Message from the Director

Aloha kākou and happy new year!

ORS will be offering an updated Grants and Contracts Certification program in Spring 2016. This year, we are very excited to partner with the Research Corporation of the University of Hawaii (RCUH) to enhance the post-award and project management section of this program by adding a new module covering RCUH Human Resources (HR) for UH’s Project Accounts. This will be a useful section for principal investigators (PIs) and research administrative staff to learn firsthand the services provided by RCUH HR staff. Please see the article below for more details and registration information.

We would also like to remind PIs and key personnel to answer the Financial Conflicts of Interest (FCOI) and Significant Financial Interests (SFI) questions in their myGRANT proposal development records as required by UH and federal sponsor policies. Proper disclosure of FCOI and timely updates on new SFI could minimize potential delay on proposal submission and award acceptance. Please see our article for more details.

In this month’s articles, we also provide information on National Institutes of Health application form updates & changes, updates to the ORS Advance Account Approval Form, and how to view invoices billed by ORS in the Kuali Financial System.

Yaa-Yin Fong
Director
The following information has been provided by the National Institutes of Health (NIH) Extramural Research Program Deputy Director, Dr. Michael Lauer:

In order to accommodate changing policy and new business needs, NIH will be rolling out changes to application forms and instructions. This will be accomplished in two phases, as summarized in the notice published in the NIH Guide (new application forms will not be ready until spring 2016).

You may want to pay particular attention to the following changes, effective for applications submitted on or after January 25, 2016:

There will be new application requirements and review language regarding enhanced rigor and reproducibility.

- NIH will ask for less information in the vertebrate animal section of the application, to remove redundancy with information already included in IACUC reviews. (Some of this information will be shifted to the research strategy section.)

- There are updates to the NIH policy on inclusion of children to lower the age designation to 18 years old and under. (The current age designation for children includes all research subjects under 21 years old.)

For training grants, information requirements will change and lower applicant burden.

For due dates of May 25, 2016 and beyond, NIH will require use of new application forms (FORMS-D). NIH will post reminders again this spring, but please understand that it is imperative that you submit your application on the correct form package to ensure successful submission.

NIH will reissue fellowship, career development, training and all parent funding opportunity announcements in spring 2016, to ensure the announcements include instructions that match the form requirements. They will also make a variety of resources available this spring to help ensure you submit using the right forms.

If you have been using the Grants.gov downloadable forms and have not tried ASSIST yet, members of NIH staff (the electronic Research Administration or eRA) are working on enhancing the copy application feature to make it even easier to move your application (including attachments) from one form version to another. During the last round of grant applications, over 25% of the applicants switched from using downloadable forms to ASSIST. They successfully submitted their applications on the first try over 90% of the time compared with only 60% of the time for those still using the standard downloadable forms.

Should you have any questions, please contact Victoria Rivera, Manoa Contracts & Grants Manager, at riveravg@hawaii.edu, or (808) 956-5300.
UH Executive Policy EP12.214 and Administrative Procedure 5.504 require that key persons named in a proposal answer questions regarding their Significant Financial Interests (SFI) and Financial Conflicts of Interest (FCOI) before proposal submission in order to comply with UH policies, sponsor requirements and federal regulations. These questions have been included as part of key personnel questions in the myGRANT proposal development record. Further, certain attachments are also required if the key person or members of their immediate family have SFI that could reasonably appear to be related to their institutional responsibilities.

Please note the following:

- If the SFI may reasonably appear to be related to a key person’s institutional responsibilities, or if a conflict of interest has been disclosed on the UH Annual Conflict of Interest Disclosure Form, attach a current copy of the form via the “Internal Attachments” tab, in the “Attachments” section.

- If a conflict of interest situation has changed since the last UH Annual Conflict of Interest Disclosure Form was signed, complete an ORS FCOI form available at http://www.ors.hawaii.edu/files/FCOI-1_UH_form.pdf and attach it as instructed above.

- If a key person is from outside of the university, the person must complete an ORS Non-UH Employee FCOI form available at: http://www.ors.hawaii.edu/files/FCOI-1_non-UH_form.pdf. This form is required regardless of whether or not the non-UH key person has SFI. The form should be attached as instructed above.

If an SFI does not reasonably appear to be related to a key person’s institutional responsibilities, attachments to the myGRANT record are not required.

If FCOI exists, an approved Management Plan must be in place prior to engaging in any award activities. See http://www.ors.hawaii.edu/files/UH_Guidelines_Mngmt%20Plan.pdf for more information.

In addition, if a key person has new SFI or needs to update a previously disclosed SFI, they must notify ORS within 30 days of the change. Once an award is received, if UH determines that an SFI will result in an FCOI, ORS must submit an FCOI report to the sponsor in accordance with the awarding agency's requirements (e.g., for Public Health Service awards, an FCOI report is due within 60 days).

For more information regarding FCOI, visit the ORS website at: http://www.ors.hawaii.edu/index.php/fcoi-information.

