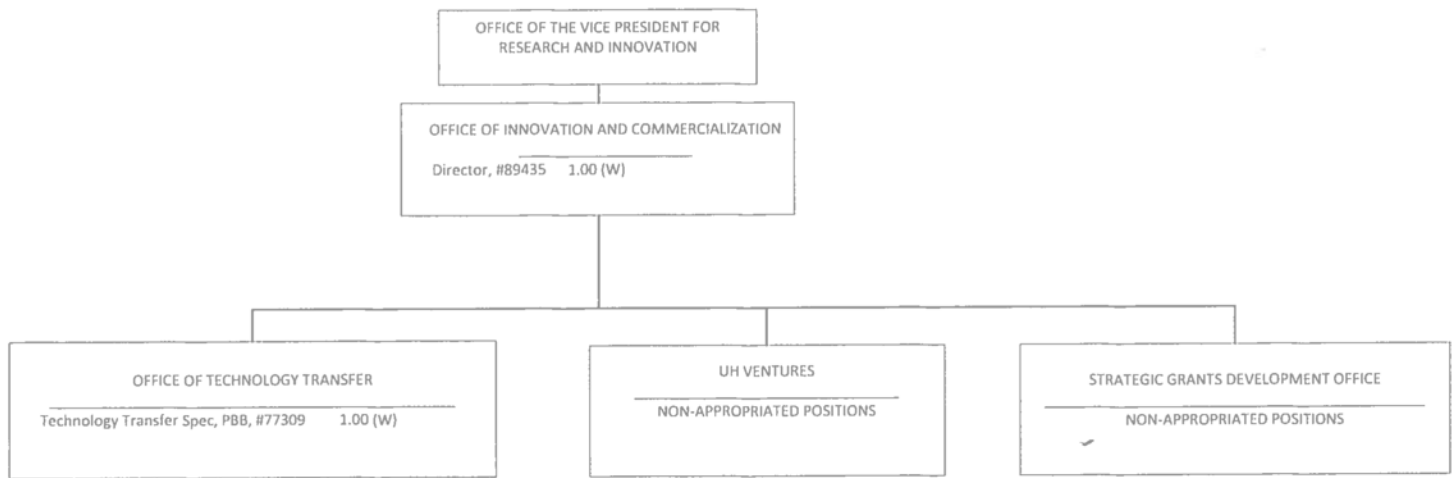
PROPOSED
 STATE OF HAWAI'I
 UNIVERSITY OF HAWAI'I
 OFFICE OF THE VICE PRESIDENT
 FOR RESEARCH AND INNOVATION
 OFFICE OF RESEARCH COMPLIANCE
 POSITION ORGANIZATION CHART III

8.00 Perm
 2.00 Perm (B)

APPROVED:

03/01/2017

Vassilis L. Syrmos
 Vice President for Research and Innovation



PROPOSED
 STATE OF HAWAI'I
 UNIVERSITY OF HAWAI'I
 OFFICE OF THE VICE PRESIDENT
 FOR RESEARCH AND INNOVATION
 OFFICE OF INNOVATION AND
 COMMERCIALIZATION
 POSITION ORGANIZATION CHART IV

2.00 Perm (W)

APPROVED:

03/01/2017

Vassilis L. Syrmos
 Vice President for Research and Innovation

OFFICE OF THE VICE PRESIDENT FOR
RESEARCH AND INNOVATION

OFFICE OF STRATEGIC INITIATIVES
Director, TBD *

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

POSITION ORGANIZATION CHART V

STEM PRE-ACADEMY	
Administrative Services Manager, PBC, #77694	1.00
Administrative Assistant, PBB, #78129	1.00
Program Manager, PBB, #78020	1.00
Program Specialist, PBB, #77294	1.00
Program Specialist, PBB, #78459	1.00
Program Specialist, PBA, #77862	1.00
Web Developer, PBB, #80151	1.00

ACADEMY FOR CREATIVE MEDIA	
Director, #89557	1.00
Administrative Officer, PBB, #80272	1.00

ACADEMY FOR CREATIVE MEDIA INSTRUCTIONAL FACULTY & SUPPORT ***†		
Assistant Professor (Creative Media – Transmedia, Film, Television & Digital Media Tracks), #76308	1.00	UHWO
Assistant Professor of Creative Media (Game Design), #76310	1.00	UHWO
Instructor (Creative Media), #76311	1.00	UHWO
Academic Support (Lab Manager), PBA, #80615	1.00	UHWO
Instructor (MELE-Music & Entertainment Learning Experience), #86721	1.00	Honolulu CC
Instructor in Digital Media, #86736	1.00	Leeward CC
Instructor in Art (New Media Arts), #86739	1.00	Kapiolani CC

9.00 Perm

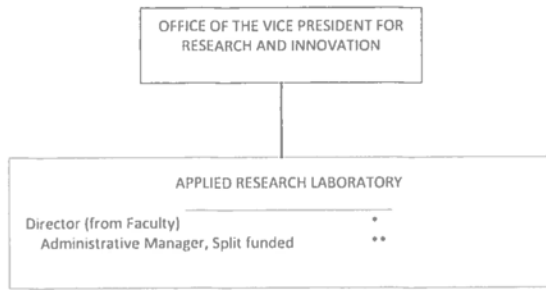
* not included in position count
** Positions and reporting reside with campuses
† 1.00 Faculty Position (#70286) permanently transferred to UHM College of Engineering in 2016 Legislative session.

APPROVED:



03/01/2017

Vassilis L. Syrmos
Vice President for Research and Innovation



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

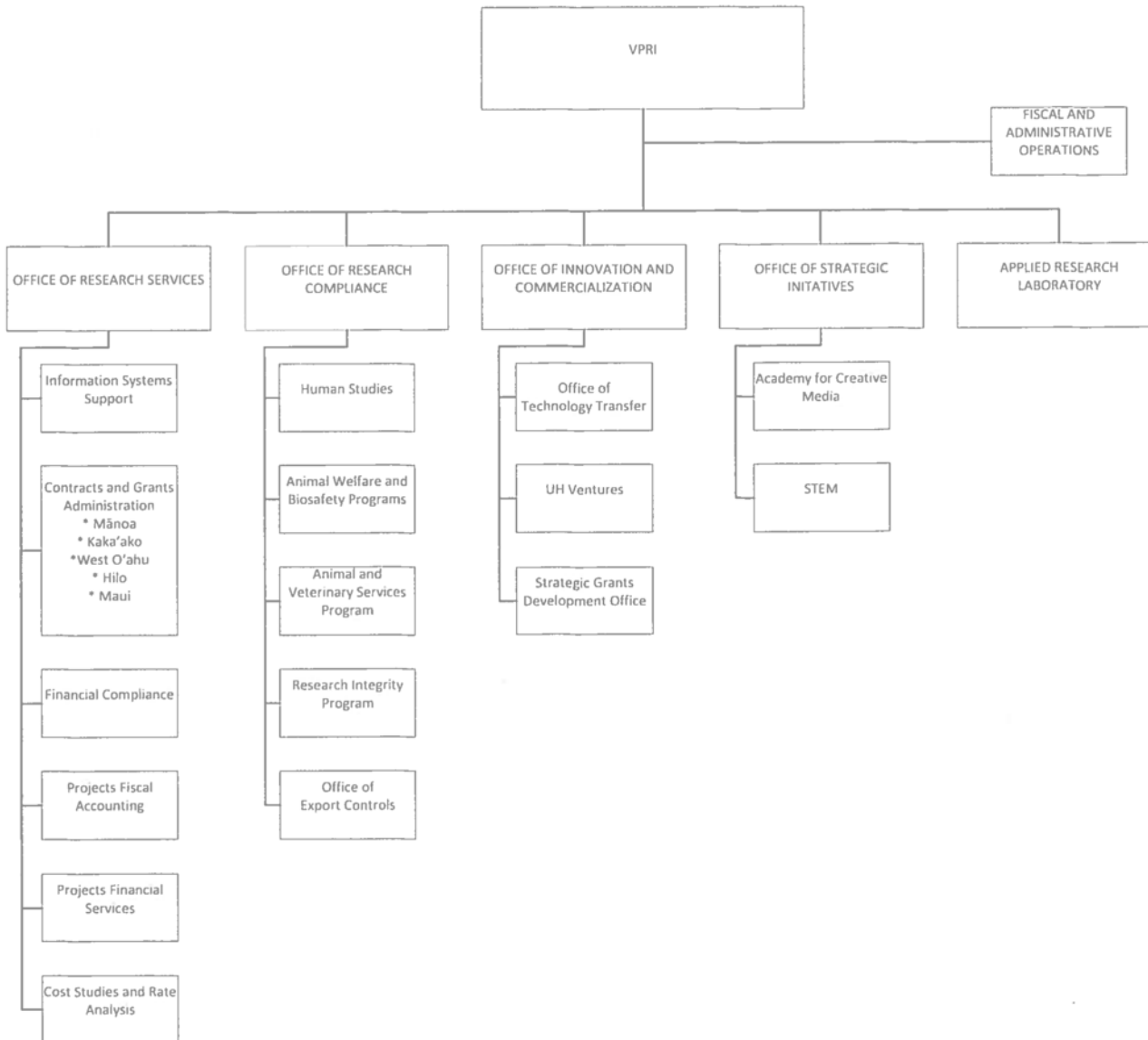
POSITION ORGANIZATION CHART VI

- * From Faculty
- ** Split funded w/Current Position

APPROVED:

