National Science Foundation Proposal Submission Reminder for “Collaborators and Other Affiliations Information”

Effective January 25, 2016, the National Science Foundation (NSF) updated their Proposal and Award Policies and Procedures Guide (PAPPG) for proposal preparation. One of the changes affecting proposal submission is the “Collaborators and Other Affiliations Information” which used to be submitted as a section of the Biographical Sketch. “Collaborators and Other Affiliations Information” has since been removed from the Biographical Sketch and is currently submitted as a single copy document that no longer requires the identification of the total number of collaborators and other affiliations. The page limitation for the Biographical Sketch remains at two (2) pages.

The following information regarding collaborators and other affiliations must be separately provided for each individual identified as senior project personnel:

- Collaborators and Co-editors. A list of all persons in alphabetical order (including their current organizational affiliations) who are currently, or who have been collaborators or co-authors with the individual on a project, book, article, report, abstract or paper during the 48 months preceding the submission of the proposal. Also include those individuals who are currently or have been co-editors of a journal, compendium, or conference proceedings during the 24 months preceding the submission of the proposal. If there are no collaborators or co-editors to report, this should be indicated.

- Graduate Advisors and Postdoctoral Sponsors. A list of the names of the individual’s own graduate advisor(s) and principal postdoctoral sponsor(s), and their current organizational affiliations, if known.

- Thesis Advisor and Postgraduate-Scholar Sponsor. A list of all persons (including their organizational affiliations, if known), with whom the individual has had an association as thesis advisor. In addition, a list of all persons with whom the individual has had an association within the last five years as a postgraduate-scholar sponsor.

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This information is used to help NSF identify potential conflicts or bias in the selection of proposal reviewers.

The current NSF Proposal Preparation Instructions can be found at: http://www.nsf.gov/pubs/policydocs/pappguide/nsf16001/gpg_2.jsp.

The Summary of Significant Changes and Clarifications to the PAPPG can be found at: http://www.nsf.gov/pubs/policydocs/pappguide/nsf16001/sigchanges.jsp.

If you have any questions, please contact your assigned ORS Specialist (http://www.ors.hawaii.edu/index.php/ors-assignments).

To recognize the efforts of multiple principal investigators, the Research and Training Revolving Fund (RTRF) allocation is based on the agreed-upon indirect cost allocation percentage split among multiple principal investigators (PIs), co-PIs, and key personnel provided in the myGRANT proposal development record. This information is used to capture the percentage of RTRF allocation among key personnel on projects that have more than one investigator. These fields are used to generate reports at the end of fiscal year for RTRF allocation.

Once more, we ask our faculty and staff to be mindful when entering data into these fields. The RTRF allocation percentage distribution must be agreed upon among all parties.

PIs can access this report on ORS report website at: http://www.ors.hawaii.edu/index.php/reports/113-reports/up-to-date-award-reports/170-up-to-date-award-reports.

Under the “Reports by Individual,” tab key, personnel are able to enter their name in the search function, and a list of their myGRANT awards will be shown.

Please note the following:

- The awards included will be those that have a termination date in fiscal year 16 or later.
- The split allocation percentage will be based on the most recent myGRANT award record.

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Once the search is completed by the individual, the *myGRANT* Award Number will be reflected in the report. Enter the latest *myGRANT* award number (if the award has more than one record) in the “Report by Award” to see the total split by award for all key personnel involved.

Key personnel should review the above reports for:
- Any missing project, and
- The *myGRANT* Percentage Credit Split.

If any changes are required related to the above two items, please ensure that all parties are in agreement and e-mail Joanne Yama *(jyama@hawaii.edu)* by *June 15, 2016*, so that ORS may record the changes by June 30, 2016.

An indirect cost allocation for the 2016 fiscal year will be generated based on the *myGRANT* Percentage Credit Split as of June 30, 2016.

If any questions, please contact Joanne Yama, Associate Director of Cost Studies, at *jyama@hawaii.edu* or (808) 956-9242.

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**Preparing for the Fiscal Year 2016 Single Audit — Subrecipient Monitoring and Management**

The university’s fiscal year (FY) 2016 Single Audit will be our first audit under the requirements of the Uniform Guidance (2 CFR 200 Subpart F). The Single Audit has reshaped the former A-133 audit. Although the Office of Management and Budget has not yet finalized and published the FY 2016 Compliance Supplement (audit guide), we anticipate tougher requirements especially over subrecipient monitoring.

In preparation for our FY 2016 Single Audit, please ensure the following:

- A case-by-case determination of whether an entity should be classified as a subrecipient or a contractor is prepared for all service type transactions using the *Form S-5*;
- Every subaward is clearly identified to the subrecipient as a subaward and all required information is provided (refer to *Form S-6*);
- Appropriate subrecipient monitoring activities are performed based on the risk level indicated in the Subaward Notice; and
- Payments to the subrecipients are being made within 30 calendar days after receipt of a proper invoice.

