From the Director’s Office

Aloha Kākou,

To recognize the efforts of multiple principal investigators, similar to the old Form 5C, the myGRANT proposal development records are able to capture the percentage of RTRF allocation and percentage of effort among the key personnel on projects that have more than one investigator. These fields are used to generate reports for effort reorganization and RTRF allocation. Once more we ask our faculty and staff to be mindful when entering the data into these fields. The RTRF allocation percentage distribution must be agreed upon among all parties. Please see more information in the article below.

As we have done in the past years, ORS will remain operational at a minimum level during the winter professional development days (December 26, 27, 30 and 31, 2013) to provide essential services and support faculty for grant submissions. The ORS winter professional development days schedule can be found as a link on the ORS website.

In this month's articles, we want to give the research community heads up on the upgrade of myGRANT to the KC 5.1.1 release, which addressed some of the user interface issues. We have also provided National Institutes of Health submission updates and a reminder of principle investigator transfer procedures for your reference.

Wishing you and your family a wonderful holiday season!

Mahalo!

Yaa-Yin Fong
Director
National Institutes of Health (NIH) eSubmission Items of Interest

Extended Downtime at Grants.gov

Grants.gov plans to take their service offline from Friday, December 6, 2013 at 12:01 a.m. until Sunday, December 8, 2013 at 11:59 p.m. Eastern Time to perform critical maintenance (Grants.gov Calendar).

To accommodate this extended downtime, the National Institutes of Health (NIH) has made some adjustments to due dates, including moving the standard December 8 Fellowship due date to December 10, 2013 (NOT-OD-14-022).

Don’t Forget Your Inclusion Data

The new FORMS-C application packages use a different approach for collecting inclusion data. In addition to reformatting the data tables themselves, inclusion data is no longer collected in PDF attachments. Instead, each package includes new Planned Enrollment Report and Cumulative Inclusion Enrollment forms. These forms allow NIH to collect the data in a format that can be leveraged throughout the lifecycle of the application/grant.

The forms are included in the application packages as ‘Optional’ and eRA systems no longer provide an error when inclusion data is omitted. However, NIH policies on when to include the data in your application have not changed. Applicants must carefully follow the application guide and supplemental instructions to ensure the new forms are included when needed. A handy decision tree was recently posted that can also help determine whether the inclusion reporting policies apply to your specific application.

FORMS-C Budget Forms and PD/PIs

The latest version of the R&R Budget form developed by Grants.gov includes some changes in how data is entered. Although the PD/PI name provided on the SF424 R&R cover form is still used to auto-populate the first Senior/Key Person entry in Section A, the Project Role filed for that entry no longer defaults to ‘PD/PI’ and must be manually entered. As a result, more applicants have been running into the following error:

There must be a Personnel entry (with a role of PD/PI) listed for the PI or PD on the 424 RR Detailed Budget Page (section A&B) for budget year <x>. (5.7.1)

It is critical to type the string ‘PD/PI’ – NOT ‘PI’ or ‘PI/PD’ or ‘Principal Investigator’ or ‘Co-PD/PI’ – you must use ‘PD/PI’ or you will get that dreaded error. So, please add this to your pre-submission application checks to avoid a corrective submission.

K, F, T and D Programs Moving to Updated Electronic Application Forms (FORMS-C)

A reminder notice regarding the transition of Career Development (Ks), Fellowship (Fs), Training (Ts/Ds) programs to updated electronic application forms (NOT-OD-14-027).

- All F, K, T and D submissions for due dates on or after January 25, 2014 must use the new application forms. Applications submitted using incorrect application forms will not be accepted.

(Continued on the next page.)
National Institutes of Health (NIH) eSubmission Items of Interest (continued)

- Research Training (T), Career Development (K) and Fellowship (F) Parent Announcements will be reissued under new Funding Opportunity Announcement (FOA) numbers. All other active F, K, T and D FOAs will be updated to include a FORMS-C package with the existing announcement (i.e., no FOA number change). NIH is making every effort to have the new FOAs and packages in place 45-60 days prior to the first due date that falls on/after January 25, 2014.

- For the January 7, 2014 AIDS due date, applicants should continue to use the ADOBE-FORMS-B packages found in the old Parent Announcements or that remain available in non-parent announcement.

More Multi-project Activity Codes Moving to Electronic Submission

The second group of activity codes in the NIH transition timeline (G12, P30, P40, P41, P42, P51, P60, R28, S06, U10, U41, U42, U45, U56, UC7) move to electronic application submission for due dates on/after January 25, 2014 (NOT-OD-13-075).