03/01/2017

Vassilis L. Syrmos
 Vice President for Research and Innovation



WORKING PROPOSED
 STATE OF HAWAI'I
 UNIVERSITY OF HAWAI'I
 OFFICE OF THE VICE PRESIDENT
 FOR RESEARCH AND INNOVATION
 POSITION ORGANIZATION CHART
 SUMMARY

APPROVED:

03/01/2017

Vassilis L. Syrmos
 Vice President for Research and Innovation

OFFICE OF THE PRESIDENT
UNIVERSITY OF HAWAII SYSTEM

OFFICE OF THE VICE PRESIDENT FOR RESEARCH AND INNOVATION
Org Code: SWVPRI

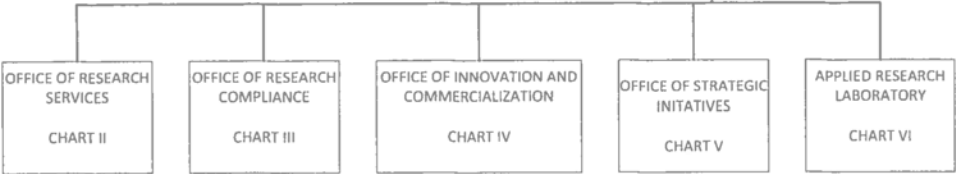
Vice President, #89538	1.00
Administrative Officer, PBC, #81001	1.00 (W)
Associate VP, #89471T	1.00 (T)
Associate VP, TBD	
Director, RCUH	1.00 (R)
Senior Advisor, RCUH	1.00 (R)
Special Advisor, RCUH	0.20 (R)

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

POSITION ORGANIZATION CHART I

FISCAL AND ADMINISTRATIVE OPERATIONS

Director of Administration, PBD, #77119T	1.00 (T)
Administrative Services Manager, PBD, #77804	1.00
Administrative Officer, PBC, #80038	1.00 (W)
Admin and Fiscal Support, PBA, #77226T	1.00 (T)
Administrative Officer, Senior, PBB, #81901	1.00 (B)
Administrative Officer, PBB, #77571	1.00
Admin and Fiscal Support, PBA, #78836	1.00 (W)
Administrative Officer, PBB, #80504	1.00 (B)
Admin and Fiscal Support, PBA, #81431	1.00 (B)
Administrative Services Manager, PBB, #80161	1.00
Human Res Spc. Sr, PBB, #81885	1.00
Clerk, SR-04, #101845	1.00 (T)
Information Technology Specialist, PBB, #80419T	1.00 (T)
Information Technology Specialist, PBB, #79392T	1.00 (T)
Operations Coordinator, PBB, #79304T	1.00 (T)



5.00 Perm
3.00 Perm (W)
3.00 Perm (B)
7.00 Temp (T)
2.20 RCUH (R)

* not included in count

APPROVED:

03/01/2017

Vassilis L. Syrmos
Vice President for Research and Innovation

OFFICE OF THE VICE PRESIDENT
FOR RESEARCH AND INNOVATION

OFFICE OF RESEARCH SERVICES

Director, #89006	1.00
Admin Svcs Mgr, PBD, #81645	1.00
Admin Off, Senior, PBB, #81798	1.00 (W)
Office Asst IV, SR-10, #15410	1.00

WORKING PROPOSED
STATE OF HAWAII
UNIVERSITY OF HAWAII
OFFICE OF THE PRESIDENT
OFFICE OF THE VICE PRESIDENT FOR RESEARCH
AND INNOVATION
OFFICE OF RESEARCH SERVICES
POSITION ORGANIZATION CHART

CHART II

INFORMATION SYSTEMS SUPPORT

IT Manager, PBC, #78631	1.00
IT Specialist Sr, PBC, #78837	1.00 (W)
IT Specialist, PBB, #81982	1.00
IT Specialist, PBB, #81777	1.00
Bus Sys Analyst, PBB, #77791T	1.00 (T)
IT Specialist, PBB, #79946T	1.00 (T)
IT Specialist, PBB, #77853T	1.00 (T)
IT Specialist, PBA, #79966T	1.00 (T)

CONTRACTS & GRANTS ADMINISTRATION
HILO SERVICE CENTER

Con & Grt Spc, PBB, 79222T	1.00 (T)
Con & Grt Spc, PBB, 78398T	1.00 (T)
Con & Grt Spc, PBB, 79150T	1.00 (T)
Adm & Fis Supp Sp, PBA, 77832T	1.00 (T)

COST STUDIES AND RATE ANALYSIS

Fiscal Manager, PBD, #80379	1.00
Fiscal Sp, PBB, #81802	1.00
Fiscal Sp, PBB, #78361	1.00

PROJECTS FINANCIAL SERVICES

Fiscal Manager, PBC, #80206	1.00
Fiscal Sp, PBB, #81263	1.00
Fiscal Sp, PBB, #78838	1.00 (W)
Fiscal Sp, PBB, #78544T	1.00 (T)
Fiscal Sp, PBB, #78950T	1.00 (T)
Adm & Fis Supp Sp, PBA, #78638	1.00

CONTRACTS & GRANTS ADMINISTRATION
MĀNOA SERVICE CENTER

Con & Grt Spc, PBD, #78632	1.00
Con & Grt Sp, PBB, #81259	1.00
Con & Grt Sp, PBB, #81471	1.00
Con & Grt Sp, PBB, #80976	1.00 (W)
Con & Grt Sp, PBB, #78633T	1.00 (T)
Adm & Fis Sp, PBA, #78839	1.00 (W)
Adm & Fis Sp, PBA, #78010T	1.00 (T)
Con & Grt Sp, PBC, #80581	1.00
Con & Grt Sp, PBB, #80808	1.00
Con & Grt Sp, PBB, #81139	1.00
Con & Grt Sp, PBC, #81940	1.00
Office Asst IV, SR-10, #50041	1.00
Con & Grt Sp, PBB, #77994T	1.00 (T)
Con & Grt Sp, PBB, #79125	1.00

CONTRACTS & GRANTS ADMINISTRATION
MAUI SERVICE CENTER

Con & Grt Spc, PBB, #81652	1.00
----------------------------	------

PROJECTS FISCAL ACCOUNTING

Fiscal Manager, PBC, #81930	1.00
Fiscal Sp, PBB, #79159	1.00
Fiscal Sp, PBB, #80195	1.00
Fiscal Sp, PBA, #80147	1.00
Adm & Fis Supp Sp, PBA, #78637	1.00
Adm & Fis Supp Sp, PBA, #81980T	1.00 (T)
Fiscal Sp, PBB, #80139	1.00
Fiscal Sp, PBB, #80145	1.00
Adm & Fis Supp Sp, PBA, #78618	1.00
Fiscal Sp, PBB, #78363	1.00(W)
Adm & Fis Supp Sp, PBA, #78636	1.00
Fiscal Sp, PBB, #80138	1.00
Fiscal Sp, PBB, #78369	1.00(W)
Fiscal Sp, PBB, #81688	1.00
Fiscal Sp, PBB, #81961	1.00
Fiscal Sp, PBB, #78365T	1.00 (T)
Adm & Fis Supp Sp, PBA, #78501T	1.00 (T)
Adm & Fis Supp Sp, PBA, #78502T	1.00 (T)
Adm & Fis Supp Sp, PBA, #78821T	1.00 (T)

FINANCIAL COMPLIANCE

Fiscal Manager, PBD, #81389	1.00
Fiscal Sp Sr, PBC, #81017	1.00
Fiscal Spc, PBB, #78800	1.00 (W)
Fiscal Spc, PBB, #78474T	1.00 (T)
Fiscal Spec, PBC, #77457T	1.00 (T)

CONTRACTS & GRANTS ADMINISTRATION
KAKA'AKO SERVICE CENTER

Con & Grt Spc, PBC, #77464	1.00
Con & Grt Spc, PBB, #78029	1.00
Con & Grt Spc, PBB, #81970	1.00
Adm & Fis Supp Sp, PBA, #78635	1.00
Con & Grt Spc, PBB, #79157T	1.00 (T)

CONTRACTS & GRANTS ADMINISTRATION
WEST O'AHU SERVICE CENTER

Con & Grt Sp, PBB, #80399	1.00 (W)
---------------------------	----------

40.00 Perm
9.00 Perm (W)
21.00 Temp (T)

APPROVED:



03/01/2017

Vassilis L. Syrmos
Vice President for Research and Innovation

OFFICE OF THE VICE PRESIDENT FOR RESEARCH AND INNOVATION

OFFICE OF RESEARCH COMPLIANCE

Director, #89119 1.00
 Admin & Fiscal Support Spec, PBA, #78042T 1.00 (T)
 Research Associate, PBB, #79775T 1.00 (T)

