From the Director’s Office

Aloha Kākou,

June 2012 was an exciting and eventful month for ORS. While pre-award and contract specialists were gearing up to execute and record myGRANT award records before the June 30th fiscal year end, our post-award accounting staff also worked hard not only to close the current fiscal year end financial record, but also to complete CG project account records after they had been converted to the Kuali Financial System (KFS).

We are pleased to announce that the university has once more exceeded the $400 million mark for awards, and as of June 29, 2012, the University of Hawai’i received a total of $433 million. Congratulations to all investigators who were granted awards this year. We look forward to working with you to ensure your project will be successful.

In this month’s newsletter, we have included agency updates from the National Institutes of Health (NIH), National Science Foundation (NSF), Air Force Office of Scientific Research (AFOSR) and the Office of Justice Programs (OJP). Our post-award financial office also provided changes to the CG accounts process implemented when KFS went live. Please see this month’s article below and watch for ORS announcements of any just-in-time changes. While the university is implementing the new financial system (KFS), please keep the communication channels open, especially for policies and procedures that may impact CG project accounts during the transition period. Let us know if you have any questions.

Wishing you all an enjoyable summer!

Mahalo,
Yaa-Yin Fong
Director

National Institutes of Health (NIH) to Launch New Progress Report System (RPPR)

This June, the National Institutes of Health (NIH) announced a pilot of their new Research Performance Progress Report (RPPR) system in eRA Commons. RPPR will eventually replace all NIH progress report formats, including paper PHS 2590 progress reports, the current electronic system (eSNAP), and the 416-9 for Ruth L. Kirschstein National Research Service Awards and Individual Fellowships. RPPR will become mandatory for all SNAP and F awards in March of 2013.

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National Institutes of Health’s (NIH) to Launch New Progress Report System (RPPR) (continued)

The RPPR has been opened to FDP member institutions for voluntary use as of June 15, 2012. NIH grantees at the University of Hawai‘i may elect to use RPPR now, if they wish, for the following types of awards:

<table>
<thead>
<tr>
<th>Activity Codes</th>
<th>R01-like SNAPs</th>
<th>Individual K SNAPs</th>
<th>Education SNAPs</th>
<th>Fellowships</th>
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</thead>
<tbody>
<tr>
<td>D71, DP1, DP5, G08, G11, G13, P40, R00, R01, R03, R18, R21, R33, R34, R36, R37, R56, RC1, RC2, RL1, S10, S21, S22, SC1, SC2, SC3, UB1, UC2, UH1, UH2, UH3, UP5</td>
<td>K01, K02, K05, K06, K08, K18, K22, K23, K24, K25, K26, K99, KL1</td>
<td>D43, K30, R13, R25, RL5, T14, T36, U13, U2R</td>
<td>F05, F30, F31, F32, F33, F34, F37</td>
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An RPPR Instruction Guide and Training Presentation are available at: [http://grants.nih.gov/grants/rppr/rppr_pilot_institutions.htm#resources](http://grants.nih.gov/grants/rppr/rppr_pilot_institutions.htm#resources). Principal investigators interested in using RPPR for their progress report submission during the pilot period should contact their assigned ORS Pre-Award Specialist.

For questions, please contact Jennifer Halaszyn, Kaka’ako Contracts and Grants Manager, at jhalaszy@hawaii.edu or (808) 692-1807.

Upcoming Revision of the National Science Foundation (NSF) Proposal & Award Policies & Procedures Guide


The upcoming release is driven in large part, though not solely, by revisions incorporated as a result of the National Science Board’s (NSB) report, National Science Foundation’s Merit Review Criteria: Review and Revisions. NSF’s plans for implementation of the Board’s recommendations are described in Important Notice No. 132, released in March 2012. The NSB determined that the two current Merit Review Criteria (Intellectual Merit and Broader Impacts) remain appropriate for evaluation of NSF proposals and should be retained. They did, however, seek to clarify and enhance the function of the criteria.

