From the Director’s Office

We closed the month of September with a total of $77 M in awards. This brings our total to $185 M for the first quarter, which is a record high for ORS. While we celebrate the great success of fruitful results, these awards also come with mandated responsibilities for UH PIs to be in compliance with agency’s terms, conditions and reporting requirements.

The first ARRA quarterly reports were submitted on-time by ORS to FederalReporting.gov. The field reported $176 K in expenditures and the addition of 10.5 FTE positions created for UH. This information will be made available to the general public through Recovery.gov after the agency’s review. With $42 M in ARRA awards reported by UH, one can see that the expenditures to awards ratio is only at 0.4%. This is understandable for the first reporting period since the initial ARRA award was made in June 2009.

To avoid the forfeiture of funds, all ARRA awards must be expended within a two year term. We urgently ask the PIs to spend their awards timely in preparing for the next reporting period – January 10, 2010. Thank you for your attention to this critical matter. It is very much appreciated.

Mahalo,
Yaa-Yin Fong


The National Science Foundation (NSF) is announcing its implementation of Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act (42 U.S.C. 1862o-1). This section of the Act requires that “each institution that applies for financial assistance from the Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research (RCR) to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project.”

(Continued on next page)
Effective January 4, 2010, the National Science Foundation (NSF) will require that, at the time of proposal submission to NSF, a proposing institution’s Authorized Organizational Representative in ORS certify that the institution has a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF to conduct research.

While training plans are not required to be included in proposals submitted to NSF, institutions are advised that they are subject to review upon request. NSF will formally implement the new Responsible and Ethical Conduct of Research (RCR) requirement via the NSF Proposal and Award Policies and Procedures Guide (PAPP) NSF 10-1.

Significant changes made to the PAPP include:

- Addition of a completely new proposal certification to address the responsible conduct of research requirement of the America COMPETES Act; and
- An entirely new requirement for principal investigators (PIs) to provide a project outcomes report for the general public within 90 days following the expiration of the grant, to comply with the America COMPETES Act.

NSF also will modify its standard award conditions to clearly stipulate that institutions are responsible for verifying that undergraduate students, graduate students, and postdoctoral researchers supported by NSF to conduct research have received RCR training.

For more information please see NSF Proposal & Award Policies & Procedures Guide (PAPP), NSF 10-1, which will become effective January 4, 2010.


The Office of the Vice Chancellor for Research and Graduate Education (VCRGE) at University of Hawai‘i (UH) Manoa and ORS are working on implementing a RCR Training Plan for UH. Once the plan becomes available, NSF principal investigators (PIs) will need to notify their undergraduate students, graduate students, and postdoctoral researchers for training. Additional information will be forthcoming through the ORS Newsletter.

Please note that without the training and oversight plan, UH will not be able to submit proposals to NSF after January 4, 2010.

Questions regarding this article should be directed to Kathy Yoshinaga, ORS Pre-Award Specialist at (808) 956-4057 or by email to: kyoshina@hawaii.edu.
National Institutes of Health (NIH) New Application Forms – Submissions On or After January 25, 2010

National Institutes of Health (NIH) announced today that the new, restructured versions of the paper (PHS) 398 and electronic SF 424 (R&R) application forms and instructions have been restructured for fiscal year (FY) 2011 funding and will be available by December 2009.


Applicants must download and use the new application packages for submissions targeting due dates on or after January 25, 2010 (funding for FY 2011 and beyond). Changes include significantly shorter page limits and restructured application packages. These changes will affect all competing applications submitted to NIH, as follows:

- All applications (including individual Career Awards) electronically submitted using application packages that combine the SF 424 (R&R) with PHS 398 components (e.g, PHS 398 Research Plan Component and PHS 398 Career Development Supplement Form);
- All electronically submitted Individual National Research Service Award (NRSA) Fellowship applications using application packages that combine the SF 424 (R&R) with the PHS Fellowship Supplemental Form; and
- All applications using the paper PHS 398 application package.

Questions regarding these changes should be directed to NIH by email to: grantsinfo@od.nih.gov

Department of Defense (DoD) New Defense Federal Acquisition Regulation (DFAR) – Effective January 28, 2010

There is a new Defense Federal Acquisition Regulation (DFAR) in Department of Defense (DoD) contracts that everyone should be aware of: DFAR 252.203-7000 (Requirements Relating to Compensation of Former DoD Officials). It states that if the University of Hawai‘i (UH) knowingly provides compensation to a “covered DoD official” within two years of that official leaving the DoD, UH could lose the contract or be suspended/debarred. The full DFAR can be found at: http://www.acq.osd.mil/dpap/dars/dfars/html/current/252203.htm#252.203-7000

A “covered DoD official” is an individual who has left the DoD after January 28, 2008, and served in one of the following positions on a DoD acquisition valued at more than $10 million dollars: executive schedule, senior executive service, general or flag at a paygrade of O-7 or above, program manager, deputy program manager, procuring contracting officer, administrative contracting officer, source selection authority, source selection evaluation board member, or as chief of a financial or technical evaluation team.