WORKING PROPOSED
 STATE OF HAWAII
 UNIVERSITY OF HAWAII
 OFFICE OF THE VICE PRESIDENT
 FOR RESEARCH AND INNOVATION
 OFFICE OF RESEARCH COMPLIANCE
 POSITION ORGANIZATION CHART III

HUMAN STUDIES PROGRAM

Research Associate, PBD, #80751 1.00
 Office Asst III, SROB, #111739 1.00 (T)
 Research Assoc, PBB, #81368T 1.00 (T)
 Research Assoc, PBB, #81536T 1.00 (T)
 Admin & Fiscal Sup, PBA, #78021T 1.00 (T)
 Research Support, PBB #79262T 1.00 (T)

ANIMAL WELFARE AND BIOSAFETY PROGRAMS

Research Associate, PBD, #81657 1.00
 Environmental Sfty Sp, PBC, #81109 1.00
 Research Associate, PBB, #80261 1.00
 Research Associate, PBA, #80289T 1.00 (T)
 Research Associate, PBB, #77052T 1.00 (T)
 Research Associate, PBD, #77491T* 1.00 (T)

ANIMAL AND VETERINARY SERVICES PROGRAM
 (Special Funds – self-sustaining)

Specialist Type Faculty, #86262 1.00
 Specialist Type Faculty, #70023T 1.00 (T)
 AVS Vet Tech/Trainer 1.00 (R)
 Research Associate, PBB, #80369 1.00 (B)
 Research Associate, PBA, #81179 1.00 (B)
 AVS Operations Manager 1.00 (R)
 Senior Animal Lab Support Tech 1.00 (R)
 Senior Animal Lab Support Tech 1.00 (R)
 Animal Lab Support Assist 1.00 (R)
 Animal Lab Support Assist 1.00 (R)
 Animal Lab Support Assist 1.00 (R)
 Lead Cage Washer 1.00 (R)
 Cage Washer 1.00 (R)

OFFICE OF RESEARCH INTEGRITY

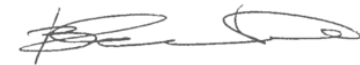
Research Associate, PBD, #79509T 1.00 (T)
 Fiscal Spc, PBB, #77314 1.00
 Admin Ofc, PBB, #0080656T 1.00 (T)

OFFICE OF EXPORT CONTROLS

Contract and Grants Specialist, PBD, #81317 1.00
 Institution/Policy Analyst, PBB, #77545T 1.00 (T)
 Institution/Policy Analyst, PBB, #79204T 1.00 (T)

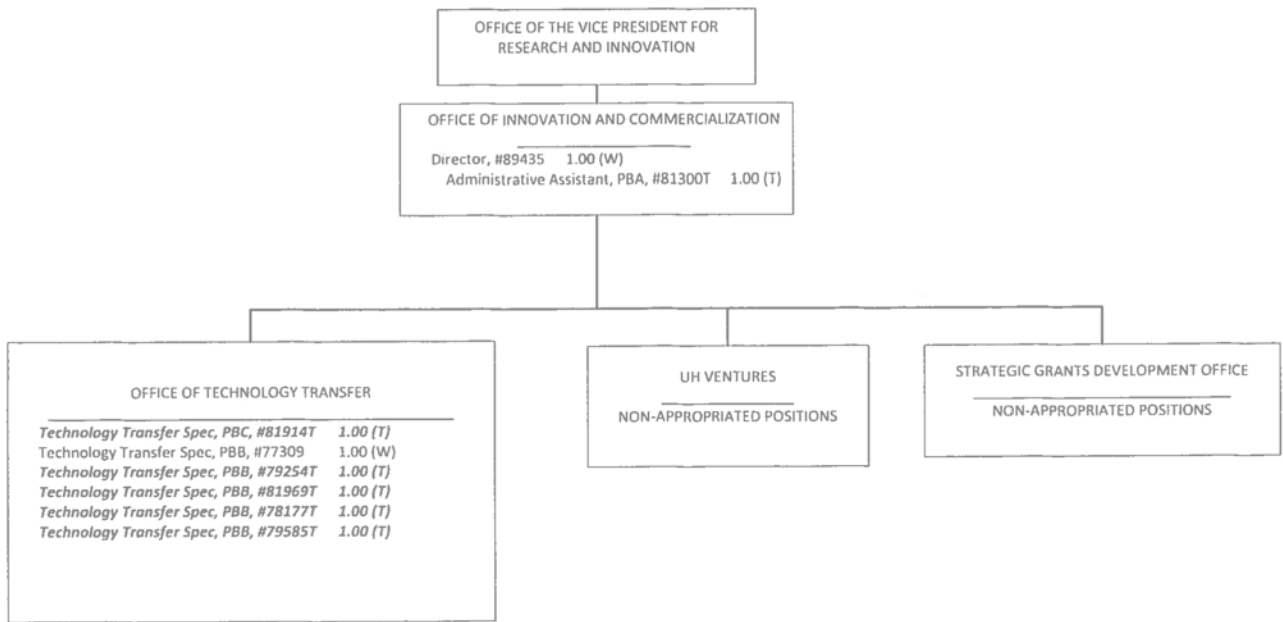
8.00 Perm
 2.00 Perm (B)
 15.00 Temp (T)
 9.00 RCUH (R)

APPROVED:



03/01/2017

Vassilis L. Syrmos
 Vice President for Research and Innovation



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

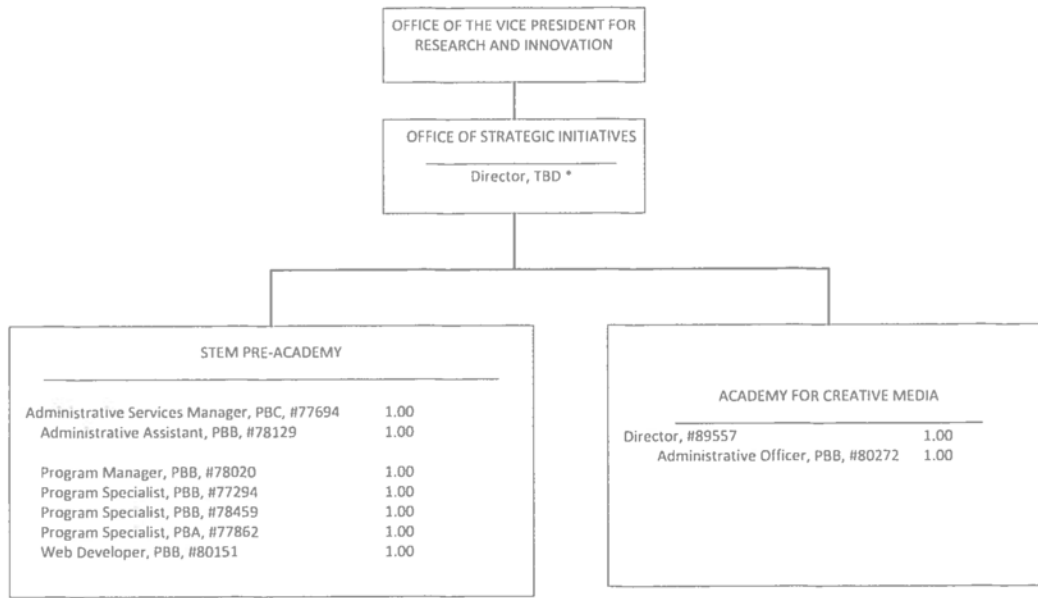
POSITION ORGANIZATION CHART IV

2.00 Perm (W)
 6.00 Temp (T)

APPROVED:

03/01/2017

Vassilis L. Syrmos
 Vice President for Research and Innovation



ACADEMY FOR CREATIVE MEDIA INSTRUCTIONAL FACULTY & SUPPORT **†		
Assistant Professor (Creative Media – Transmedia, Film, Television & Digital Media Tracks), #76308	1.00	UHWO
Assistant Professor of Creative Media (Game Design), #76310	1.00	UHWO
Instructor (Creative Media), #76311	1.00	UHWO
Academic Support (Lab Manager), PBA, #80615	1.00	UHWO
Instructor (MELE-Music & Entertainment Learning Experience), #86721	1.00	Honolulu CC
Instructor in Digital Media, #86736	1.00	Leeward CC
Instructor in Art (New Media Arts), #86739	1.00	Kapiolani CC

WORKING PROPOSED
 STATE OF HAWAI'I
 UNIVERSITY OF HAWAI'I
 OFFICE OF THE VICE PRESIDENT
 FOR RESEARCH AND INNOVATION
 STRATEGIC INITIATIVES
 POSITION ORGANIZATION CHART V

9.00 Perm

* not included in position count
 ** Positions and reporting reside with campuses
 † 1.00 Faculty Position (#70286) permanently transferred to UHM College of Engineering in 2016 Legislative session.

