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From the Director's Office

Aloha kākou,

In preparation for two Hurricanes - Iselle and Julio, ORS' Hilo and Maui Service Centers were evacuated on Thursday, August 7, 2014; ORS' Mānoa, West O`ahu and Kaka`ako Service Centers were evacuated on Friday, August 8, 2014. During this critical time, ORS staff not only took care of all the urgent issues on pending proposals/awards before the office closed on Thursday, but also submitted two (2) proposals over the weekend in between two storms in order to meet the deadlines. The services provided by ORS' staff has once again demonstrated the dedication of our commitments to the University's research community. We are grateful that all of our staff are back to the office safe on Monday, August 11, 2014.

Last month, the University of Hawai`i successfully secured \$70.2 million in awards which is a record high for the month of July. This is a 84% increase from last July's total of \$38.2 million. Congratulations to all principal investigators (PIs) who received awards.

The ORS Grants and Contracts Certification program will be offered once more in Fall 2014. Detailed information is included in the article below. To help our PIs search for funding opportunities and improve the quality of their proposals to be more competitive during this challenging time, ORS continues to work on multiple avenues to enhance services to PIs. Please stay tuned for future announcements. In the meantime, we will continue to offer Pivot and *myGRANT* workshops in the fall semester. If you need assistance with funding opportunity searches, please contact Liane Akana, ORS Contracts & Grants Specialist, at lianea@hawaii.edu or (808) 956-9117.

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From the Director's Office (continued)

In this month's articles, we provide you with National Institutes of Health and the FDP faculty workload survey report in addition to the upcoming effort reporting certification reports that will be available on August 14, 2014 and due by September 30, 2014. Thank you for your attention to these important deadlines.

Happy summer!

Yaa-Yin Fong
Director

National Institutes of Health (NIH) New Biosketch Format Update

The National Institutes of Health (NIH) has initiated a second round of pilots to assess a planned modification of the NIH Biographical Sketch (Biosketch). The new Biosketch format being piloted will extend the page limit from four to five pages and it will allow researchers to describe up to five of their most significant contributions to science, along with the historical background that framed their research.

NIH believes that the modified biosketch will offer reviewers a better picture of a researcher's accomplishments and capabilities, and will help illuminate the downstream effects of scientific discovery. The key focus of the new NIH biosketch will be the magnitude and significance of the scientific advances associated with a researcher's discoveries and the specific role the researcher played in those findings instead of the current practice which focuses on where they have published or by how many times.

Currently, the use of enhanced biosketch is restricted to those RFAs included in the pilot. NIH plans to roll out the modified biosketch for all grant applications received for fiscal year 2016 funding and beyond (which generally refers to applications submitted in early 2015).

ORS will provide more information to PIs and departments after NIH issues final guidance on the revised Biosketch. Currently, the new template and instructions could change based on feedback from the pilot program.

For more information on the Biosketch Pilot program see, NIH Notice Number NOT-OD-14-091 at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-091.html>.

For questions or more information, contact Emmitt Ford, Contracts and Grants Manager, Kaka'ako Service Center, at emmitt@hawaii.edu or (808) 356-5764.

Federal Demonstration Partnership (FDP) - Faculty Workload Survey Report

The Federal Demonstration Partnership (FDP) sponsored by the National Academies, consists of 10 federal agencies and 119 institutional recipients of federal funds. In early 2012, the FDP conducted a survey of principal investigators (PIs) of federally funded projects to determine the impact of federal regulations and requirements on the research process. This was the second survey, and the first survey was conducted in 2005. The results from both surveys were very similar, which indicated little change from the federal government since the 2005 survey.

