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From the Director’s Office

Aloha kākou,

We are pleased to announce that ORS has launched the principal investigator online orientation which includes the entire life cycle of the extramural proposal and award process—search funding opportunity searches, proposal submission, postaward administration, subaward, and project management to close out. We hope the information will be useful to faculty who are new to the University of Hawaii (UH) or who would like to refresh their memories on the extramural award process at UH. Please see details in the article below.

As a reminder, July 1, 2015 was the start of the base year for our next facilities and administrative (F&A) proposal. Please be mindful on timely recording expenditure before fiscal year end on June 30, 2016. Details on critical recording are listed in the article below. We also want to clarify the indirect cost (IDC) rate in regards to treating it as an approved waiver vs. sponsor cap when UH’s fully negotiated rate is not used in the proposal. Please see our clarification in the below article.

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From the Director’s Office (continued)

Further, included in this month’s newsletter are feedback for strategies for simplifying National Institute of Health’s (NIH’s) grant application instructions, and a request for public comment published in the Federal Register (http://www.gpo.gov/fdsys/pkg/FR-2015-07-23/pdf/2015-18007.pdf) regarding National Science Foundation’s (NSF’s) draft updated standardized format for use in submission of interim and final Research Performance Progress Reports (RPPR). We ask faculty and staff to take the opportunity to provide their comments and feedback to NIH and NSF.

Mahalo,

Yaa-Yin Fong
Director

National Institutes of Health (NIH) Request for Information for Strategies for Simplifying NIH’s Grant Application Instructions – Feedback

The National Institutes of Health (NIH) seeks input on the restructuring of the NIH grant application instructions. NIH encourages feedback from project directors/principal investigators, administrative offices, offices of sponsored programs, systems administrators, and any other parties that rely on their application submission information.

Responses must be submitted electronically on the submission website (http://grants.nih.gov/grants/rfi/rfi.cfm?id=47) by September 25, 2015. Please see the link below for complete information.


National Science Foundation (NSF) Draft Updated Standardized Format for Use in Submission of Both Interim and Final Research Performance Progress Reports (RPPR)

A request for public comment was published in the Federal Register (http://www.gpo.gov/fdsys/pkg/FR-2015-07-23/pdf/2015-18007.pdf) on July 23, 2015 regarding a draft updated standardized format for use in submission of both interim and final Research Performance Progress Reports (RPPR). This updated format is an initiative of the Research Business Models, an Interagency Working Group of the Social, Behavioral & Economic Research Subcommittee of the Committee on Science (CoS), a committee of the National Science and Technology Council (NSTC).

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National Science Foundation (NSF) Draft Updated Standardized Format for Use in Submission of Both Interim and Final Research Performance Progress Reports (RPPR) (continued)

The original version of the RPPR format was approved for implementation in the Federal Register (FR) [Volume 75, pages 1816-1819, January 13, 2010]. As part of this FR notice, it was stated that the development of a final RPPR format would take place upon completion of the interim RPPR exercise. A revised draft of the format has been developed to incorporate lessons learned by agencies during the initial implementation of the RPPR. The approach also has been changed from using the format for interim performance progress reports only to using the format for both interim and final performance progress reports.

A “For Comment” version of the draft format, along with a summary of significant changes, are posted on the NSF website at: http://www.nsf.gov/bfa/dias/policy/rppr/index.jsp.

Comments must be received by close of business September 21, 2015 and should be addressed to Suzanne H. Plimpton, Reports Clearance Officer, Office of the General Counsel, National Science Foundation, 4201 Wilson Blvd., Arlington, VA, 22230, email: splimpto@nsf.gov; telephone: (703) 292-7556; fax (703) 292-9242.

For information on the RPPR, contact Jean Feldman, Head, Policy Office, Division of Institution & Award Support, National Science Foundation, 4201 Wilson Blvd., Arlington, VA, 22230, email: jfieldman@nsf.gov; telephone (703) 292-8243.

Principal Investigator (PI) Online Orientation

ORS has recently completed its online Principal Investigator (PI) Orientation designed to provide PIs and project directors (PDs) with a high level overview of the extramural proposal, award and project management process at the University of Hawaii (UH).

Areas covered include finding funding, proposal development and submission, award acceptance, project account setup, project management, post-award, subaward and award closeout. If you are new to the UH, or if you may be interested in a refresher, please take the time to check it out.

The online orientation may be found at http://www.hawaii.edu/ors/training/PI_Orientation/story.html.