In the Important Notice, NSF indicated that the public would have an opportunity to provide input on the proposed changes to the PAPPG. In addition to the merit review revisions, other significant changes to the Guide include:

- Updates to the guidance on indirect costs;

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Upcoming Revision of the National Science Foundation (NSF) Proposal & Award Policies & Procedures Guide (continued)

- A new format for submission of the Facilities, Equipment and Other Resources information that will be available in the FastLane system when the PAPPG becomes effective in January 2013. The new format will assist proposers in complying with the NSF cost sharing policy;

- Information on the Award Cash Management Service (ACMS) that will replace the FastLane Cash Request service;

- Modifications to the Conflict of Interest coverage to specify that the NSF Office of the General Counsel (OGC) will work with institutions that report an unmanageable conflict of interest and will follow up with the institution regarding appropriate next steps; and

- New guidance on Dual Use Research of Concern.

The Foundation is inviting the research community to access and review a draft version of the PAPPG at http://www.nsf.gov/bfa/dias/policy/papp/pappg2012_draft.pdf. The proposed significant changes are highlighted in yellow throughout the document. A detailed summary of all of the significant proposed revisions is available at the beginning of the document. Comments may be submitted as indicated in the Federal Register notice. In order to permit ample time for the community to respond, NSF is extending the comment period originally published in the Federal Register and will be accepting comments until close of business on July 12, 2012.

Air Force Office of Scientific Research (AFOSR) – Waiver of Approval to Incur Pre-Award Costs

The Air Force Office of Scientific Research (AFOSR) has decided to waive the requirement for prior written approval for AFOSR grantees to incur pre-award costs up to 90 calendar days prior to award, as permitted by 2 CFR §215. This is intended to give principal investigators (PIs) maximum flexibility to hire research assistants and perform other preliminary work during the time between the notice to the PI of AFOSR's intent to fund the proposal and the finalization of the grant agreement. This should also assist PIs in planning their research so it may be completed within the negotiated period of performance, thus reducing the need for no-cost extensions.

Once a proposal has been selected for award, AFOSR will certify the availability of funds. The PI and business office will receive an e-mail from AFOSR's Contracting Office stating that the PI is authorized to incur pre-award costs 90 days prior to the negotiated award start date. The PI will not receive notice of selection for award unless AFOSR has already certified availability of funding. Also, please be aware that federal regulations require all pre-award costs to be incurred at the recipient's risk. In other words, AFOSR would not be obligated to reimburse costs if for any reason the recipient does not receive an award or if the award is less than anticipated and inadequate to cover such costs. AFOSR anticipates that situations in which a recipient would not receive reimbursement would be extremely rare; however, the potential does exist.

For questions, please contact AFOSR's Chief of Research and Development Acquisition Division, Ms. Karen Buck, at (703) 696-9751.
Office of Justice Program (OJP) – Updates Regarding Federally-Funded Conferences

The Department of Justice has just released new conference cost policies and procedures. While the advance notice and approval requirements included in the new conference costs policies and procedures pertain only to cooperative agreement recipients and contractors, grant recipients must ensure compliance with the food/beverage, meeting room/audio-visual, logistical planner and programmatic planner limitations and cost thresholds.

OJP also announced the rollout of their new conference web page, "Policy and Guidance for Conference Approval, Planning, and Reporting," which provides a comprehensive, single source of information on conference-related policies and procedures, including the conference planning and advance approval process, cost reporting requirements, and reporting forms and tools. This page incorporates newly released conference cost policies and procedures from the Department of Justice. The web page also provides:

- A “What’s New” section that highlights changes in the content;
- An “RSS Feed” subscription service that allows the reader to receive updates automatically when changes are made to the content;
- A section for answers to Frequently Asked Questions (FAQs); and,
- A history of changes to the policy.

OJP welcomes your feedback at ask.ocfo@ojp.usdoj.gov and intends to update its page with your suggestions and questions.

Fiscal Year 2013 State Department of Health Rates

The State Department of Health (HIDOH) has new federally negotiated indirect cost rates for FY 2013. The university uses these rates to claim indirect costs on federal pass-through awards it receives from HIDOH agencies. The base is salaries and wages including all fringe benefits.