As part of our internal control process, ORS will be monitoring for compliance and requesting evidence of above if your awards are selected for review.

For additional information, please refer to the [Subrecipient Monitoring Guide](mailto:). Should you have any questions, please contact Dawn Kim, ORS Compliance Manager, at *dawnkim@hawaii.edu*, or call (808) 956-0396.
Proposal Budgets

The fringe benefit rates provided by ORS and updated on the ORS website (http://www.ors.hawaii.edu/index.php/rates/102-quick-links/rates/98-fringe-benefit-rates) are for estimating fringe benefits for proposal budget purposes. If actual rates are known, they should be used instead. The University of Hawaii (UH) applies the fringe rates approved for the State of Hawaii (State) for FICA/Medicare Taxes, Pension Accumulation, Pension Administration, Retiree Health Insurance and Other Post-Employment Benefits. The State provides an estimated rate for the Employees’ Health Fund, which includes health insurance and group life insurance for budgeting purposes. However, actual costs for this category are specifically identified to each employee and charged accordingly. UH calculates the UH Unemployment and Workers’ Compensation rates and negotiates these rates directly with US Department of Health and Human Services (US DHHS).

The State recently issued Finance Memorandum Memo No. 16-03, dated February 29, 2016, for the state-approved fringe benefit rates for FY 2016, also approved by the US DHHS. Previously, the State had provided only interim FY 2016 rates. The Other Post-Employment Benefits rate is approved for the first time in the State’s FY 2016 rates. The rate for FY 2016 is 7.78% and the State expects to assess this new rate beginning with the March 20, 2016 payroll.

Proposed Fringe Benefit Rate – Terminal Vacation Payout

UH submitted to US DHHS an amendment to the university’s Cost Accounting Standards Board Disclosure Statement to include a Terminal Vacation Payout fringe benefit rate effective for FY 2017. The rate submitted to US DHHS for approval is 1.8%. If approved by US DHHS, the new Terminal Vacation Payout fringe rate will be assessed to eligible payroll beginning with payroll recorded in July 2016. Therefore, for proposal budget purposes, if the project budget includes applicable payroll to be recorded in July 2016 and after, the additional 1.8% Terminal Vacation Payout fringe rate should be added to the rates provided in the current ORS website.

Cost Sharing

For cost sharing purposes, the fringe benefit rates are based on the rates provided by the State and the UH-negotiated rates. As a reminder, cost sharing entries should be recorded in a timely manner and should include the applicable fringe benefit rate applied.

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For FY 2016, the State provided an updated interim fringe rate (effective February 19, 2016) and the final FY 2016 rates (effective March 18, 2016), as approved by US DHHS. To simplify the process of recording fringe benefits on cost sharing, the following rates may be applied based on the start date of the pay period or service date:

- July 1, 2015: 42%
- January 1, 2016: 41%
- March 1, 2016: 49%

For cost sharing purposes, you may use a lower fringe rate for the period if you choose not to apply the revised applicable fringe rate for the period.

There is no change to the cost sharing fringe benefit rates for Graduate Assistants (11.5%), Casual Hire (2.3%) and Students (0.7%) for FY 2016.

Should you have any questions, please contact Joanne Yama, Associate Director of Cost Studies, at iyama@hawaii.edu or (808) 956-9242.

For a myGRANT proposal development record, I am an approver on multiple levels (i.e., as a PI and as a department chair). Will I need to approve the proposal more than once?

No, if you approve the proposal, you will not need to approve again if you are in the workflow more than once.

What if our department requires the approval of a secondary chair/dean if the primary chair/dean is serving as the PI?

You will need to add the appropriate person as an ad-hoc approver.

To do so, go to the “Summary/Submit” section and click on the “Ad Hoc Recipients” button, set the “Action Requested” to “Approve”, then use the magnifying glass to search for the appropriate person and click the “add” button. If the proposal has already been routed for approval, you will need to click the “send ad hoc request” button at the bottom of the “Summary/Submit” section.

I am still working on my proposal narrative, can I route the proposal development record for approvals?

Yes, if your budget and all of the required fields have been filled out, you may upload a draft of your current narrative and route the proposal development record for approval. At any time during the approval process you may replace the existing narrative by using the “Details/replace” button under that particular attachment on the “Attachments” section. Please work with your assigned ORS Specialist to ensure that only the final version of your proposal is submitted to the sponsor. You can find the ORS Specialist assigned to your unit here: http://www.ors.hawaii.edu/index.php/ors-assignments.