We hope you will find it helpful and informative.
The Office of Management and Budget's (OMB) Uniform Guidance (UG): Travel Costs Clarification

Although Office of Management and Budget’s (OMB) Uniform Guidance (UG) 2 CFR §200.474 allows certain travel costs such as unrestricted airfare tickets and temporary dependent care costs that result from travel to conferences on the project accounts, these costs must be treated consistently in like circumstances in the university's non-federally funded activities. Due to the associated costs of allowing these travel related expenditures and the impact to University of Hawaii institutional funds, the university has decided not to adopt these into its institutional travel reimbursement policy. As such, please continue to abide by AP 8.851 (http://www.hawaii.edu/policy/docs/temp/ap8.851.pdf).

For questions, please contact Dawn Kim, ORS Compliance Manager, at dawnkim@hawaii.edu or (808) 956-0396.

Annual Effort Certifications and Cost Sharing Effort Certifications

On August 14, 2015, Effort Certifications and Cost Sharing Effort Certifications will be available for review and approval by the principal investigators (PIs) and fiscal administrators (FAs). These must be certified by September 30, 2015. Similar to last year, payroll processed through the Kuali Financial System (KFS) Labor Ledger will be certified through KFS on the Effort Certification eDoc (ECD). ECDs will be created for each University of Hawaii (UH) employee who was paid salaries and wages for services performed during FY 2015 from a federal extramural account. ECDs will be saved in the PIs' action list for review and approval then routed to the FAs. We have finally been able to activate the spawning of Salary Transfers (STs), so PIs can now revise the amounts directly on the ECD. By doing so, an Effort Certification Salary Transfer eDoc (ECST), which functions similar to a regular ST will be created when the FA tries to approve the ECD. The corresponding ECST will appear on the ECD for the FA to prepare the appropriate adjustments. Please refer to the Effort Reporting Training Manual (http://www.fmo.hawaii.edu/financial_systems/index.html#tab10) for detailed instructions on reviewing ECDs and processing related ECSTs if applicable.

In addition to the KFS ECDs, PIs must also certify Cost Sharing effort for their extramural awards on an annual basis. For Cost Sharing effort, which is recorded through a DI in the KFS cost share sub-account, an online certification will be available for the PIs to review and approve. They will be able to access the online certification using their UH username and password. Although FAs are not required to approve, they will be able to review any outstanding certifications for their PIs.

A separate announcement will be made once the certifications are available. ORS will follow up on all outstanding certifications and may escalate the matter to the appropriate Deans / Directors or suspend account activity, if necessary. For Cost Sharing Effort Certifications, FAQs will also be posted to the ORS website once the certifications become available.

Please contact ORS Compliance at compliance@ors.hawaii.edu with any questions.
Which Indirect Cost Rate Should I Use for My Proposal?

When preparing the budget for your proposal, the principal investigator often questions which indirect cost rate to use.

For Federal Sponsors:

Under the Office of Management and Budget (OMB) Uniform Guidance (UG) 2 CFR Part 200.414(c), federal and federal pass-through proposals are entitled to the institution's full negotiated facilities and administrative (F&A) rate, unless the F&A recovery is limited by federal statute or regulation, or approved by a federal agency head. When the limitation of F&A recovery is approved by the head of the agency, it is considered a sponsor cap. Please follow detail #2 below for using the sponsor cap rate.


For State Sponsors:

As noted above, the full federally negotiated F&A rate is applicable on federal funds, including federal pass-through funds, for awards from the State of Hawaii and local city and county government sponsors. However, while full recovery of the allowed F&A rate is preferred, UH will waive and accept the following F&A rates based on modified total direct costs for proposals submitted on or after July 1, 2015:

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 2016</td>
<td>13%</td>
</tr>
<tr>
<td>FY 2017</td>
<td>16%</td>
</tr>
<tr>
<td>FY 2018</td>
<td>19%</td>
</tr>
<tr>
<td>FY 2019</td>
<td>22%</td>
</tr>
<tr>
<td>FY 2020</td>
<td>25%</td>
</tr>
</tbody>
</table>

Waiver approval is not required if the above rates are used. However, a waiver approval is required if a rate lower than the above rates is proposed. Exceptions to the rates specified may be made to comply with federal agency requirements that limit F&A rates for funding passed through the state to the university.

For proposals to the State of Hawaii or local city and county government involving non-federal funds, an F&A rate of 10% is generally used. Please check the "Waiver" box in myGRANT for unrecovered F&A when using the above rates for State sponsors.