If you are planning to apply to a multi-project program in the near future, you may want to become familiar with the resources available to help you through the electronic submission process:

- Special multi-project supplemental section (#9) in the Application Guide
- ASSIST FAQs including a new set of multi-project budget FAQs
- Annotated form set that helps applicants navigate through most of the system business rule validations
- Multi-project Application Images document that describes how NIH assembles a multi-project application for funding consideration
- ASSIST Training resources including a recorded webinar on the process and instructions for ‘playing’ with ASSIST in a demonstration environment
- ASSIST User Guide

If you have questions or need additional information, please contact Sheri Cummins, Communications & Outreach, NIH Office of Extramural Research, at cumminss@mail.nih.gov.

Final Report Filing for December 2013

In anticipation of the scheduled Professional Development Days, fiscal administrators are asked to provide closeout confirmation, including final cost sharing amounts and any required back up documentation, for all awards with final reports due during the period of December 25, 2013 through December 31, 2013, no later than Friday, December 13, 2013.

Please refer to the closeout confirmation timeline described in APM A8.954, Extramural Closeout Procedures. If timely closeout confirmation is not received, ORS will file the final reports based on the information in KFS as of the date the final report is prepared for filing. Items posted to the

(Continued on the next page.)
Final Report Filing for December 2013 (continued)

account’s continuation account, unposted entries, and encumbrances will not be included in the final report and will not be allowed to be charged to the project account once the final report is submitted to the sponsor.

Please review your awards and communicate with the principal investigator and project staff now to ensure timely closeout notification to your ORS accountant. Please also notify your ORS accountant if you anticipate any problems in meeting these deadlines.

Upcoming myGRANT Version 5.1.1 Release

There is a planned upgrade of myGRANT slated to occur on the weekend of January 10-11, 2014. The upgrade will include various changes, including, but not limited to, some changes to the Proposal Development module which should make creation of a proposal development record easier.

ORS is currently in the final phases of testing the upgrade, and testing is scheduled to be complete by the end of the year, December 31, 2013. Please be on the lookout for updated information from ORS announcements in the future.

United States Department of Education Title III Part A Designations

In order for a campus to apply for new grants under the relevant U.S. Department of Education Title III Part A programs, each campus must annually apply to be designated as an eligible institution for Native Hawaiian and/or Pacific Islanders serving institution.

The application deadline for designation as an eligible institution has not yet been announced as of the release of the newsletter. However, customarily the application is due at the end of January or beginning of February so campuses who wish to apply should begin preparing the data required for the application process.

If your campus intends to apply for designation as an eligible institution and needs assistance, please contact Liane Akana, Contracts and Grants Specialist, at liana@hawaii.edu or (808) 956-9117.

Multiple Principal Investigators (PIs) RTRF Allocation Percentage in myGRANT

When a proposal is submitted with multiple investigators, myGRANT is able to capture the agreed upon indirect cost allocation percentage for each investigator. Accordingly, in FY 2013, the university implemented the allocation of Research and Training Revolving Funds (RTRF) based on the myGRANT RTRF Allocation percentage field. ORS handles the cross-campus split of RTRF and the individual campuses are responsible to further distribute the RTRF to the investigators’ respective schools and units based on the myGRANT RTRF Allocation percentage data.

Moving forward, it is very important for principal investigators and key personnel to properly fill out the agreed upon RTRF allocation percentage field in myGRANT to ensure that the proper campus and school/unit associated with the investigator is credited.

(Continued on the next page.)
Multiple Principal Investigators (PIs) RTRF Allocation Percentage in myGRANT (continued)

If changes are required to existing data, the data must be changed in accordance with the myGRANT record routing approval process for making post award changes. All affected parties must approve the change for it to be accepted. Unilateral changes will not be accepted.

Should you have any questions, please contact Kevin Hanaoka, Cost Studies Manager at hanaokak@hawaii.edu or (808) 956-9242.

Principal Investigator (PI) Transfer Award Procedures

Since awards are granted to the institution and not the individual PI, the support of the institution is needed to effect principal investigator transfers. If you have accepted a position at another institution and want to transfer your current University of Hawai‘i (UH) award(s), discuss the transfer with the sponsoring agency, your fiscal administrator, department chair, dean/director, and the Office of Research Services (ORS). Transferring an award from UH to another institution is an action which must be approved by the awarding agency, and all such requests must be routed through ORS.

Some agencies, such as the National Science Foundation (NSF), have standardized procedures. Other sponsors prefer that a substitute PI be designated at UH and the remaining work subcontracted to your new institution. Some agency-specific requirements are below. In all instances, in addition to agency-required procedures, ORS requires a completed myGRANT "Post Award Action Request" "PI Change" in order to process the change.

