

UH Institutional Questions

Tab	Section Name	Expanded Instructions
Proposal	Required Fields for Saving Document	<p>Proposal Type</p> <ul style="list-style-type: none"> • New: Not proposed to this sponsor previously. • Revision: When the sponsor has requested a revision to the scope of work or budget in response to the original proposal. • Continuation: A proposal to continue an existing award. • Renewal: A proposal for the next competitive funding cycle. For example, if an award for a five-year project has ended, a submission for a renewal might request funding for years six through ten. • Supplemental: A proposal to add work and budget to an existing award. Do not select this type for grants.gov s2s submissions. • Preliminary: A proposal in advance of submission of a full proposal. • Task Order: Project funded under a master agreement. • Resubmission: Select this for a corrected grants.gov s2s submission that received validation errors after the initial submission. • Post Award Action: Select this type in order to route modification documents or modifications to an award for already awarded proposals. <p>Activity Type</p> <p>If your proposal does not fit within the defined categories, it is possible that it should not be submitted through ORS. If you have any questions, contact ORS.</p> <ul style="list-style-type: none"> • Research: A systematic, intensive study intended to increase scientific knowledge or understanding of the subject studied, a systematic study specifically directed toward applying new knowledge to meet a recognized need, or a systematic application of knowledge to the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements. • Education and Training: Instruction or training funded by a grant or contract, including related activities such as: community service activities for academic credit, curriculum development, dissertation research, research experiences for K-12 teacher, and student support services. Training of post docs or graduate students in research techniques (commonly called research training) should be identified as "Research."

<p>Proposal (continued)</p>	<p>Required Fields for Saving Document (continued)</p>	<ul style="list-style-type: none"> • Other: The performance of work that does not fit into the other categories for which extramural support is being sought. Such activities may include extension services, exhibitions, consultation services relating to existing programs or services, small business development centers, cataloging and archiving activities, publications grants, sponsored activity for broadcasting services, etc. • Construction or Improvement of Facilities: The construction or acquisition of facilities (buildings or major renovations) in which title to the facilities passes to UH. • Acquisition of Research Equipment: The fabrication or acquisition of equipment or other instrumentation in which title passes to UH. • Public Service: Use for outreach programs and community awareness. • Clinical Trial (federally funded): Use this Activity Type for any clinical trial funded by the Federal government. • Clinical Trial (non-federally funded): Use this Activity Type for any clinical trial funded by a company or organization other than the Federal government. • Fellowship – Pre-Doctoral: Use this Activity Type for proposals that provide support for individual pre-doctoral fellowships. • Fellowship - Post Doctoral: Use this Activity Type for awards that provide support for individual post-doctoral fellowships. • Student Services: Represents services outside the formal instruction program. Includes student services or advising, counseling, admissions, registration, financial aid counseling, etc. • Symposia, Conferences and Workshops: Other short-term instructional or information sharing activity • Intergovernmental Personnel Act (IPA): Agreements for assignment of personnel and reimbursement of salary and fringe benefits between government agencies. • Ship Operations:
<p>Key Personnel</p>	<p>UH Proposal Person Certification</p>	<p>The certifications in this section apply to the Principal Investigator (PI) / Project Director (PD) of the proposed project. Read the certifications carefully and understand that by electronically approving the proposal you will be held accountable for these statements.</p> <p>Lobbying Activities</p> <ul style="list-style-type: none"> • Restrictions issued by the Office of Management and Budget (OMB) bar recipients of federal funds from using such funds to lobby sponsoring agency officials or members of Congress for a grant, contract, or other award. Under these rules, UH must certify when

applying for or receiving \$100,000 or more in federal funds that federally appropriated dollars have not and will not be used to lobby in connection with an award.

Intellectual Property

- UH holds the title to intellectual property (IP) developed at the University, and it will only relinquish its ownership in exceptional circumstances. To advise and assist investigators and others with issues and questions pertaining to IP, UH has established an Office of Technology Transfer and Economic Development (OTTED). OTTED is organized to help UH faculty, staff, and students to identify, manage, protect, and commercialize the University's IP assets.
- Your answer to this question will serve as your proxy for IP issues if the proposal is funded.
- For additional information, contact OTTED at 539-3817 or by email at otted@hawaii.edu. Visit the OTTED website at <http://www.otted.hawaii.edu/>.

Publication

- Principles of academic freedom provide broad publication and communication rights to university investigators. In certain circumstances, sponsors may seek to restrict publication of specific information.
- Your answer to this question will serve as your proxy for publication issues if the proposal is funded.