Should you have any questions regarding FCOI, please contact Dawn Kim, Compliance Manager at dawnkim@hawaii.edu, or (808) 956-0396.
An updated version of the *Request for Advance Account Approval Form*, ORS Form 1 (Rev. Jan 2016) has recently been uploaded to the ORS website at: [http://www.ors.hawaii.edu/files/AdvanceAccountRequest.pdf](http://www.ors.hawaii.edu/files/AdvanceAccountRequest.pdf). Instructions for completing this form have also been drafted and may be found at: [http://www.ors.hawaii.edu/files/Instructions_ORS_Form_1.pdf](http://www.ors.hawaii.edu/files/Instructions_ORS_Form_1.pdf)

The form has been made clearer and revised to add information needed for the prompt review and approval of advance account requests. Changes include:

- Changing the **Grant Number** field to **Sponsor’s Award Number** to clarify that this field should be completed using the sponsor’s specific award number.

- Changing **Existing UH Project Account Code(s)** field to **Existing UH Project Account Code(s) and myGRANT Proposal ID**. Including the *myGRANT* Proposal ID will help to expedite ORS processing the advance account request.

- Expanding the language after the Justification for Advance Funding box to include a PI certification that key personnel have disclosed significant financial interests and that for PHS funded projects, key personnel have completed the ORS FCOI training.

- Adding a **compliance protocols** section. If compliance protocols are required and have not been obtained please contact your assigned ORS Specialist ([http://www.ors.hawaii.edu/index.php/ors-assignments](http://www.ors.hawaii.edu/index.php/ors-assignments)) for further guidance prior to submitting your ORS Form 1.

Instructions for completing the form have also been provided which will help answer your questions on how to complete the request form. Please begin to use the revised form and instructions immediately.

If you have any questions, please contact Bob Roberts, Projects Fiscal Accounting Manager, at rroberts@hawaii.edu, or (808) 956-6959.

Periodic and final project invoices submitted by ORS to sponsors can now be accessed by principal investigators (PIs) and fiscal administrators (FAs) in the Kuali Financial System (KFS). The invoices are attached to the CG invoice E-doc (CGIN). For instructions on how to view invoices, please see ORS’ website at [http://www.ors.hawaii.edu/files/KFS_View_Invoice.pdf](http://www.ors.hawaii.edu/files/KFS_View_Invoice.pdf).

If you have any questions, please contact Bob Roberts, Projects Fiscal Accounting Manager, at rroberts@hawaii.edu, or (808) 956-6959.
ORS Grants and Contracts Certification Program, Spring 2016—Open for Enrollment

ORS is proud to provide continuing education programs to assist principal investigators, fiscal administrators, administrative officers, and research administrative staff to better understand the contracts and grants process. Starting this semester, a new module on RCUH has been added. We strongly encourage you to register.

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

- Research Administration Overview, Funding Opportunity Search, Budget & Proposal Development, Conflict of Interest (COI), and Human Trafficking & Public Access Requirements
- Facility & Administrative Costs (Indirect Costs), Cost Sharing & Program Income
- Financial & Administrative Compliance and Subrecipient Monitoring
- Reviewing, Negotiating, and Approving Awards, Receiving & Administering an Award, and Project Closeout
- **NEW:** Research Corporation of the University of Hawaii (RCUH) – Human Resources for UH Project Accounts
- Research Compliance, Export Controls, 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 spring includes four class sessions on Fridays, March 4, March 18, April 1, and April 8, 2016 from 10:00 am – 1:00 pm at the University of Hawaii at Manoa in Kuykendall 201. There are also two 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.


Can I make technical/typographical changes to the narrative or other documents attached to a myGRANT proposal development record after it has been submitted for workflow approval?

Yes, you can update existing documents with newer versions prior to submission by ORS. Only existing attachments can be replaced; no new documents may be added. Please work with your assigned ORS Specialist so that they are aware of the changes you are making.

To replace an existing attachment, navigate to the “Attachments” section, find the attachment you need to revise, then click the “Details/Replace” button. You will then be able to upload a new attachment using the “Browse” button.

Can other revisions be made to the myGRANT proposal development record once it is submitted for workflow approval?

Yes, for any other changes/revisions, the proposal can be returned for changes by the person/group currently pending approval in the workflow. An initiator or aggregator is also able to recall the proposal, without needing to ask a current approver to return for changes. To do this, go to the “Summary/Submit” section and click the “recall” button at the bottom of the screen.

Please be advised that returning or recalling a record for changes will trigger a re-routing of the workflow from the beginning once the changes have been resubmitted.

To avoid delays in the workflow routing, the initiator or aggregator who recalls the record should also be the person to resubmit the changes.

My proposal does not seem to be editable, or there is no “Submit” button on the “Summary/Submit” section.

Make sure you are not opening the proposal in “View” mode. If you are in “View”, the proposal will have an “Edit” button at the bottom of the page. Click the “Edit” button at the bottom to change to “Edit” mode.

Do you have any questions or comments for ORS?
Please contact us at the ORS Helpline:
Email: helpline@ors.hawaii.edu or Phone: (808) 956-5198