From the Director’s Office

Aloha kākou,

With great efforts from the University of Hawaii (UH) research community, UH had a very strong finish for fiscal year (FY) 2014. The awards for the months of May and June combined totaled $73.3 million, which is about a 47% increase from $49.9 million at the same period in FY 2013. This resulted in a leap in the total to $392 million in awards for FY 2014. We want to thank all of your support and patience during the year-end rush.

Based on myGRANT proposal development records, in the past two years, the total proposal counts also increased by 14% from 2,009 to 2,300. ORS felt the stress from the high demand on proposal development assistance requests, and we will continue to do our best to accommodate your needs without additional resources. Please continue to give ORS contracts & grants specialists a heads-up if you are planning to submit proposals in the future, as this will help our staff to plan their schedules accordingly. We also would appreciate your cooperation in submitting your proposal for ORS’ review at least five (5) business days before the proposal due date. This will give our grants specialists enough time for a proper and thorough review.

We are very pleased to announce a partnership with the UH Hilo campus to establish the ORS Hilo Service Center effective as of July 1, 2014. ORS staff is looking forward to working with the UH Hilo faculty and research community. Please stop by to meet the ORS Hilo Service Center staff located in PB-19 on the UH Hilo campus.

(Continued on next page)
From the Director’s Office (continued)

In this month’s articles, we include National Institutes of Health (NIH) key personnel definitions, NIH's eRA Common account requirements for students who participate in projects, and new enhancements on the recording of unrecovered facilities and administrative (F&A) costs in myGRANT. In addition, please note the important deadlines for posting adjustments for annual efforts certification reports and requirements for state invoices.

Have a great summer!

Yaa-Yin Fong
Director

National Institutes of Health (NIH): Senior/Key Personnel and Other Significant Contributors

Project Directors and Principal Investigators PD/PI(s) are always designated as senior/key personnel on National Institutes of Health (NIH) projects. If additional individuals will be contributing to the scientific development or execution of a project in a substantive, measurable way, they should also be designated as senior/key personnel, whether or not they receive salaries or compensation under the grant. Typically these individuals will have doctoral or other professional degrees. However, individuals at the masters or baccalaureate level may be considered key personnel if their involvement meets this definition.

Other Significant Contributors (OSC) is a classification that allows the PD/PI to identify individuals who are committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort. These individuals are typically presented at “effort of zero person months” or “as needed.” (Biographical sketches will be required for these individuals; other support information will not be required.) Consultants and/or consulting firms who provide paid professional services should be included if they meet this OSC definition. However, if consultants are considered senior/key personnel, they must have measurable effort expressed in person months.

Other staff such as Research Assistants are generally not considered key personnel because they do not have the specific scientific expertise to contribute to the research in measurable, substantive ways. Basically, anyone who could be replaced without affecting the direction of the project should not be listed as key personnel. It is important to keep in mind that there are requirements for reporting on key personnel for the life of each project. Although there is no maximum number of personnel that can be designated as senior/key personnel listed as key, but not actually performing key functions, create unnecessary tracking and reporting burden to the university.

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National Institutes of Health (NIH): Senior/Key Personnel and Other Significant Contributors (continued)

For more information on NIH Key Personnel and Other Significant Contributors, please view the NIH Frequently Asked Questions section at http://grants.nih.gov/grants/policy/senior_key_personnel_faqs.htm.

For any other questions or more information not covered by the above, contact Emmitt Ford, Contracts and Grants Manager, Kaka`ako Service Center, at emmitt@hawaii.edu or (808) 356-5764.

Requirement for Undergraduate & Graduate Accounts in eRA Commons Starting October 1, 2014

As part of the National Institutes of Health (NIH) effort to improve data on the biomedical workforce (BMW), undergraduate and graduate students who participate in NIH-supported projects for at least one person-month of full-time work will be required to have an eRA Commons account for reporting purposes. Starting in October 2014, Commons User IDs will be required for these students. NIH will not accept Research Performance Progress Reports (RPPRs) or PHS 2590 Non-Competing Continuation Progress Reports (PHS 2590s) that do not have this information.

Both the PHS 2590 Non-Competing Continuation Progress Report and Research Performance Progress Report (RPPR) have started checking to see if graduate and undergraduate students' Commons User IDs were included in the report. Although they are not yet mandatory, you will get a warning from the electronically submitted RPPR for students listed on the report, but who do not have a Commons name.

Undergraduate and graduate students should be reminded that eRA Commons User IDs are for the life of their scientific career, so they may wish to avoid creative user names, as they may not be an appropriate professional reference in later years.

In addition, Commons User IDs should not be specific to their current institution (e.g., students should not use their institutional email address or have the institution's initials as part of their ID). Principal Investigators (PI) may be affiliated with multiple institutions over their career and having a user ID related to an institution they are no longer associated with can be confusing. Undergraduate and graduate students should work together with their advisors to create a Commons User ID that will be professional, appropriate and can be saved for future reference.

For more information on Commons User IDs for students, read the August 2, 2013, Guide Notice and the Extramural Nexus article.