Conflicts of Interest

- Actual and perceived conflicts of interest can be damaging to UH and to individual members of the research team. It can also undermine the credibility and validity of the research itself. All UH faculty, staff and administrators are required to comply with UH Executive Policy E5.214 at <http://www.hawaii.edu/apis/ep/e5/acaf.php>. At any time a reasonable person with knowledge of the relevant facts would question your impartiality in the conduct of your research, a potential conflict of interest exists, and these facts must be disclosed on this form. UH is then obligated to take such actions as necessary to manage, reduce or eliminate the conflict.
- In addition, specific federal regulations apply to research sponsored by the National Science Foundation (NSF) or Public Health Service (PHS). If your research involves PHS or NSF funds, as a direct award or through a subaward, the PI and anyone else who is responsible for the design, conduct or reporting of the research, or proposal of the research, must disclose any "Significant Financial Interests" to UH, using this form. For definition of a "Significant Financial Interest" go to http://www.nsf.gov/pubs/policydocs/papp/aag_4.jsp for NSF and http://grants.nih.gov/grants/compliance/42_CFR_50_Subpart_F.htm for PHS awards.

<p>Custom Data</p>	<p>Does RFP require any of the following?</p>	<p>Responsible Conduct of Research (RCR)</p> <ul style="list-style-type: none"> Enter "y" only if it is required by the RFP. In general, RCR training is required for all new research proposals submitted to NSF on or after January 4, 2010; all new and renewal applications for NIH training, career development awards, research education grants and dissertation research grants submitted to NIH on or after January 25, 2010; and all continuation (Type 5) applications of the foregoing types submitted to NIH on or after January 1, 2011. <p>ARRA Proposal</p> <ul style="list-style-type: none"> Enter "y" if the proposal is funded in whole or in part by the American Recovery and Reinvestment Act (ARRA). <p>Native Hawaiian Serving Institution</p> <ul style="list-style-type: none"> Usually enter "n", enter "y" only if the sponsor or proposal (RFP) requires that the institution be a Native Hawaiian Serving Institution. If you have any questions, please contact an ORS Pre-Award specialist. <p>SBIR/STTR</p> <ul style="list-style-type: none"> Enter "y" if this is a research project with a private industry sponsor that is for profit commercial entity that will be funded with: <ol style="list-style-type: none"> the commercial entity's private monies (excluding clinical trials sponsored by a pharmaceutical company); or small business innovation research (SBIR) funding; or small business technology transfer funding; or a combination of the above (SBIR, STTR, private for-profit funds), including when such funds are passed through to UH in a subaward; or the Center for Excellence for Research in the Ocean Sciences (CEROS) and the Hawai'i Technology Development Venture (HTDV). <p>Limited Submission Program</p> <ul style="list-style-type: none"> Enter "y" if the RFP has a restriction on the number of submissions that may be submitted from an institution either per solicitation or per year. If the answer is "yes", please see the ORS website at http://www.ors.hawaii.edu/index.php/apply/proposal-submission-and-review-process/restrictions-and-limitations for institutional review and approval coordination. <p>Non-Competitive:</p> <ul style="list-style-type: none"> Usually enter "n", enter "y" only if the sponsor or RFP specifically indicated i.e. formula grants. <p>Minority Serving Institution</p> <ul style="list-style-type: none"> Usually enter "n", enter "y" only if the sponsor or proposal (RFP) requires that the applicant organization be a Minority Serving Institution at the time of application (this is very rare). If you have any questions, please contact an ORS Pre-Award specialist.
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Questions	Commitments	<p>Cost Sharing</p> <ul style="list-style-type: none"> • Cost sharing (also called cost matching or in-kind contributions) refers to resources contributed or allocated by UH (or another third party) to a sponsored project over and above the support provided by the sponsor. UH may share the cost of a sponsored project when such costs are mandated by the sponsor. Cost sharing commitments made in a proposal are legally binding commitments made by UH to the sponsor. • Cost sharing increases administrative burden and risk of adverse audit findings for UH. Therefore, voluntary cost sharing should be avoided, when possible.
Questions	Other Certifications	<p>1. NIH Training Module – Committee for Human Studies (CHS)</p> <ul style="list-style-type: none"> • If the proposal involves the use of human subjects, the CHS approval from the Institutional Review Board (IRB) is required. The IRB serves as an oversight committee, with the purpose of protecting and managing risk to human participants involved in sponsored activities. For NIH proposals that involve human subjects, the certification of completion of NIH Protecting Human Research Participants training at http://phrp.nihtraining.com/users/login.php by all individuals responsible for the design or conduct of the study, and those individuals identified as key personnel of consortium participants or alternate performance sites is also required. For further information contact the UH Human Studies Program at 956-5007 or visit the Website at http://www.hawaii.edu/irb/. <p>2. Care and Use of Vertebrate Animals</p> <ul style="list-style-type: none"> • The Institutional Animal Care and Use Committee (IACUC) has been established at UH to ensure compliance with federal that are used in research, teaching/ training, testing and/or exhibition/display. The IACUC will determine whether the proposed use of vertebrate animals for your project is scientifically justifiable and the welfare and treatment of animal subjects are adequately addressed. <p>3. Environmental Health and Safety</p> <ul style="list-style-type: none"> • At UH, the Environmental Health and Safety Office (EHSO) is responsible for ensuring compliance with federal regulations in the areas of Radiation Safety and Diving Safety. EHS approval is required prior to such involvement. For further information, contact EHSO at 956-8660 or visit the EHSO Website at www.hawaii.edu/ehso. • Radiation Safety: Includes any use of radioactive material and radiation-producing machines (x-rays, microwaves, etc.). • Diving Safety, including any use of compressed gas for scuba diving. <p>4. Biosafety</p> <ul style="list-style-type: none"> • At UH, the Office of the Assistant Vice Chancellor for Research and Graduate Education is responsible for ensuring compliance with federal regulations in the areas of import/export of biological commodities, recombinant DNA technology and possession use and transfer of Select Agents. For further information, contact the