The following rates should be used in new proposals to HIDOH until amended:

<table>
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<tr>
<th>Department/Program</th>
<th>Rate</th>
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<tbody>
<tr>
<td>Health Resources Administration</td>
<td>15.8</td>
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<tr>
<td>Environmental Health Administration</td>
<td>15.8</td>
</tr>
<tr>
<td>Behavioral Health Administration</td>
<td>12.9</td>
</tr>
<tr>
<td>Health Status Monitoring Office</td>
<td>11.1</td>
</tr>
<tr>
<td>Planning, Policy &amp; Program Development Office</td>
<td>10.3</td>
</tr>
<tr>
<td>State Health Planning</td>
<td>10.7</td>
</tr>
<tr>
<td>Disability &amp; Communications Access Board</td>
<td>8.0</td>
</tr>
<tr>
<td>Developmental Disabilities Council</td>
<td>9.6</td>
</tr>
<tr>
<td>Office of Environmental Quality Control</td>
<td>11.7</td>
</tr>
<tr>
<td>Tobacco Settlement Project/Healthy Hawaii Initiative</td>
<td>9.2</td>
</tr>
<tr>
<td>Executive Office On Aging</td>
<td>14.5</td>
</tr>
</tbody>
</table>

For proposals that have already been submitted using the old rates, HIDOH usually corrects the indirect cost rate during the award stage.

Should you have any questions, contact Kevin Hanaoka, Cost Studies Manager, at hanaokak@hawaii.edu or (808) 956-9242.
Kuali Financial System July 1, 2012 Implementation

With the implementation of the Kuali Financial System (KFS) effective July 2012, the ORS Fiscal Accounting and Financial Services sections would like to provide information on the following processes under KFS:

Converted Accounts from FMIS

Fiscal officers should review and validate all extramural accounts under their responsibility, converted from FMIS to KFS. ORS will also be reviewing and entering certain information required to process billing and letter of credit draws under KFS and is currently working to enter applicable changes in KFS. Please notify your ORS Fiscal Accountant if you have any questions or need to request corrections to any of the accounts. The account’s assigned accountant is referenced by the “CG Account Responsibility Id” under the Account/Contracts and Grants section. Please refer to the following link in the ORS website for the listing of the ORS accountants and their respective CG Id number: http://www.ors.hawaii.edu/files/TEAM_ASSIGNMENTS.pdf

Account Establishment and Modifications

The ORS Fiscal Accounting Section will initiate account establishment and account changes (i.e., NCEs, modifications, etc.) in KFS for all awards and modifications processed by the ORS Pre-Award or Contracts section and UH-Hilo through myGrant. ORS has “blanket approval” permission for these entries to KFS. Fiscal officers will be required to review and acknowledge any account entries in a timely manner to ensure that the project account is established accurately and in accordance with award terms.

ORS will initially be creating one account for each executed award. If additional accounts are required, the fiscal officer will need to notify the accountant assigned to that award. The ORS Fiscal Accountant may request additional information to properly establish the accounts. In order to establish a new account in KFS, an account number must be assigned by the document initiator. As such, the KFS Project Team is currently testing use of a “dummy account” that the field can use to initiate an account. However, until that process is finalized, we ask the fiscal officers submit a request to their ORS Fiscal Accountant to request that additional accounts be established.

Other account changes not included in award documentation, such as correction to the NSF survey code, change to fiscal officer, etc., may be submitted through a KFS eDoc for approval by ORS. When submitting documents pertaining to extramural accounts, the documents are routed to the entire UH ORS accounting group. In order to assist and expedite in routing of these documents, we ask fiscal officers to include the CG Id number in front of the eDoc description for all documents submitted (i.e., “CG45-xxxxxxx”). The ORS accountants will then be able to quickly determine whether that document in their Action List is related to one of the accounts assigned to them.