APPROVED:

03/01/2017

Vassilis L. Syrmos
 Vice President for Research and Innovation

OFFICE OF THE VICE PRESIDENT FOR
RESEARCH AND INNOVATION

APPLIED RESEARCH LABORATORY

Director (from Faculty)	*
Administrative Manager, Split funded	**
Administrative Specialist, RCUH	1.00 (R)
Fiscal and Administrative Associate, RCUH	1.00 (R)
Fiscal and Administrative Assistant, RCUH	1.00 (R)
ARL Assistant Staff, RCUH	1.00 (R)
ARL Project Manager (Physics), RCUH	1.00 (R)
ARL Project Manager (Energy), RCUH	1.00 (R)

WORKING PROPOSED
STATE OF HAWAI'I
UNIVERSITY OF HAWAI'I
OFFICE OF THE VICE PRESIDENT
FOR RESEARCH AND INNOVATION
APPLIED RESEARCH LABORATORY

POSITION ORGANIZATION CHART VI

* From Faculty
** Split funded w/Current Position

6.00 RCUH (R)

APPROVED:



03/01/2017

Vassilis L. Syrmos
Vice President for Research and Innovation



03/01/2017

Vassilis L. Syrmos
Vice President for Research and Innovation

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

PROPOSED FUNCTIONAL STATEMENT

INTRODUCTION

The Office of the Vice President for Research and Innovation has the system-wide leadership responsibility for planning, developing and coordinating research policies and procedures of the University of Hawai'i (UH). The Vice President for Research and Innovation serves as chief research policy advisor to the UH President and other UH executives.

MAJOR FUNCTIONS

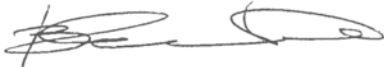
- Provides policy leadership and administrative support to UH System research institute and programs. Fosters and monitors inter-campus collaborative research efforts.
- Develops system-wide research plans, goals, policy and objectives in consultation with campus senior executives. Coordinates system-wide policies reflecting research priorities and direction in consultation with senior campus executives.
- Develops system-wide research policies and procedures, including long-range and planning studies.
- Develops and maintains an international standard of research excellence. The Vice President for Research and Innovation serves as the UH's expert on research policy matters.
- Coordinates and monitors research efforts of statewide concern.
- Monitors and assesses UH's research compliance and recommends revisions as necessary.
- Represents UH in system-wide 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 UH.
- Facilitates and encourages technology transfer and economic development activities at UH on a system-wide basis.

Fiscal and Administrative Operations

The Fiscal and Administrative Operations unit provides fiscal and administrative support services to the entire OVPRI organization. Functional responsibilities include:

- Provides oversight and guidance on business operations;

- Develops, implements and ensures compliance with business and personnel operating procedures;
- Provides fiscal functions and fiscal support services, including, but not limited to, budget projection and preparation, financial managerial report preparation and budget monitoring;
- Provides administrative support for all personnel functions including, but not limited to, payroll, recruitment, position classification (e.g., preparation of position description and reclassification actions), labor relations, processing of personnel transactions, preparation of personnel documents (e.g., PNFs and SF-1s), maintaining and updating the Human Resource Information System, and providing information and assistance regarding personnel matters and employee benefits;
- Provides desktop computer and telephony support, end user training, diagnostics, updates, patches and administration.
- Administers, maintains and updates the webpages for OVPRI.
- Assists with financial, accounting and facility planning when necessary;
- Prepares system-wide monthly, quarterly and annual extramural award financial reports;
- Prepare special reports as may be requested.



03/01/2017

Vassilis L. Syrmos
Vice President for Research and Innovation

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

PROPOSED FUNCTIONAL STATEMENT

INTRODUCTION

The Office of Research Services (ORS) is a University of Hawai'i (UH) System office responsible for providing efficient and effective administration and management for all extramural research and non-research awards entered into by UH.

ORS is administratively responsible for review and approval of proposals and offers to extramural sponsors (referred to herein as "sponsors"); acceptance of grants, contracts, subcontracts, cooperative agreements and all other extramural award agreements (collectively referred to herein as "extramural awards") on behalf of UH; negotiation of extramural award terms and conditions; resolution of disputes and other issues with sponsors; development of system-wide administrative policies and procedures relating to extramurally-financed programs; and the provision of training and coordination services in these matters.

ORS is also responsible for ensuring that all extramural awards are in compliance with governmental regulations, UH, UH Board of Regents and sponsor policies. To achieve this, ORS provides oversight and monitoring functions that include ongoing reviews of departmental and system-wide internal controls; coordination of required actions to correct deficiencies; post-audit activities; coordination and resolution of audit findings and questioned costs with sponsors; 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 of application of extramural award terms and conditions, provided, however, that ORS will involve the UH Office of General Counsel should such interpretation be legal in nature.

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 as may be periodically required.

ORS SECTIONS

ORS consists of seven (7) sections, each with varying areas of responsibility. A description of each ORS section follows below.

Office of the Director

The ORS Office of the Director directs and manages system-wide UH extramurally-funded 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 -- and to ensure responsive and quality services to the UH research community;
- Interpreting, applying and ensuring compliance with federal, state and county (collectively, "governmental") laws, rules and regulations, and UH and sponsor-specific policies and procedures applicable to extramural awards and sponsored research administration;
- Interpreting, applying and ensuring compliance with UH and UH Board of Regents policies and procedures applicable to extramural awards and sponsored research administration;
- Interpreting, applying and ensuring compliance with extramural award terms and conditions imposed by sponsors;
- Making recommendations to the Vice President for Research and Innovation and other UH executives on system-wide sponsored research administration policies, procedures and practice;
- Directing research support services through subordinate level subject matter experts;
- Overseeing research financial management support systems and the system of internal controls to meet federal criteria and external audit standards;
- Executing extramural awards on behalf of UH via delegated authority;
- Negotiating overhead rates, implementation procedures and compliance requirements with federal agencies;
- 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 UH and the Research Corporation of the University of Hawai'i (RCUH);
- Collaborating the faculty researchers to establish and maintain a communication network (i.e., ORS Faculty Advisory Council) for the dissemination of essential extramural award management and other information; and
- Planning and conducting, through various ORS sections, other UH offices and RCUH, periodic training and workshops in research administration for research personnel throughout the UH System.

Information Systems Services

The ORS Information Systems Services section provides information technology

support to ORS and coordinates electronic research administration (eRA) services for investigators and others across the UH System. Functional responsibilities include:

- Installing and maintaining the system-wide Kuali research extramural award tracking system and database, and related modules (formerly known as Kuali-Coeus, branded at UH and referred to herein as “myGRANT”);
- Developing and designing adaptations and customization of *myGRANT* to conform the software to UH requirements and desired functionality;
- Collaborating with *myGRANT* system users to identify business requirements and suggested program modifications;
- Coordinating testing and maintaining operation and functionality of *myGRANT*;
- Providing training and workshops to the UH research community on the use of *myGRANT* and any sponsor-specific eRA systems;
- Establishing and maintaining a database for extramural awards and related sub-awards;
- Tracking the status of extramural awards and related sub-awards;
- Generating system-wide extramural proposal and award statistics and reports for the ORS Director, UH executives and UH Board of Regents;
- Preparing other special reports as requested by the ORS Director, UH executives or UH Board of Regents
- Providing helpline support for *myGRANT* and sponsor-specific systems for proposal submission to faculty and staff across the ten UH campuses;
- Providing technical support for ORS training and workshops;
- Developing and managing the ORS website and web reports;
- Providing information technology support to ORS staff;
- Establishing, monitoring and maintaining the ORS exchange server;
- Planning for future upgrades and system modifications;
- Providing graphic design for ORS training or informational materials;
- Making recommendations for update or revision to UH policies and procedures to meet governmental mandates, or as otherwise may be necessary; and
- Advising the ORS Director as to research information system and technology tools and upgrades that may be necessary to comply with governmental or sponsor requirements, or UH policies and procedures.

Contracts and Grants Administration – Service Centers

There are five (5) contracts and grants administration service centers within ORS. Although each service center works collaboratively with their other service center counterparts and is responsible for consistent implementation of ORS standard operating procedures, each service center also functions independently and has independent authority in accordance with parameters set forth by the ORS Director.

Functional responsibilities of each service center include:

- Collaborating with sponsors to identify possible funding opportunities and initiatives;
- Serving as subject matter experts and assisting principal investigators with potential funding opportunities;
- Providing administrative support with the preparation and submission of proposals to sponsors;
- Reviewing proposals for compliance with statutory, regulatory, UH and sponsor policy and procedural requirements, as applicable;
- Identifying proposal deficiencies, if any, and the cooperative measures necessary to remediate those deficiencies;
- Providing guidance as to statutory, regulatory, UH and sponsor policy and procedural requirements for proposal submission; and developing, modifying and implementing procedures to ensure that UH-submitted proposals are in compliance with these guidelines;
- Through delegated authority, acting as UH's authorized organizational representative to endorse and submit proposals, and to review, approve & endorse post-award requests for modifications;
- Ensuring the timely processing and submission of UH-submitted proposals;
- Exercising considerable knowledge and expertise in the use of federally-mandated electronic research administration systems;
- Keeping abreast of applicable proposal submission requirements;
- Providing training and workshops for UH faculty and staff on proposal preparation and submission;
- Ensuring that extramural award terms and conditions are consistent with UH policy requirements, including but not limited to policies on liability, indemnity, insurance, choice of laws and jurisdiction;
- Reviewing and negotiating extramural award agreements between UH and sponsors to ensure conformity with statutory, regulatory and UH policy and procedural requirements;
- Ensuring the timely processing and execution of extramural awards and modifications thereto;
- Developing, implementing and maintaining system controls for administrative management of extramural awards;
- Ensuring compliance with statutory, regulatory, UH and sponsor policy and procedural requirements;
- Making recommendations for update or revision to UH policies and procedures to meet governmental mandates, or as otherwise may be necessary;
- Conducting periodic training and workshops to familiarize appropriate UH personnel with procedural changes and/or to discuss and resolve problem areas; and

- Providing support to other campus departments and units outside their area of responsibility, as needed.