Based on the report, PI estimates, research time spent on obtaining and completing federal funded projects is roughly divided as follows:

Proposal preparation	15.4%
Pre-award administration	5.7%
Post-award administration	13.6%
Report preparation	7.6%
Active Research	57.7%

Although, since 2005 the survey showed increases in the proportion of respondents reporting substantial time devoted to federal project finances, personnel, and patent/copyright applications, and slight decrease in the time required to meet HIPAA (Health Information, Privacy and Accountability Act) requirements and to complete IRB trainings. For details, please see the executive summary at http://sites.nationalacademies.org/PGA/cs/groups/pgasite/documents/webpage/pga_087667.pdf.

Annual Effort Certifications and Cost Shared Effort Certifications

On **August 14, 2014**, Effort Certifications and Cost Shared Effort Certifications will be available for review and approval by principal investigators (PIs) and fiscal administrators (FAs), and must be certified by **September 30, 2014**. As previously mentioned, separate certifications are necessary because Effort Certifications are generated from data in the Kuali Financial System (KFS) Labor Ledger while data for the Cost Shared Effort Certifications is not recorded in the KFS Labor Ledger.

In KFS, an Effort Certification (EC) eDoc will be generated for each University of Hawai`i employee who was paid salaries and wages for services performed during fiscal year (FY) 2014 from a federal extramural account. The EC eDoc(s) will route to the PIs on each of the extramural accounts for review and approval, then to the FAs / KFS Fiscal Officers on all accounts from which the individual was compensated.

In addition to the EC eDocs generated in KFS, PIs must also certify Cost Shared Effort for their extramural awards on an annual basis. Like FY 2013 fiscal year end, a web-based Cost Shared Effort Report will be generated for the PI's review and certification. PIs must use their UH user name and password to access the Cost Shared Effort Certifications.

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Annual Effort Certifications and Cost Shared Effort Certifications (continued)

Separate announcements will be made once the certifications are available. ORS will follow up on all outstanding certifications and may escalate the matter to the appropriate deans / directors or suspend account activity, if necessary.

For detailed instructions on Effort Certifications in KFS, please refer to the KFS Training Manual for Effort Reporting under Training at <http://www.hawaii.edu/kualifinancial/>. For Cost Shared Effort Certifications, FAQs will also be posted to the ORS website once the certifications become available.

Please contact ORS Compliance at compliance@ors.hawaii.edu with any questions.

Modified Total Direct Costs (MTDC) Base for Off-Campus Projects

Recently, there was a question about what costs should be excluded from the modified total direct costs (MTDC) base for the calculation of fiscal and administrative (F&A) costs on an off-campus project. If the negotiated rate agreement off-campus rate is used, the MTDC is calculated the same as the on-campus rate. In other words, the exclusions are the same.

Only the following costs are excluded from MTDC:

1. Equipment;
2. Capital expenditures;
3. Charges for patient care;
4. Charges for tuition remission;
5. Rental costs of off-site facilities;
6. Scholarships and fellowships;
7. The portion in excess of the first \$25,000 of each subaward; and
8. User charges for University of Hawai'i specialized service facilities (SSF).

The first seven are specified in the federal regulations. The last is excluded because SSF charges are already burdened with F&A costs.

In light of the above, the only charges that can be excluded related to renting space on a grant are for rent itself and any common area maintenance charges (CAM). Utilities and communication costs such as telephone and internet service, janitorial services, and other operating costs are all subject to F&A.

There is not considered to be a “double dipping” of costs because the off-campus rate excludes the facilities component. Thus, the project is only being assessed for administrative services.

Should you have any questions, please contact Kevin Hanaoka, Cost Studies Manager at hanaokak@hawaii.edu or (808) 956-9242.