Assistant Vice Chancellor for Research and Graduate Education Office
at uhpermit@hawaii.edu

5. Subcontractor Proof of Commitment

- Answer yes if a portion of the proposed scope of work will be conducted by a non-UH entity under a subcontract (this entity is referred to as a subrecipient). Do not answer yes to reflect services to be provided by a vendor.
- The difference between a subrecipient and a vendor is that a subrecipient independently carries out part of a project for which UH has been awarded funds. A vendor may provide goods and services to UH, but is not responsible for independently carrying out a scope of work. Because a subrecipient has responsibility for programmatic decision-making, its performance could affect the ability of UH to meet the obligations of its award. Federal regulations require UH to monitor subrecipient administration of federal funds.

6. Risk Management

- Some projects involve activity that significantly increases risk to UH. This includes, but is not limited to, studies involving ocean exploration and/or clinical interventions with human subjects. UH has a Risk Management Office that is responsible for reviewing and mitigating potential risks to UH. Advance warning and knowledge of possible risk factors enable a preliminary assessment of risk and exposure to liability for UH. Such knowledge enables UH to take the necessary steps to protect UH interests. Such steps may include the purchase of additional insurance or the inclusion of terms and conditions to the award document.
- Answer yes if your proposed project includes medical professionals with human contact, patient care, HIV or other pathogens, use of watercraft, or other hazardous working conditions.
- For additional information, contact the UH Office of Risk Management at 956-7243.

7. Background Intellectual Property

- Some research and development projects involve intellectual property (IP) developed under a previous award or activity. Such IP must be disclosed and identified.
- For additional information, contact OTTED at 539-3817 or by email at otted@hawaii.edu. Visit the OTTED website at <http://www.otted.hawaii.edu/>.

Questions	Proposal Questions	<p>1. Export Controlled Technology</p> <ul style="list-style-type: none"> At UH, the Office of Export Controls (OEC) is responsible for ensuring compliance with US export control laws and regulations. For further information, contact OEC at 956-9036 or visit the OEC Website at http://www.hawaii.edu/offices/export/ Answer yes if your proposed activity includes, or will result in, export-controlled technology or data (ITAR, EAR, etc.). Indications of export controls include sponsor restrictions on disclosure and/or access by foreign nationals. http://www.hawaii.edu/apis/ep/e5/e5218.pdf <p>2. Human Subjects</p> <ul style="list-style-type: none"> At UH, The Human Studies Program is the department established by the University of Hawaii (UH) that is responsible for the federally-mandated program that ensures UH compliance with government regulations and institutional policies written to protect the safety, welfare and rights of human subjects who participate in research. Answer yes if the proposed project involves the use of Human Subjects. If yes, you must add a CHS entry in the Special Review tab. Also attach CHS Approvals/ Exemptions if applicable (Attachments Tab). For further information contact the UH Human Studies Program at 956-5007 or visit the Website at http://www.hawaii.edu/irb/.
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