The following are brief descriptions of the primary area(s) of responsibility for each service center.

Contracts and Grants Administration – Mānoa Service Center. The Mānoa Service Center provides extramural proposal and award administration and support services primarily to the UH Mānoa campus (excluding the John A. Burns School of Medicine and the University of Hawai'i Cancer Center).

Contracts and Grants Administration – Kaka'ako Service Center. The Kaka'ako Service Center provides extramural proposal and award administration and support services primarily to the John A. Burns School of Medicine (JABSOM) and the University of Hawai'i Cancer Center.

Contracts & Grants Administration – Maui Service Center. The Maui Service Center provides extramural proposal and award administration and support services primarily to the UH Maui College.

Contracts & Grants Administration – West O'ahu Service Center. The West O'ahu Service Center provides extramural proposal and award administration and support services primarily to the UH West O'ahu and all community colleges except for Hawai'i Community College.

Contracts & Grants Administration – Hilo Service Center. The Hilo Service Center provides extramural proposal and award administration and support services primarily to the University of Hawai'i at Hilo and Hawai'i Community College.

Financial Compliance Section

The ORS Financial Compliance section coordinates the annual Office of Management and Budget (OMB) A-133 compliance audit, sponsor financial audits, effort reporting and sub-recipient- monitoring activities. Functional responsibilities include:

- Reviewing UH financial management systems and internal controls 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 the Office of Naval Research, U.S. Department of Health and Human Services, and independent public accounting firms;
- Reviewing and evaluating audit findings, coordinating the implementation of corrective actions by appropriate units, recommending improvements to established systems and procedures, and coordinating the preparation and submission of audit responses;
- Coordinating UH's internal audit to ensure external audit requirements imposed by the federal government are met;
- Ensuring expenditure compliance within funding limitations, and reviewing and approving cost transfers and adjustments;
- Providing counsel and guidance to principal investigators and fiscal administrators on program administrative matters, including the interpretation of extramural award terms and conditions relating to the reprogramming of project funds, allowability and allocability of costs, and the transfer or sub-contracting of project scope to another college of university;
- Ensuring that sub-recipient (sub-award) monitoring policies and procedures are in compliance with the annual OMB A-133 audit;
- Ascertaining the adequacy of the UH's efforts to conform with statutory, regulatory, UH and sponsor policy and procedural requirements; and
-
- Making recommendations for update or revision to UH policies and procedures to meet governmental mandates, or as otherwise may be necessary.

Projects Fiscal Accounting Section

The ORS Projects Fiscal Accounting section establishes and administers project accounts, assuring compliance with applicable laws, regulations, policies and award terms and conditions. This section also processes reimbursement requests and maintains UH financial records. The section consists of two (2) teams, with accountants assigned by sponsor. 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:

- Coordinating post-award accounting, record maintenance and cash management requirements of extramural awards;
- Reviewing and approving requests for establishment of accounts and providing assistance to fiscal administrators in setting up accounting systems and fiscal controls for sponsored project accounts;
- Preparing and processing financial reports, billings and vouchers in accordance with extramural award provisions specified by sponsors;

- Reviewing and calculating final indirect cost charges for extramural awards; initiating adjusting and closing;
- Maintaining accounting records and files for extramural awards, including correspondence and related documents;
- Maintaining and reconciling accounts receivables & advances for sponsors, and preparing fiscal-year end closing and adjusting entries;
- Reviewing, analyzing, and projecting cash requirements for all extramural awards and determining 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 on a daily basis;
- 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;
- Assisting with the OMB A-133 audit as needed; and
- Making recommendations for update or revision to UH policies and procedures to meet governmental mandates, or as otherwise may be necessary.

Projects Financial Services Section

The ORS Projects Financial Services section coordinates cash management, account closeout and account collection activities for extramural awards. Functional responsibilities include:

- Coordinating system-wide requirements for each extramurally-funded project to ensure all sponsor requirements are met;
- Monitoring and coordinating the timely closeout of all extramural awards;
- Maintaining and monitoring master files for extramural awards at the closeout stage, and providing closeout assistance to principal investigators and fiscal administrators;
- Coordinating with the ORS Projects Fiscal Accounting section to prepare and process final financial reports, billings and vouchers in accordance with sponsor requirements and extramural award terms and conditions;
- Monitoring and coordinating extramural award closeout to ensure all charges and receivables are reconciled, and all financial and other reports

(e.g., management, patent, copyright, property inventory, scientific, technical or other special reports) and required documents are submitted to the sponsor in a timely manner;

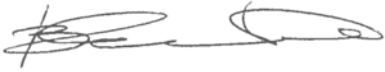
- Advising with the adjusting of entries related to project closeout;
- Administering accounting records and files for extramural awards, including correspondence and related documents for closeout;
- Monitoring, reconciling and coordinating the accounts receivable and collection functions for all extramural awards;
- Recording the collection of extramural award projects accounts receivables;
- Developing and implementing effective business processes to collect, manage and reconcile receivables;
- Reconciling accounts receivables and preparing aging management reports;
- Developing policies and procedures for the write-off of uncollectible accounts;
- 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 of federally sponsored programs;
- Maintaining master files and ensuring the proper coding and deletion of inactive and terminated accounts;
- Reviewing daily reports for distribution and problem resolution;
- Coordinating and assisting the UH financial office with fiscal year beginning and end;
- Developing, modifying, and updating accounting systems that are implemented on a system-wide basis to accommodate research financial reporting requirements imposed by the federal government and auditors;
- Assisting in the design, development, implementation, and maintenance of computer-generated financial management reports;
- Assisting with the OMB A-133 audit as needed; and
- Making recommendations for update or revision to UH policies and procedures to meet governmental mandates, or as otherwise may be necessary.

Cost Studies and Rate Analysis Section

The ORS Cost Studies and Rate Analysis section coordinates and performs analytical studies relating to the computation of federal and indirect cost rates, and other special studies as required. This section also performs other cost analysis to support UH leadership. Functional responsibilities include:

- Preparing the indirect cost rate proposal for UH and negotiating UH's indirect cost rates with the federal government as required;

- Coordinating the audit review process by the Division of Cost Allocation (DCA) and the Department of Health and Human Services (DHHS) and assisting in the negotiations of rates;
- Assuring that the rate development process is appropriate, equitable, and in compliance with applicable federal regulations and directives;
- Establishing policies for proper accounting treatment and allocation of costs;
- Monitoring and revising the UH Disclosure Statement as necessary to comply with federal regulations;
- Reviewing, analyzing, and coordinating the submission of annual financial reports and proposed rate schedules to the 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 OMB A-133 audit as needed; and
- Making recommendations for update or revision to UH policies and procedures to meet governmental mandates, or as otherwise may be necessary.



03/01/2017

Vassilis L. Syrmos
Vice President for Research and Innovation

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

PROPOSED FUNCTIONAL STATEMENT

INTRODUCTION

The Office of Research Compliance (ORC) at the University of Hawai'i (UH) is responsible for ensuring compliance with federal, state, and local government laws and regulations, and institutional policies and procedures of research endeavors and scholarly work that involves: a) the use of vertebrate animal subjects, b) humans participating as research subjects, c) evaluations of materials of biological origin that have been genetically or synthetically modified, and d) appropriate and controlled use of biological materials that are potentially harmful to UH personnel, the general public and to the environment.

ORC is responsible for providing and/or ensuring that appropriate veterinary care is provided for vertebrate animal species used as research and instructional subjects on UH System campuses and projects in the field. In addition, ORC manages and administratively operates two laboratory animal vivariums that support biomedical and neurosciences research and training on the UH Mānoa campus and at the John A. Burns School of Medicine (JABSOM) at Kaka'ako.

ORC is also responsible for the administration of the compliance program that focuses primarily on matters pertaining to research and scholarly misconduct, including but not limited to whistleblower retaliation, policy development governing institutional procedures and guidance for research activities, and educational activities in support of Responsible Conduct of Research (RCR) requirements.

Human Studies Program

Human Studies Program (HSP) directs and oversees the federally-mandated human research protection program under a Federal Wide Assurance (FWA) agreement executed between UH and the U.S. Department of Health & Human Services' Office for Human Research Protections (OHRP).