(Continued on next page)
Requirement for Undergraduate & Graduate Accounts in eRA Commons Starting October 1, 2014 (continued)

If you would like additional clarification you may contact the NIH Grants Information office:

Grants Info
Office of Extramural Research
National Institutes of Health
Telephone: (301) 435-0714
TTY: (301) 451-5936
Email: Grantsinfo@nih.gov

In addition, user support is provided at http://grants.nih.gov/support/index.html.

Improvement in the Process of Indicating an Unrecovered F&A Amount in myGRANT Proposal Development Records

On July 1, 2014, ORS updated the myGRANT system to simplify the method of identifying unrecovered facilities and administrative (F&A) costs in proposal development documents. Previously, when an unrecovered F&A amount was listed on a proposal development record's budget summary, the user would enter the details in multiple fields in the Distribution and Income tab. Now using new “smart question” functionality, this task has been simplified. Repetitive input in the Distribution and Income tab has now been replaced with a single “smart question” that only appears in the Questions tab if unrecovered F&A is indicated in the budget summary.

For questions, please contact Michael Morimoto, ISS Manager, at mcmorimo@hawaii.edu or (808) 956-4908.
Preparing for Annual Effort Certifications and Cost Sharing Effort Certifications

In accordance with the U.S. Office of Management and Budget's (OMB's) Circular A-21, the university is required to have an Effort Reporting system which documents personnel costs that are attributable to federally sponsored agreements. To comply with these requirements, the Effort Certifications and Cost Sharing Effort Certifications will be generated in August using data from the Kuali Financial System (KFS), and transmitted to you for your review and approval. Separate certifications are necessary because Effort Certifications are generated from data in the KFS Labor Ledger while data for the Cost Sharing Effort Certifications is not recorded in the KFS Labor Ledger.

In preparation for the creation of the annual Effort Certifications and Cost Sharing Effort Certifications, please process all adjustments that impact prior year balances by **July 31, 2014**. As previously instructed, all adjustments must be processed prior to the annual Effort Certifications being generated. This will ensure that certified effort conforms with the accounting records. For prior year Labor Ledger adjustments, Salary Transfers should be prepared and routed for approval through KFS. For prior year Cost Sharing adjustments, please refer to the accompanying newsletter article entitled “Prior Year Cost Sharing Entry Adjustments” below. After July 31, 2014, adjustments to prior year balances will not be accepted.

Additional instructions for certifying both KFS Effort and Cost Sharing Effort will be provided in the near future.

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

Prior Fiscal Year Cost Sharing Entry Adjustments

As noted in the accompanying “Preparing for Annual Effort Certifications and Cost Sharing Effort Certifications” newsletter article above, in order to prepare for the Cost Sharing Effort Certification Report that will be generated in August 2014, to properly reflect the cost sharing for UH employees, any cost sharing adjustments related to fiscal year (FY) 2014 UH personnel salaries and wages must be submitted to ORS by July 31, 2014.

For audit purposes, all cost sharing entries should be recorded in a timely manner. Therefore, it is requested that any other cost sharing adjustments for FY 2014 and prior also be submitted by July 31, 2014.

Please submit the following information for cost sharing adjustments for UH personnel salaries and fringe and other direct costs for FY 2014 and prior in an Excel spreadsheet:

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### Prior Fiscal Year Cost Sharing Entry Adjustments (continued)

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Submit the Excel file via e-mail to Karen Matsunaga at klmatsu@hawaii.edu. The e-mail subject line should read “Prior Year Cost Sharing Adjustments”.

For cost sharing of external support, unrecovered indirect costs and tuition waivers, please continue to submit any adjustments via the KFS DI (“Distribution of Income and Expense”) eDoc.

As described in APM A8.947, Accounting for Cost Sharing, proper supporting documentation must be maintained for all cost sharing amounts reported. The principal investigator and project staff are responsible for providing any supporting documentation requested by sponsors and/or auditors.

For questions, please contact Joanne Yama, Projects Financial Services Manager, at jyama@hawaii.edu or (808) 956-8163.

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### Supporting Documents Required for State Invoices

The State of Hawaii Department of Transportation and Department of Health have requested supporting documents for submitted invoices. The reason for the additional request is to meet program review and audit requirements.

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Supporting Documents Required for State Invoices (continued)

In some instances, the following have been requested from Project Directors/Principal Investigators (PD/PIs) and Fiscal Administrators (FAs). In most instances, payment was rendered by the State following receipt of the requested information.

- Detailed spreadsheets by line item;
- Request for receipt copies; or
- A line-by-line review of expenses compared to budget.

Thank you in advance for your cooperation in providing the requested documentation to the State to ensure timely payment.

For more information, contact Robert Roberts, Projects Fiscal Accounting Manager, at rroberts@hawaii.edu or (808) 956-6959.

ORS Helpline Frequently Asked Questions

I am going to be away from campus and may not have access to internet. How do I set up an approval delegation in myGRANT?

In the myGRANT Help tab click on the Delegation square. Click on the “Add a new delegation” button and find the person you want to delegate. Select the date range if there is one, and the option of receiving the approval notification emails if you wish to continue to receive notifications. After the desired information is entered/selected, click save. To remove a delegation, just click on the blue “x” next to the person's username.

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