National Science Foundation (NSF)

1. Notify the NSF Program Officer
2. Notify your department
3. Notify your ORS Grant Specialist
4. Initiate a NSF PI Transfer Request via FastLane through the Notification and Requests section
5. Create a proposal development record in myGRANT, attach the FastLane request in the "Abstracts and Attachments" tab, then route it for approval and subsequent processing by ORS

National Aeronautics and Space Administration (NASA) Grant

For transfers, NASA requires a close-out of the award from the current institution before making an award to the new one.

1. Notify your NASA Program Officer
2. Notify your department
3. Notify your ORS Grant Specialist
4. Forward the NASA Relinquishment Document from the PI/Department to ORS for concurrence
5. Work with ORS Accounting to prepare the Final SF-425 Federal Financial Report (Final Expenditures are agreed upon by ORS and your Fiscal Department)
6. Have department record any final adjustments/transfers into FRS
7. Have PI send all required final reports to NASA

(Continued on the next page.)
Principal Investigator (PI) Transfer Award Procedures (continued)

Once all of the above have been completed, NASA will issue an award modification to deobligated funds awarded to UH, then will obligate funds to the PI's new institution.

Other Agencies/Corporations/Foundations

1. Notify the sponsor's Program Officer
2. Notify your department
3. Notify your ORS Grant Specialist
4. Complete any sponsor-required forms identified by the Program Officer and/or ORS Grant Specialist
5. Generate a memorandum requesting transfer of the award. The memo should be from the Principal Investigator and should include:
   - PI's name
   - Agency name
   - Grant/Award number
   - Amount of unobligated funds remaining
   - Institution to which transfer is requested
   - Contact information for a Grants Manager or Authorized Representative at recipient institution
   - Requested date of award's termination at UH
   - Signature of Principal Investigator
   - Signature of Dean/Director

6. Submit the signed memorandum to your ORS Grant Specialist. Institutional signature is contingent on delivery of these items.
7. Create a proposal development record in myGRANT, attach the FastLane request in the "Abstracts and Attachments" tab, then route it for approval and subsequent processing by ORS


ORS Hours for Professional Development Days, December, 2013

As in previous years, ORS will be open with limited hours and minimal staff during the Professional Development Days of December 26, 27, 30, and 31, 2013 to perform essential functions. Hours will be as follows:

- Mānoa Service Center: 8:00 a.m. – 4:30 p.m.
- Kaka`ako Satellite Service Center: 10:00 a.m. – 2:00 p.m.

The ORS Project Fiscal Accounting section will be closed on December 30-31, 2013, and the following ORS sections will be completely closed during all Professional Development Days: Project Financial Services, Compliance, Cost Studies, Maui Satellite Service Center, and West Oahu Satellite Service Center. Please plan accordingly and thank you in advance for your cooperation.

(Continued on the next page.)
ORS Hours for Professional Development Days, December, 2013 (continued)

For ORS Helpline and staff availability, please see the professional days matrix posted on the ORS website at: ORS Professional Development Day Staff Matrix

Proposed Project Titles

As a reminder please be aware that the “project title field” for proposal titles in myGRANT are used for reporting purposes. Please be mindful when drafting your project titles to ensure that they do not contain any information that needs to be kept confidential.

ORS F&A Rates Frequently Asked Questions

How do I know if my proposal is eligible for system to system (S2S) submission in myGRANT?

You can check to see if the Grants.gov opportunity is eligible for S2S submission by logging in to myGRANT, creating a proposal and selecting the opportunity in the "Grants.gov" tab. If you are able to select the opportunity and all forms are available under the Forms section, the opportunity is eligible for S2S submission. You will need either the Funding Opportunity Number or CFDA number to search for Grants.gov opportunities in myGRANT.

What steps should a principal investigator take before submitting a document for workflow approval in myGRANT?

A data validation check should be performed to see if there are any errors or omissions that will prevent the document from being submitted. On the Proposal Actions tab, the first sub-tab is Data Validation. Click "show", then "turn on validation". If there are any errors in the document, they will appear under the heading "Validation Errors". If this is a system-to-system submission, there may also be errors listed under the heading "Grants.gov Errors".

By clicking "show" next to the error, you will be able to view details for the error. On the far right side of the row, there will be a "fix" button. Clicking this button will take you to the location of the error.

The principal investigator or aggregator may ask for an ORS Contracts & Grants Specialist to assist with reviewing the proposal before it is routed through the workflow approval process. To locate the specialist assigned to your school/unit, please refer to the document located at http://www.ors.hawaii.edu/files/ORS_Assignments.pdf. This will minimize the possibility of a proposal being returned after it has entered the workflow process. When a proposal is returned for changes, it will be re-routed through the entire approval workflow.

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