The HSP office is responsible for executing these functions to ensure compliance with OHRP's directive:

- Administers three (Biomedical; Social & Behavioral Sciences; Cooperative) Institutional Review Boards (IRB) that serve UH and several partnership research institutions.

- Reviews all exempt research protocols involving human participants.
- Oversees the initial and continuing review of all non-exempt research protocols involving human participants and/or their private identifiable information.
- Provides education, training and consultation and support to UH faculty and others who design and/or conduct human subjects research on behalf of the UH System.
- Provides education and training to UH IRBs that review human participant research across the UH System.
- Develops, updates and implements human research protection policies and procedures to ensure compliance with applicable federal, state and county regulations and UH policies.
- Maintains documentation of protocol review, determinations and oversight.
- Follows up on allegations of non-compliance with applicable regulations and policies.
- Conducts post-approval monitoring of select active UH human participant research.
- Reviews reportable events and modifications to protocol to assess risks to participants.

Animal Welfare and Biosafety Programs (AWBP)

Animal Welfare Program:

Animal Welfare Program (AWP) administratively supports UH's federally-mandated vertebrate animal care and use program by closely working with the Institutional Animal Care and Use Committee (IACUC) and collaborating with the Animal Veterinary Service (AVS) Program to ensure the protection, humane care and use of animal subjects used for research and instruction under: (1) the Animal Welfare Assurance, an agreement executed between UH and the DHHS Office for Laboratory Animal Welfare (OLAW) to comply with the NIH Public Health Service (PHS) policy; (2) an institutional registration with the U.S. Department of Agriculture (USDA), Animal Plant Health Inspection Service (APHIS) to comply with the Animal Welfare Act (AWA) regulations; and (3) site and activity specific permits to comply with the National Oceanographic and Atmospheric Administration (NOAA), Marine Mammal Protection Act (MMPA) and U.S. Department of Fish and Wildlife Services (USFWS) for field studies and management programs involving the conservation of wildlife and protection of endangered species. The AWP in collaboration with the Animal Veterinary Program (AVP) office executes performance measures to meet mandatory expectations of the Association for Assessment and Accreditation of Laboratory Animal Care, International (AAALAC) to maintain institutional laboratory animal program accreditation.

The AWP office is responsible for executing the following program functions to comply with aforementioned agencies and their directives:

- Administers and provide support to the Institutional Animal Care and Use Committee (IACUC) at UH and other committees that provide additional

institutional oversight to animal care and use program (i.e., Fish Advisory Committee).

- Reviews research proposals that may involve vertebrate animal subjects that may be considered exempt.
- Oversees the initial and continuing (*de novo*) review of all non-exempt research and instructional protocols involving vertebrate animal subjects.
- Provides education, training and consultation in support of UH faculty and others who design and/or perform vertebrate animal research and instructional activities in the UH System.
- Provides education and training to IACUC members who review vertebrate animal research.
- Develops, updates and implements policies and procedures to ensure compliance with applicable federal regulations and UH policies.
- Serves as the custodian of records for UH's animal care and use program. Maintains documentation of IACUC protocol review, determinations and committee oversight.
- Investigates and follows up on allegations of non-compliance with applicable regulations and policies.
- Conducts post-approval monitoring (PAM) of active UH vertebrate animal research and instructional protocols in collaboration with the AVS program.
- Works with IACUC, IBC and the Environmental Health and Safety Office (EHSO) specialists to ensure a safe environment for personnel working with vertebrate species.
- Works with the IACUC, IBC and the Office of the Veterinarian to ensure personnel using vertebrate animals are appropriately trained.
- In conjunction with IACUC, oversees and evaluates all aspects of animal care and use, including reviewing animal use protocols to ensure compliance with PHS Policy, AWA and Institutional Assurance -- which entails the appropriateness of proposed and actual experimental procedures to meet criteria for scientific data gathering.
- Reviews grant proposals to ensure conformity in animal care protocols with IACUC, pre-reviews protocols for federal assurances, scientific and statistical validity, review of literatures searches, and provide rationale and feedback in the drafting of institutional policies.
- Reviews the Program of Humane Care and Use no less than semiannually.
- Inspects and reviews all animal housing facilities and laboratories no less than semi-annually.
- Completes and submit all federally required semi-annual and annual reports.
- Authors the institution's renewal of the Animal Welfare Assurance to the DHHS Office for Laboratory Animal Welfare (OLAW) every four years.
- Completes semi-annual and annual federal reports, and when necessary, provides investigative reports to oversight agencies on behalf of the program's Institutional Official (IO).

Biosafety Program:

Biosafety Program (BP) administratively supports the federally-mandated biosafety program by closely working supporting the efforts of the Institutional Biosafety Committee (IBC) to ensure the protection of UH personnel, public safety and the environment from biological materials associated with research and instructional activities. These may include recombinant genetic material and synthetic nucleic acid molecules, nonpathogenic and pathogenic biological materials, and biologically-derived toxins including those microorganisms classified as Select Agents, and importation and cultivation of transgenic plants, vertebrate and invertebrate animals, and arthropods (insects). In meeting its functional responsibilities, the Biosafety Program and IBC are in compliance with the directives of: (1) DHHS Office for Biotechnology of Activities (OBA), Office of Scientific Policy (OSP); (2) DHHS Centers for Disease Control and Prevention (CDC); and (3) State of Hawai'i's Department of Agriculture (HDOA) and Department of Health (HDOH).

- Administers and provide support to the Institutional Biosafety Committee (IBC) of the UH and other committees that provide additional institutional oversight for institutional biosafety matters (i.e., Dual Use Research of Concern (DURC) Committee).
- Reviews research and instructional activities proposals that may involve the use of biological materials that may be considered exempt.
- Oversees the initial and continuing (*de novo*) review of all non-exempt research and instructional activities protocols involving biological materials that categorically contain recombinant genetic material and/or synthetic molecules.
- Oversees the initial and continuing review of all non-exempt research and instructional activities protocols involving microorganisms considered to be nonpathogenic and pathogenic to humans, animals, plants and the environment, including those microorganisms and biologically-derived toxins classified as Select Agents.
- Provides education, training and consultation in support of UH faculty and others who design and/or perform transgenic biomaterial or conduct research and instructional activities with microorganisms than may or not be biohazardous in UH System.
- Provides education and training to the IBC on the principles of risk assessment and biocontainment using CDC's standard guidance document, *Biosafety in Microbiological and Biomedical Laboratories (BMBL)*.
- Develops, updates and implements policies and procedures to ensure compliance with applicable federal regulations and UH policies
- Maintains documentation of protocol review, determinations and oversight.
- Investigates and follows up on allegations of non-compliance with applicable regulations and policies, including incidents relating to biological materials (e.g. biocontainment breaches, spills, personnel injuries, etc.).
- Conducts post-approval monitoring (PAM) of active UH research and instructional protocols that involve the use of recombinant genetic materials, synthetic nucleic acid molecules and biohazardous biological materials.

- Work with IBC, IACUC and the Environmental Health and Safety Office (EHSO) specialists to ensure a safe working environment for personnel working with vertebrate species.
- Work with the IBC, IACUC and the Office of the Veterinarian to ensure personnel using vertebrate animals are appropriately trained.
- In conjunction with IBC, oversees and evaluates all aspects of research which utilizes recombinant genetic materials, synthetic molecules and biohazardous biological materials. This includes the review of biosafety protocols to ensure compliance with the *NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines)* -- which entails the appropriateness of proposed and actual experimental procedures to meet criteria for scientific data gathering.
- Reviews grant proposals to ensure conformity in biosafety protocols with IBC, pre-reviews protocols for federal assurances, scientific and statistical validity, review of literatures searches, and provide rationale and feedback in the drafting of institutional policies.
- Inspects and review facilities and laboratories that conduct research using biological materials no less than annually.
- Complete and submit all federally required annual reports.
- Works with Principal Investigators on HDOA applications to secure permits to import, hold, and maintain restricted and non-restricted biomaterials on UH campuses.
- Ensures compliance with HDOH Biological Containment Wastes management requirements.
- Manages the UH Mānoa Sharps Waste Disposal program.
- Completes semiannual and annual federal reports, and when necessary provides investigative reports to oversight agencies on behalf of the program's Responsible Official (RO).

Animal and Veterinary Services Program

Federal law (PL 99-158, PL 89-544 and its amendments) provides the statutory basis for the U.S. Department of Health and Human Services Public Health Service (PHS) Policy and the U.S. Department of Agriculture, Animal Welfare Regulations (AWR). Animal and Veterinary Services Program (AVS) fulfills the requirements set forth by PHS and AWR, and performs its functions in conformance with federal, state, and local laws and requirements, and the Association for Assessment and Accreditation of Laboratory Animal Care, International (AAALAC) standards as set forth by the *Guide for the Care and Use of Laboratory Animals (The Guide)*.