Prior to receiving compensation from UH, the “covered DoD official” must apply for and obtain a written opinion (or demonstrate that it was pursued with no reply within 30 days) to determine if there is any post-DoD-employment restrictions that would affect the activities that the official is expected to undertake on behalf of UH. The “covered DoD official” should apply to the appropriate DoD ethics counselor for this written opinion.

It is the duty of the person applying for a UH position to voluntarily report any DoD employment activities to the hiring official. The UH hiring official should not knowingly provide compensation to a “covered DoD official” within two years of that official leaving the DoD.
Applying the Facilities & Administrative (F&A) Rates: Am I Still On-Campus?

When your project is conducted on the University of Hawai‘i (UH) Manoa Campus, Hilo Campus or one of the community college campuses, it’s easy to determine that you’re on-campus. But what about projects that are conducted in space your school or research unit occupies that is not located “on-campus?”

The University definition of on-campus includes space that your school or research unit occupies or leases provided that institutional funds (i.e., general funds; research & training revolving funds; tuition & fee special funds) are used to pay rent, utilities, custodial services, buildings and grounds maintenance, or other facilities type costs (a.k.a. Operations & Maintenance or O&M). Thus, the definition of on-campus is not limited to space paid for by the central facilities office or campus auxiliary. The University includes both types of O&M costs in its F&A rates for the purpose of recovering those costs.

The Indirect Cost Rates page on the ORS website was recently updated to identify space not located on the ten campuses in the UH System and which are considered on-campus for the purposes of applying the on-campus F&A rates.

http://www.ors.hawaii.edu/indirect-cost-rates.asp

So what are considered off-campus projects?

Off-campus projects are defined as projects that are conducted in space provided by the sponsor, a third party or in the field.

- Sponsor provided space includes rent-free space provided in the sponsor’s facility or space that the sponsor pays for through the grant or contract awarded to the University.
- Space provided by a third party includes rent-free space provided by a collaborator or beneficiary on the project.
- “In the field,” refers to projects that are conducted remotely from campus such as in the forest, at sea, abroad, etc.

There are situations where a project is conducted both on and off-campus.

Generally, the rate that should be applied is determined by where the work will be predominantly conducted. If more than 50% of the project is conducted by University personnel, including project personnel hired through Research Corporation of the University of Hawai‘i (RCUH), on-campus, then the on-campus rate should be applied.

The predominance of work guideline also applies to projects that will be conducted on campuses with different rates such as the Research rate (36.7%), which applies to research conducted on the ten campuses – except for research conducted by Institute for Astronomy (IfA) or Applied Research Laboratory (ARL), and the Kaka‘ako Campus research rate (50.0%). For example, if more that 50% of the project is conducted on the Manoa Campus, then the 36.7% F&A rate should be used.

Requests for exceptions to the guidelines should be discussed with the administrative/fiscal officer, dean/director and ORS. On some campuses, this may also require discussion with the chancellor or chancellor’s designee.

Questions regarding this article should be directed to Kevin Hanaoka, Cost Studies and Rate Analysis Manager at (808) 956-9242 or by email to: hanaokak@hawaii.edu.
What Facilities & Administrative (F&A) Rate Applies to Clinical Trial Agreements?

UH Other Sponsored Activities rates apply to projects that are not classified as research or training such as clinical trial agreements; evaluations of a sponsor’s programs or operations; performances and exhibitions; workshops and conferences; and operations of health clinics or small business development centers.

NOTE: Federally funded clinical trial agreements should use an MTDC (Modified Total Direct Costs) cost base; non-federally funded clinical trial agreements should use a TDC (Total Direct Cost) cost base.

Please see the ORS website for detailed instructions on which F&A rate applies to your project: http://www.ors.hawaii.edu/indirect-cost-rates.asp

Questions regarding this article should be directed to Kevin Hanaoka, Cost Studies and Rate Analysis Manager at (808) 956-9242 or by email to: hanaokak@hawaii.edu.

ORS Helpline Terms to Know

**ARRA -- Abbreviation for: American Recovery and Reinvestment Act**

The three main goals of American Recovery and Reinvestment Act (ARRA) are to:

1. Create and save jobs,
2. Spur economic activity and invest in long-term economic growth, and
3. Foster unprecedented levels of accountability and transparency in government spending.

This $787 billion recovery plan includes federal tax cuts and incentives, an expansion of unemployment benefits, and other spending on social entitlement programs. In addition, federal agencies are using Recovery funds to award contracts, grants, and loans around the country. For more information regarding ARRA, visit the ORS website at:


**NCE -- Abbreviation for: No-Cost Extension**

Although sponsors expect principal investigators (PIs) to complete the project by the award termination date, PIs may request a No-Cost Extension (NCE) should additional time be required to complete the project scope and objectives. This request is under the condition that no additional funds will be provided by the sponsor. Individual sponsor requirements for requesting NCEs vary but usually no later than 45 days prior to the project termination date and may require endorsement by ORS.