For Other Sponsors:

1. Use UH Negotiated Rates: If the solicitation does not mention any restrictions on indirect cost rates (IDC), the full rate should be taken. Use the “Current F&A rates” on the ORS website at http://www.ors.hawaii.edu/index.php/apply/budget-development/indirect-costs.

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Which Indirect Cost Rate Should I Use for My Proposal? (continued)

2. **Sponsored Cap:**

   If the sponsor does not specifically allow for indirect costs based on sponsor limitations or prohibitions that can be verified online, no waiver is required. Attach the solicitation in the myGRANT proposal development record “Abstracts and Attachments” tab, “Internal Attachments” subtab as documentation and enter the unrecovered F&A in the myGRANT “Budget Versions” tab, “Unrecovered F&A” subtab, then check the Sponsor Cap box.

   If the sponsor uses accepted Sponsor Specific indirect cost rates found at the ORS website at [http://www.ors.hawaii.edu/index.php/rates/83-quick-links/100-sponsor-specific-rates](http://www.ors.hawaii.edu/index.php/rates/83-quick-links/100-sponsor-specific-rates), no waiver is needed. Enter the unrecovered F&A in the myGRANT “Budget Versions” tab, “Unrecovered F&A” subtab, and check the Sponsor Cap box.

3. **Waiver:**

   If you will be using a rate not included in the above categories, you will need a waiver/partial waiver approval from your chancellor’s office. The principal investigator/program director should draft a memo or email request for waiver to the respective campus chancellor or designee, via their dean or director, and include the amount of the waiver, reason for the request, and the benefit to the university as a result of the waiver, with ramifications if the approval is not granted. Once the waiver is approved, attach the approval in the myGRANT proposal development record “Abstracts and Attachments” tab, “Internal Attachments” subtab as documentation, and enter the unrecovered F&A in the “Budget Versions” tab, “Unrecovered F&A” subtab. Also check the Waiver box.

   As used above, unrecovered F&A means the amount the University would have received if full indirect costs were allowed.

   The policy regarding tracking unrecovered indirect costs is AP 8.927 at [https://www.hawaii.edu/policy/?action=viewPolicy&policySection=ap&policyChapter=8&policyNumber=927](https://www.hawaii.edu/policy/?action=viewPolicy&policySection=ap&policyChapter=8&policyNumber=927).

   The university’s waiver policy can be found in AP 8.927, Section III.C.2 at [https://www.hawaii.edu/policy/?action=viewPolicy&policySection=ap&policyChapter=8&policyNumber=927](https://www.hawaii.edu/policy/?action=viewPolicy&policySection=ap&policyChapter=8&policyNumber=927).

If you are unsure which category your indirect cost rate falls under, please contact your ORS Contracts and Grants Specialist ([http://www.ors.hawaii.edu/index.php/ors-assignments](http://www.ors.hawaii.edu/index.php/ors-assignments)).

The general, step-by-step myGRANT instructions can be found at the ORS website at [http://www.ors.hawaii.edu/files/myGRANT_guide_general.pdf](http://www.ors.hawaii.edu/files/myGRANT_guide_general.pdf), or you may contact the ORS Helpline at helpline@ors.hawaii.edu or (808) 956-5198.
Fiscal Year 2016 – Base Year for Facilities and Administrative Cost Proposal

Fiscal year (FY) 2016 is the base year for the facilities and administrative (F&A) cost proposal. Therefore, it will be especially important to properly record expenditures in a timely manner so it can be accounted for in the base year. Here are some reminders:

Higher Education Function Code (HEFC) – It is important that the correct HEFC is recorded for each account so that the expenses can be classified properly. This applies to all accounts, not only sponsored project accounts. If there are any operations and maintenance costs recorded by the department, these costs should be recorded in an account established with a HEFC in the Operations and Maintenance category so they can be easily identified and allocated properly. Please refer to the university’s Financial Management Office’s website, http://www.fmo.hawaii.edu/account_codes/index.html, for information on the HEFC codes and definitions and FAQs.

Space Survey – A space survey will be conducted in early 2016 to provide accurate data on space for use in the fiscal and administrative cost proposal. The purpose of the survey is to assign the actual functional use of the space to support reasonable allocations of facilities costs to research, instruction and other usage. Space Coordinators have been identified for the various schools and units to assist in gathering the information required. Further information will be forthcoming.

Property & Fund Management Office (PFMO) Physical Inventory – A memo dated July 28, 2015 was sent out by the PFMO office regarding the FY 2015 physical inventory verification reports. We request that these reports be reviewed carefully to record any dispositions or adjustments necessary, which will result in an accurate fixed asset listing. As any adjustments related to the FY 2015 survey will be recorded in fiscal year 2016, therefore, it is important to record all adjustments with the FY 2015 verification reports.