- Provides the services of the UH Veterinarian, *a.k.a.* Attending Veterinarian (AV) who is responsible for the health and well-being of all vertebrate animals used at the UH. The AV shares the primary oversight responsibilities of the Animal Care and Use Program (Program) with the Institutional Official (IO) and the Institutional Animal Care and Use Committee (IACUC). UH is required by law to include the AV as a voting member on its IACUC. (*PHS, AWR*)

- Operates the biomedical and neurobehavioral vivariums at UH Mānoa and at Kaka'ako for the John A. Burns School of Medicine (JABSOM), UH Cancer Center (UHCC) and other researchers.
- Appropriately educates personnel on humane methods of animal maintenance and experimentation. Veterinary staff and vivarium animal care staff provide this education, in conjunction with the IACUC. (PHS, AWR)
- Implements and execute the institutional Occupational Health and Safety Program in conjunction with health and safety officials. (PHS)

Program and Administrative Functions of the Animal and Veterinary Services Program

Office of the University Veterinarian (AV)

- Conducts semi-annual visits to facilities/sites where vertebrate animals are housed or used by UH to assure conformance with federal, state and local laws and requirements. The following areas are assessed: (PHS, AWR)
 - Use of appropriate clinical care and management to prevent, control, diagnose, and treat diseases and injuries. Provision of emergency, weekend and holiday care.
 - Daily observation of all animals to assess their health and well-being (unless otherwise approved by the IACUC) to monitor animal health and well-being (physical and psychological).
 - Establish, review, and oversee medical and animal use records.
 - Husbandry, housing, animal procurement and transportation, preventive medicine (quarantine and stabilization, separation by health status and species, sentinel animal surveillance), clinical disease or health related issues, protocol-associated disease, surgery and perioperative care, pain and distress, anesthesia and analgesia, euthanasia ensure that the Program complies with the Animal Welfare Act and the *Guide for the Care and Use of Laboratory Animals* and the *Guide for the Care and Use of Agricultural Animals in Research and Teaching*.
 - Document demonstration of proficiency for researchers doing surgical procedures and other animal experimental manipulations.
- Receives direct and frequent communication from animal care staff, researchers, and consultant veterinarians associated with the UH program to ensure timely and accurate information on problems of animal health, behavior and well-being is conveyed to the AV. (PHS, AWR)
- Provides guidance to investigators and all personnel involved in the care and use of animals during protocol development to ensure appropriate selection of animal models, husbandry, handling, medical treatment, immobilization, sedation, analgesia, anesthesia, euthanasia, and oversight of surgery programs and perioperative care involving animals. (PHS, AWR)
- Provides guidance to investigators proposing animal studies involving more than slight or momentary pain or distress. (AWR)
- Reviews and vote on IACUC and the Institutional Biosafety Committee (IBC) protocols. (IACUC: PHS, AWR)

- Regularly apprizes the Institutional Official and IACUC on the program of veterinary care and issues affecting the health and well-being of vertebrate animals at UH. *(PHS)*
- Participates with investigators on protocol specific animal studies.
- Develops didactic material for educating researchers on humane care and use of animals, including information on zoonosis, and species specific information.
- Provides hands-on education for the care and use of animals, in conjunction with IACUC. Researchers, animal care staff, interns, students and volunteers are educated.
- Develops policies and procedures for the UH IACUC and IBC on issues pertaining to animals used at UH.
- Implements and executes the institutional Occupational Health and Safety Program in conjunction with health and safety officials. *(PHS)*

Vivarium Operations (UH Mānoa and Kaka'ako)

- Provides daily husbandry (including weekends and holidays) for animals used for biomedical and neurobehavioral studies and/or education. Assure that care staff are trained to conform to federal, state, and local laws and requirements, and AAALAC standards. Ensure that AVS staff complete required training to perform their duties.
- Alerts the veterinary staff to animal illness, injury and/or distressful situations. Provides treatment and follow-up on cases as prescribed by the veterinarian.
- Provides research support services to researchers.
- Procures animals and supplies for researchers. Operate a recharge center on a fee for service basis in conjunction with the OVPRI fiscal staff. Coordinate animal transfers within and between institutions.
- Maintains appropriate inventories and staff to operate the vivarium.
- Interfaces with the Granite software for billing, census management and other financial transactions. Alert Principal Investigators when allowable animal numbers are exceeded or when IACUC protocols are nearing expiration in Topaz. Complete internal transfers.
- Gatekeeper for vivarium entry. In conjunction with IACUC, will deny access to researchers with IACUC or IBC protocol deviations. Ensure that researchers and animal care staff receive orientation education and complete the necessary requirements for vivarium entry. At Kaka'ako, manage the Edstrom Watch Dog security access software in fulfilling the gatekeeper function. At UH Mānoa, manage the Biomedical Sciences Tower service elevator security access software.
- Maintains the physical structure and equipment through interfacing with vendors and Facilities Management Offices. Ensure regular repair and maintenance of equipment.
- Reviews IACUC and IBC protocols as the liaison for the AVS staff. Coordinate training for personnel exposed to potential protocol specific hazards.

- Provides training of all personnel engaged in husbandry in the vivarium and in the ABSL3.
- Participates in post approval monitoring of animal studies in the vivarium and in the ABSL3.
- Participates in preparation, event phase, and post recovery of emergencies affecting the vivariums. Participate in drills in the ABSL3 required by federal agencies.
- Chairs the Vivarium Space Committee and coordinate space requests.
- Manages waste stream in accordance with all applicable laws and regulations.
- Performs annual time motion study for determination of per diem rates.
- Interfaces with Facilities Office on renovations and special projects.
- Maintains AAALAC accreditation for JABSOM and UH Cancer Center.
- Develops training materials for vivarium orientations and the Occupational Health and Safety Program. Maintain training records.

Office of Research Integrity

The Office of Research Integrity (ORI) is responsible for responding to allegations of research and scholarly misconduct, including, but not limited to whistleblower retaliation and Conflicts of Interests. The ORI works closely with the institution's faculty Ethics Committee (EC) to assess, inquire, and, when necessary, investigate alleged research and scholarly misconduct consistent with principles of due process and impartiality as promulgated by: (1) Public Health Service Polices on Research Misconduct, 42 CFR Part 93, Office of Research Integrity; and (2) EP 12.211, Policy for Responding to Allegations of Research and Scholarly Misconduct. The ORI also provides informal advice to faculty, staff, and students regarding situations that could be considered research or scholarly misconduct.

In addition to its primary mission, ORI provides training and education to faculty, staff, and students on Responsible Conduct of Research (RCR).

The ORI is also responsible for executing the following functions and programs to be in compliance with the Federal Office of Research Integrity's directives and institutional policies and procedures:

- Receive misconduct allegations; assist in information gathering to effectively assess, inquire, and investigate as appropriate.
- Administer and provide staff support to inquiry and investigation panels on all aspects concerning cases of alleged misconduct.
- Monitors the UH Conflicts of Interest and Financial Conflict of Interests policies and procedures to ensure that they are in compliance with statutory, regulatory, A 133 and other sponsor specific agreements.
- Establish and maintain effective communication with key parties including the Complainant, Respondent, Witnesses, EC, the Deciding Official (e.g., Vice President for Research and Innovation) and the Federal Office of Research Integrity, as necessary.

- Update or develop research integrity policies and procedures as required by the Federal Office of Research Integrity and/or other governing federal regulations.
- Update or develop guidance or policies on RCR topical areas such as data management and authorship.
- Provide educational workshops and training sessions pertaining to misconduct and RCR by:
 - Monitoring CITI on-line or other web-based RCR training component;
 - Prepare and deliver interactive RCR training sessions;
 - Establish and manage a database for RCR training completions;
 - Collaborate and effectively maintain communication with all UH System campuses pertaining to RCR requirements and training; and
 - Update RCR program as required by changes in federal regulation and policy.

Office of Export Controls

The Office of Export Controls (OEC) is responsible for ensuring compliance of research and scholarly work involving: (1) Export Controls; (2) Industrial Security Services; and (3) tasked with administrative processes that are primarily related to restricted research (i.e., export-controlled and/or classified research) and other related business activities of the UH. The OEC serves as the main resource for UH administrators, researchers and other faculty and staff who are involved with research projects and business matters which require the review and execution of certain types of unfunded contractual agreements that may be subject to various U.S. laws and regulations.

Export Controls is responsible for:

1. Assisting UH researchers in complying with complex and ever-changing U.S. export control laws and regulations.
2. Developing and implementing export control policies and procedures to ensure compliance with applicable federal regulations and UH policies and procedures.
3. Providing advice and classification assistance for export controlled technologies and equipment.
4. Preparing and submitting appropriate export control license applications to appropriate federal agencies.
5. Conducting assessments and evaluations as necessary and appropriate.
6. Developing, updating and administering UH policies and procedures relating to export controls.
7. Inspecting labs and specific programs/projects, as necessary and appropriate, and consult and advise on good practices relating to export controls.
8. Investigating allegations of non-compliance with U.S. laws and/or UH policies and procedures relating to export controls.

9. Providing education, training, consultation and administrative support to UH researchers and others who perform work with export control matters across the UH System.