Account Balance Conversions

Our current understanding is that there may be adjustments needed to the KFS converted project account balances to delete the Authorized, Unrealized and Realized award amounts. The balances in these accounts were systematically recorded in FMIS but will no longer be maintained in KFS. The cumulative beginning balance for revenue will also need to be recorded in KFS since the revenue for project accounts was recorded in the GL on FMIS and was set to zero at the beginning of the fiscal year. ORS Fiscal Accounting will be working on these balance updates after the beginning balances have been brought over to KFS and KFS is open for FY 2013.

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Budgets

The budget information from FMIS for project accounts was not converted to KFS. ORS will be uploading the budget to KFS based on the budget pools for each account. ORS will need to manually load via eDoc the budget for 4,000 plus active accounts. ORS worked towards uploading as many of these budgets as possible prior to KFS going live in July 2012. Please note that transactions to these project accounts will not be able to post until the budget is established since the sufficient funds code check is at the account level for extramural project accounts.

The budget for the initial award or additional funds awarded via contract modification will be entered by the ORS Fiscal Accountant via the Single Sided Budget Adjustment entry. This document will route to the fiscal officer for approval and the budget will not be available in KFS until the document is fully approved.

Subsequent re-budgets may be submitted by the fiscal officer through the Budget Adjustment entry document. ORS Accounting will be included on the workflow for approval of these budget changes. As noted above, in order to expedite approval by the applicable ORS Fiscal Accountant, please include the CG Id in front of the eDoc description.

Advance Accounts

The advance account form Appendix A, as described in APM A8.952, Advance Funding Accounts for Externally Financed Programs and Activities, will still be used to request an initial or extension to an existing advance account. Please route these forms via e-mail to the assigned accountant and the applicable changes will be entered once approved. As noted above, if ORS initiates these documents, ORS will have blanket approval and fiscal officer acknowledgment would be required.

Refunds to Sponsors on Project Accounts

Refunds to sponsors will be processed by ORS through a Disbursement Voucher (DV). With the KFS workflow, the fiscal officer will be routed the DV for approval. Please be sure to check your "Action List" and approve any DV documents routed to you so that the refund checks can be processed and sent to the sponsor in a timely manner.

Project Closeout Notices

The closeout process described under APM A8.954, Extramural Closeout Process, remains in effect. Fiscal officers are responsible for monitoring and e-mailing the ORS Fiscal Accountant with confirmation to close project accounts in accordance with the timeline discussed in section 5c of APM A8.954. With the implementation of KFS, fiscal officers should also be sure to check the project account’s Continuation Account to ensure that all project expenses were properly recorded to the project account.

Currently, information for closeout notices is mainly obtained from data obtained from downloaded information from FMIS. With the implementation of KFS and the developing eThority process, ORS Financial Services is currently developing the method to best pull information from the KFS sources available. We ask for your understanding and patience as we work toward gathering accurate and complete information to generate the courtesy closeout reminder notices.

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Kuali Financial System July 1, 2012 Implementation (continued)

We thank you in advance for your assistance, cooperation and patience as we all transition to KFS. We will notify you of any updates or changes to the information above as they become available.

If you have any questions, please contact your respective CG at ORS Post-Award accounting.

Temporary Reassignments – ORS Pre-Award Specialists

Thank you all for helping us to celebrate Paul Kakugawa's retirement from ORS on June 30, 2012. He will surely be missed by everyone after 45 years of service. As we work to fill his big shoes, we have temporarily revised the ORS Pre-Award Specialist school assignments. Please visit [http://www.ors.hawaii.edu/files/PREAWARDASSIGNMENTSTEMP.pdf](http://www.ors.hawaii.edu/files/PREAWARDASSIGNMENTSTEMP.pdf) for the chart of temporary assignments.

Thank you for your patience and cooperation as we work to fill this position.

ORS Helpline Frequently Asked Questions

When I approve a document in myGRANT, what does the “Do you want to receive future approval requests?” prompt mean?

If you are in the workflow more than once, this question is asking if you would like to approve the document once more when the proposal reaches you in the workflow again. If you select “yes”, you will need to approve each time the proposal reaches you in the workflow process. If you select “no”, the proposal will skip over you and not require your approval for any future approvals. However, if the proposal is returned for changes, you will still need to approve again once it is resubmitted for routing.

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