If you have any questions, please contact Joanne Yama, ORS Associate Director of Cost Studies, at jyama@hawaii.edu or (808) 956-9242.

Terminal Vacation Leave Compensation

As a reminder, beginning in fiscal year 2016, termination vacation compensation for University of Hawaii employees related to extramural accounts must be charged to institutional funds and cannot be charged to a project account.

When submitting the Form G-2, Application for Payment in Lieu of Vacation, please be sure to type the institutional account to charge the terminal vacation leave compensation in Section B of the form. If this account number is not provided, the terminal vacation leave compensation will post to the last account on the employee’s PNF. Should this be an extramural project account, an ST eDoc will be required to reclassify the expense out of the project account. Since the extramural vacation reserve fund has been terminated effective June 30, 2015, any ST eDocs submitted for reclassification of terminal vacation compensation for employee terminations beginning July 1, 2015 and after, do not need to be routed to ORS for review and approval.

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Terminal Vacation Leave Compensation (continued)

In addition, starting July 1, 2015, institutional funds/departmental accounts should be used to record any vacation credit transfers required for employees transferring from one position to another funded with a different means of financing.

If you have any questions, please contact Joanne Yama, ORS Associate Director of Cost Studies, at jyama@hawaii.edu or (808) 956-9242.

ORS Grants and Contracts Certification Program, Fall 2015 – Open for Enrollment

ORS is proud to provide continuing education programs to assist administrative officers, fiscal officers and research administrative staff to better understand the contracts and grants process.

The Grants & Contracts Certification Program consists of six (6) modules. Topics for this certification program include:

- Research Administration Overview, Funding Opportunity Search, Proposal Development, Conflict of Interest (COI)
- Facility & Administrative Costs (Indirect Costs), Cost Sharing & Program Income
- Financial & Administrative Compliance and Subrecipient Monitoring
- Proposal Preparation & Processing, Proposal Budget Preparation & Review, and Approval of Contracts & Other Award Documents
- Receiving & Administering an Award, Project Closeout, and Financial & Administrative Compliance Revisited
- Research Compliance, Export Controls, Responsible Conduct of Research (RCR) & Technology Transfers
- Environmental Health & Safety Office (EHSO), Data Management, Risk Management, Human Studies Program (HSP/IRB), and Institutional Animal Care & Use Committee (IACUC)

The program for this fall includes three class sessions on Fridays, September 18, October 2, October 23, 2015, from 10:00 am – 1:00 pm at the University of Hawaii at Manoa in Kuykendall 201. There are also three on-line modules that may be taken from your work or personal computer at any time.

Live broadcasts of the Kuykendall sessions will be made available to Kapiolani Community College, Honolulu Community College, Leeward Community College, UH West Oahu, Windward Community College, UH Maui College, UHMC Molokai Education Center, and UH Hilo.


For more information on this spring’s certification program, visit us at http://www.ors.hawaii.edu/index.php/education-a-training/108-for-adminfiscal-officers-aoho-and-sponsored-program-staff.
ORS Helpline Frequently Asked Questions

How do I register for National Institutes of Health (NIH) eRA Commons or National Science Foundation (NSF) Fastlane?

You can register through our helpline portal: http://www.ors.hawaii.edu/helpline/.

How do I submit my proposal to ORS, once I have completed it in Fastlane?

Once you log in to NSF Fastlane, access the “Proposal Actions” screen. From there, select your proposal number in the list, and click the “Allow SRO Access” button. If there are any errors or missing components in your proposal, you should receive a proposal errors screen. When errors have been corrected, you will get to the “Sponsored Research Office (SRO) Access Control” screen, click the “GO” button next to “Allow SRO to view, edit and submit proposal.” The appropriate ORS Contracts & Grants Specialist will be notified that your proposal is ready to submit.

Please note that you will also need to submit a myGRANT proposal development record. You are required to attach the full NSF Fastlane proposal in the myGRANT proposal development record. To do this, on the “Proposal Actions” screen, click the “Print” button, then the “GO” button next to “Print Entire Proposal.” This will generate a full PDF copy of your proposal, which you can then attach to the myGRANT proposal development record under the “Abstracts and Attachments” tab.

Do you have a Question or Comment for ORS?

Please feel free to contact us at the ORS Helpline:

Email: helpline@ors.hawaii.edu or Phone: (808) 956-5198