Industrial Security Services:

The UH Office of Industrial Security Services (ISS), under the direction of the UH Industrial Security Management Group (ISMG), is responsible for any and all duties and responsibilities specifically pertaining to the protection of classified information for UH -- including responsibility over all matters necessary to ensure the security of classified information (e.g., the negotiation, execution, administration, and institutional compliance of classified contracts) that are subject to the requirements of the Department of Defense Industrial Security Regulation (ISR) and National Industrial Security Program Operating Manual (NISPOM).

Industrial Security Services is responsible for:

1. Ensuring that UH complies with all policies, regulations and contractual stipulations relative to safeguarding classified information accessed by UH, in accordance with federal requirements (ISR and NISPOM), and appropriate approvals from the Defense Security Service, when necessary.
2. Assisting researchers in complying with applicable U.S. laws and regulations pertaining to classified research.
3. Developing, updating and administering UH policies and procedures relating to classified research.
4. Investigating allegations of non-compliance with U.S. laws and/or UH policies and procedures relating to classified research.
5. Providing administrative industrial security services support for researchers on a UH System level, including but not limited to the Applied Research Laboratory at UH.
6. Providing education, training, consultation and administrative support to UH researchers and others who perform classified work across the UH System.

APPROVED:



03/01/2017

Vassilis L. Syrmos
Vice President for Research and Innovation

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

PROPOSED FUNCTIONAL STATEMENT

INTRODUCTION

The University of Hawai'i's Office of Innovation and Commercialization is responsible for the management of intellectual property and technology assets developed at the University of Hawai'i and the transfer of new technology to broader public use through its commercial partners.

MAJOR FUNCTIONS

- Manage intellectual property assets developed through research and scholarship at the UH to identify, develop and transfer innovative technologies to broader public use through commercial partners.
- Foster commercial investment in UH 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 of Hawai'i-owned intellectual property to generate revenues for the support of the UH's technology transfer and economic development programs.
- Facilitate economic development and innovation through the education, training and research missions of UH.
- Facilitate and encourage technology transfer and economic development activities by the UH on a system-wide basis.
- Promulgate and administer UH policies to assist faculty, students and the community-at-large achieve the goals as described in the six functional statements listed above.

Office of Technology Transfer

The Office of Technology Transfer provides for the management of intellectual property assets and the transfer of new technology for the entire UH System. Functional responsibilities include:

- Develop and implement the UH's intellectual property and technology licensing functions, including the day-to-day administration of UH's Patent and Copyright Policy.
- In cooperation with other UH offices, investigate and resolve intellectual property disputes, and develop recommendations for the UH President regarding intellectual property rights.
- Solicit and receive invention disclosures for discoveries and inventions from UH researchers.
- Educate UH 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 UH.

UH Ventures

The UH Ventures office is responsible for intellectual property and technology licensing, economic development, education and developing commercial partnerships to drive and stimulate economic growth and opportunities. Functional responsibilities include:

- 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 UH 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 UH-licensed intellectual property.
- Develop and implement entrepreneurial education, support programs and activities to foster the spin-off of technology business from UH research.
- Work with inventors to understand their research innovations, discover commercial applications for their research and identify companies that may be interested in working with UH to develop and commercialize innovative new technologies.
- Analyze the commercial potential, technical risks and market challenges of UH 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.
- Work with researchers to provide additional commercialization pathways.
- Draw upon and expand, the existing network of partners including alumni, industry experts, campus-based entrepreneurship resources, and state agencies and businesses to offer tailored advice for science-based ventures.
- Support related activities that contribute to the efficient operation of the office.
- Actively support the program goals of the office and UH.

Strategic Grants Development Office

The Strategic Grants Development Office is responsible for assisting and mentoring faculty, students, post-docs, alumni, and the research community at-large in the development and application for research funding and large, multi-investigator grants. Functional responsibilities include:

- Foster entrepreneurship among students, faculty and staff, and in cooperation with other UH and external organizations, provide training in starting and managing a technology business, obtaining needed financing, and protecting and developing intellectual property.
- Analyzes, develops and implements a multitude of strategies to increase research grants funds for UH.
- Identifies potential funding opportunities and collaborations, and is actively involved from the planning to submission stages of major and multi-investigator research and training grants.
- Works with faculty start-ups to identify Small Business Innovation Research (SBIR) and Small Business Technology Transfer Research (STTR) funds.



03/01/2017

Vassilis L. Syrmos
Vice President for Research and Innovation

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

PROPOSED FUNCTIONAL STATEMENT

INTRODUCTION

The Office of Strategic Initiatives (OSI) at the University of Hawai'i (UH) is responsible for the development, oversight and management of OVPRI's discretionary projects and programs to ensure its continuity and the attainment of, performance metrics, standards, targets and strategic goals.

STEM Pre-Academy

STEM Pre-Academy is responsible for *amplifying the impact and extending the reach* of University of Hawai'i (UH) research and innovation to middle school teachers and students at public and public charter schools statewide.

STEM Pre-Academy performs the following broad functions:

- Creates innovative educational experiences for UH research students that provide access to the vanguard of Hawai'i's future STEM community.
- Develops and grows a broad coalition of UH researchers, graduate and undergraduate students, public middle school teachers and their students, and industry to expand the engagement, capacity, and technical capabilities of Hawai'i's future STEM leaders -- with the aim of introducing and inspiring students to consider future STEM research, educational and workforce possibilities.

University of Hawai'i Research and Innovation:

- Actively supports the strategic goals and focus of the UH System and the Office of the Vice President for Research and Innovation with continued focus in critical areas of interest and strength as outlined in the UH Strategic Directions, 2015-2021.
- Assists the Office of the Vice President for Research and Innovation with the efficient development of policy that can directly impact larger public school initiatives and student pipelines throughout the state.

- Strategically partners with UH research and outreach programs to facilitate greater effectiveness.
- Fosters direct relationships between UH research faculty/students with the public middle school teachers to bring real-world research into classrooms and provide feedback on the educational potential of ongoing research.
- Develops and refines evaluation measures to ensure that the activities of STEM Pre-Academy continue to contribute to the advancement of research through science, technology, engineering, and mathematics in the middle schools.
- Provides teachers with direct access to tools, materials, and techniques of active and current research in order to allow them to incorporate cutting-edge STEM technology, knowledge, and experience into their classroom.
- Facilitates technology transfer, economic development activities and related strategic initiatives by UH on a system-wide basis.

Academy for Creative Media

The Academy for Creative Media System (ACM System) supports and coordinates creative media programs throughout the UH System to support the diversification of Hawaii's economy on every island. The ACM System fosters collaboration between the campuses and programs of the UH System and encourages a multi-disciplinary approach to education.

Major Functions

Office of the Director

The Office of the Director conceives, directs, and administers the Academy for Creative Media System programs system-wide by articulating a clear and strategic vision for creative media education at UH. Functional responsibilities include:

- Support for creative media programs at all campuses
- Develops and maintains partnerships among the UH System campuses and other local educational institutions, including the development of articulation agreements, joint curriculum between campuses, and student and faculty exchanges.
- Supports workforce development through creative media middle and high school outreach, and collaborates with the State of Hawai'i Department of

Education, UH STEM Pre-Academy Program, related programs and stakeholders.


- Establishes and oversees partnerships with social media platforms, internet distribution platforms, motion picture, television, animation, visual effects, and video and mobile game companies to establish student internships, guest lectures by industry professionals and employment opportunities for graduates.

Academy for Creative Media Instructional Faculty and Support

The Instructional Faculty and Support provides instructional faculty and support services for the UH campuses. Working directly with the Office of the Director and the respective campus, the unit coordinates and executes the system-wide expansion of ACM by developing or enhancing existing creative media centers of excellence at UH campuses through a multitude of classes specializing in creative media.

University of Hawai'i Research and Innovation

- Actively supports the strategic goals and initiatives of the UH System and the Office of the Vice President for Research and Innovation with continued focus in critical areas of interest and strength as defined in the UH Strategic Directions, 2015-2021.



03/01/2017

Vassilis L. Syrmos
Vice President for Research and Innovation

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

PROPOSED FUNCTIONAL STATEMENT

INTRODUCTION

Administered by the UH System Offices under the Office of the Vice President for Research and Innovation (OVPRI), the Applied Research Laboratory at the University of Hawai'i (ARL at UH) was established in July of 2008 as a Navy sponsored research laboratory. Its purpose is to serve as a research center of excellence for critical Navy and national defense science, technology and engineering with a focus in naval missions and related areas. ARL at UH conducts strategic research and technical services for the Navy, the Department of Defense (DOD) and other government agencies.

MAJOR FUNCTIONS

The ARL at UH performs the following broad functions:

- Actively support the strategic goals and focus of the UH System and the Office of the Vice President for Research and Innovation with continued focus in critical areas of interest and strength as outlined in UH Strategic Directions (e.g., ocean sciences; astronomy; cybersecurity; sustainable energy);
- Organize collaborative activities and promote other linkages between Navy/DOD, academia and industry;
- Assist in the transfer of technology to industry;
- Help build the State's research industry and to create more jobs and opportunities. Especially for local and UH students that wish to pursue a career in science, technology, engineering and math (STEM) and in defense related fields.