From the Director’s Office

Aloha Kākou,

The second quarter ARRA quarterly reports were submitted to FederalReporting.gov in January. UH reported a total of $1.2 M in expenditures and 99.8 FTE positions generated for the quarter. This report also includes ARRA funds received by the Federal Work Study Program.

With a total of $42.6 M in awards reported by UH, the expenditures are only at 3% of the total awards.

As a reminder, we urgently ask the PIs to check the award term and spend their respective ARRA funds timely before the next reporting period of April 10, 2010. All ARRA awards must be expended within the award period. Although specific sponsors’ terms and conditions apply, ARRA awards will generally end by September 30, 2011.

If you are interested in applying for ARRA grants, please check with Grants.gov, Recovery.gov and/or the ORS website for up-to-date funding opportunities for all agencies.

Happy Discovery!

Mahalo,
Yaa-Yin Fong

Important Reminder on the American Recovery and Reinvestment Act of 2009 (ARRA) Awards

In February 2009, ARRA was signed into law as a direct response to the economic crisis with immediate goals to spur economic activity and create or retain jobs. In order to meet these goals, the law requires recipients to commence activities and expenditures as quickly as possible, consistent with prudent management of your award.

(Continued on next page)
Important Reminder on the American Recovery and Reinvestment Act of 2009 (ARRA) Awards (continued)

ARRA awards received directly by the University of Hawai‘i as of 12/31/09 are summarized below.

<table>
<thead>
<tr>
<th>Number of ARRA Awards</th>
<th>66</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Award Amount</td>
<td>$42,614,101</td>
</tr>
<tr>
<td>Total Amount of Subawards to Individuals &lt; $25K</td>
<td>$0</td>
</tr>
<tr>
<td>Total Amount of Payments to Vendors &lt; $25K</td>
<td>$159,533</td>
</tr>
<tr>
<td>Total Amount of Subawards &lt; $25K</td>
<td>$0</td>
</tr>
<tr>
<td>Total Amount Received / Invoiced</td>
<td>$1,100,764</td>
</tr>
<tr>
<td>Number of FTE</td>
<td>99.48</td>
</tr>
<tr>
<td>Total Expenditures</td>
<td>$1,235,577</td>
</tr>
<tr>
<td>Total Infrastructure Expenditures</td>
<td>$0</td>
</tr>
</tbody>
</table>

Please note that total expenditures as of 12/31/09 were less than 3% of the total amount awarded. Although standard award terms and conditions apply, ARRA awards will generally end by September 30, 2011.

Should you have any questions, please contact Dawn Kim, Compliance Manager, at dawnk@ors.hawaii.edu or (808) 956-0396.

Work on Project Should Not Commence Without ORS Acceptance of Award Terms and Conditions

As a reminder, work on a project should not commence prior to review and acceptance by the Office of Research Services (ORS) of award terms and conditions in order to ensure that project funds will be available for the applicable project period. Even if an award is unilaterally made and the University of Hawai‘i is not required to execute the award document, if terms and conditions are attached to the award, it must still be reviewed and accepted by ORS prior to the award funds being made available.

Once notice of an award is received, please forward all documentation to the appropriate ORS Pre-Award Specialist for processing. Thank you for your cooperation.

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
BU Code Associated with Subcode 2030 Transaction Does Not Determine Vacation Reserve Account to Charge

If you haven’t noticed, an interesting thing happens when a vacation payout is made using subcode 2030. The bargaining unit (BU) code that is posted with the transaction often does not reflect the actual bargaining unit that the employee belonged to and appears to be arbitrarily assigned. Note that the actual BU code is important in processing the vacation journal voucher (JV) because it indicates the reserve to charge (i.e., APT, faculty or civil service).

For example, a payout involving an APT employee (BU = 08) reflected BU 57. The JV preparer misinterpreted this to mean that the faculty reserve should be charged because it is associated with BU code 07, which is close to the BU code assigned to the payout. We’ve also had situations where a faculty payout was assigned BU 68 and the preparer misinterpreted this to mean that the APT reserve should be charged.

We advise JV preparers to ignore the BU code associated with the subcode 2030 transaction and refer to the personnel notification form (PNF) documents for the employee’s actual BU code to determine which reserve to charge.

Do Commitments in Internal Correspondence Constitute Voluntary Cost Sharing?

In our January 2009 newsletter, we discussed how language inserted into various sections of proposals could be considered voluntary cost sharing. However, there has been some confusion with the role of internal correspondence such as the Form 5 or e-mails and the establishment of cost sharing records in the memorandum system.

As long as the internal forms or e-mails containing information or language that can be construed as cost sharing are not incorporated into award documents by the sponsor, such internal correspondence does not create voluntary cost sharing.

For example, if the award document and proposal do not contain any cost sharing commitments or language that can be construed as voluntary cost sharing, but the Form 5c states that the investigator will put in two months of unpaid effort on the project, no voluntary cost sharing has been committed. In this circumstance, no cost sharing record needs to be established because the Form 5c is for internal purposes.

However, if the Form 5c was shared with the sponsor and incorporated into the award document, the two months of unpaid effort could be construed as voluntary cost sharing and a cost sharing record would need to be established unless the sponsor confirms in writing that it doesn’t recognize the Form 5c as cost sharing.

Thus, it is important to be careful with the type of internal information that is shared with the sponsor.

Should you have any questions about the above articles, please contact Kevin Hanaoka, Cost Studies & Rate Analysis Manager, at hanaokak@hawaii.edu or (808) 956-9242.
Establishing an Advance Account

In accordance with APM A8.952 Advance Funding Accounts, the Principal Investigator’s (PI’s) department/school bears the ultimate financial risk associated with expenses incurred in the advance funding period, should the award not get executed.

Advance accounts are generally used to ensure timely start-up of projects or uninterrupted continuation of existing projects for activities such as: hiring or maintaining staff, setting up labs, and acquiring supplies or equipment. The PI is responsible to ensure that no activities requiring compliance or protocol approval are performed until the proper approval is received.

Solicitation Restrictions and Limitations

Various restrictions and limitations (ex., budgetary restrictions, departmental restrictions, etc.) may be placed on a solicitation. For example:

- Limited submission--A restriction on the number of submissions from an institution allowed either per solicitation or per year.

For questions or inquiries regarding limited submissions for the University of Hawai‘i at Manoa, please contact Associate Vice Chancellor for Research and Graduate Education--Dr. Vassilis Syromos at (808) 956-0813 or syromos@hawaii.edu.

For the UH Community Colleges, please contact Associate Vice President for Administrative Affairs--Michael Unebasami at (808) 956-6280 or mune@hawaii.edu.

For UH Hilo, please contact the RCUH Hilo Office at http://www.rcuh.com/.

ORS Helpline Frequently Asked Questions

1. How do I register with Grants.gov?

Registering with Grants.gov is reserved for the authorized representatives of an organization. ORS has already registered with Grants.gov, so individuals do not need to register. Please contact the ORS Helpline for further assistance.

2. How do I track my Grants.gov application without registering?

You do not need to register with Grants.gov to track an application. Once your application is submitted, you should receive a confirmation with a tracking number (GRANTxxxxxxxx), which can be used to track your application on the Grants.gov website:

https://apply07.grants.gov/apply/checkApplStatus.faces