University of Hawaii Foundation Subawards with the University of Hawaii

Based on the University of Hawaii (UH) Executive Policy E8.102, all system-wide extramural contract/grant documents, contract assignments and releases shall be reviewed by the Office of Research Services. Although, in specific situations, the sponsor may require the recipient to be a non-profit 501(C) 3 entity, in which case, UH is not. Hence UHF, as a 501(C)3 entity, can accept the award on behalf of the UH PI. Please also note that in a rare situation, with approval from the VPRI and the President, UHF may also accept the contract and grants funds for UH even though it does not require 501(C)3 designation. In such cases, UHF will subaward the Contracts & Grants Agreements to UH through ORS in order for the PI to start spending on the project. The process for the PI to set up a UH subaward through UH Foundation after receiving UHF funding is as follows:

1. Work with your department Fiscal Administrator to create a budget for the project/program;
2. Request a UH subaward (ORS Agreement) for account reimbursement from UHF. See the link below for detailed instructions from UHF: <http://www.uhfoundation.org/sites/uhfoundation.org/files/finance/policies/finance/Expenditures%20-%20ORS%20Agreements.pdf> (J.12.b.)
3. Create a *myGRANT* proposal to UH for the subaward from UHF. For step-by-step *myGRANT* assistance, see the ORS *myGRANT* Quick Reference Guide: http://www.ors.hawaii.edu/files/myGRANT_guide_general.pdf or contact the ORS Helpline: 808-956-5198 or email helpline@ors.hawaii.edu. Route your completed *myGRANT* proposal record for departmental approval;
4. Once the approved *myGRANT* document is received, your ORS Contract & Grants Specialist will review and process *your* UHF agreement;
5. Once your agreement is approved and processed you are ready for your project account to be set-up with the Section: <http://www.ors.hawaii.edu/index.php/start-up-a-manage/project-account-set-up>
6. ORS Projects Fiscal Accounting will invoice UHF for reimbursements on the expenditures posted to the project account.

For questions please contact your ORS assigned Contracts & Grants Specialist:
<http://www.ors.hawaii.edu/index.php/ors-assignments>

Subaward Processing Reminders – Common Causes of Delay

ORS would like to offer a few reminders to principal investigators, project directors and fiscal administrators that will help expedite ORS' review and processing of subawards where the University of Hawaii is the prime recipient. The following are some common causes of processing delays:

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Subaward Processing Reminders – Common Causes of Delay (continued)

- **Incorrect information included on the FDP template**

Please use the sample subaward on the ORS website as guidance when filling out the FDP template: <http://www.ors.hawaii.edu/index.php/apply/forms>.

- **Incorrect attachments**

Recently, ORS has been receiving a number of subawards with the incorrect Attachment 2 (specific to the wrong agency) and missing Attachment 4 (reporting requirements). Please check for the correct attachments before submitting your subaward packet to ORS for review.

- **Missing Prime Sponsor's authorization (if required)**

If the prime award requires the prime sponsor's authorization in order to issue the subaward, please include a copy of the authorization in the subaward packet. Subawards will not be submitted for signature without required sponsor authorizations.

- **Stated payment in other than United States dollars**

Stated payments should be reflected in United States dollars. If payment is to be made in a different currency, please include an authorization from the appropriate department authority that the department will be responsible for any losses which may occur due to differences in payment amounts resulting from exchange rate fluctuation. Also note that budgets must match the obligated amount reflected in the subaward.

- **Incorrect subrecipient DUNS number**

A common cause of delay is when the subrecipient DUNS number is not recognized on the System for Award Management (SAM) website. ORS recommends that you ask the subrecipient for a screen print of a SAM page that evidences their current active status as waiting for this documentation can become critical if execution of the subaward needs to be expedited.

- **Missing required UH forms**

The following forms must be included with submission of the subaward for ORS review: Form S-1, Forms S-2 and S-3 (as applicable), the Subrecipient's Certificate of Current Cost or Pricing Data FAR 15.406-2 (as applicable).

It is also helpful to have the subrecipient's tax clearance certificate in your subaward packet; however, a missing tax clearance certificate will not delay the processing of your subaward, but will delay Research Corporation of the University of Hawaii from issuing your purchase order.

The above-referenced forms are available at: <http://www.ors.hawaii.edu/index.php/apply/forms>.

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Subaward Processing Reminders – Common Causes of Delay (continued)

Please contact your assigned ORS Specialist (<http://www.ors.hawaii.edu/index.php/ors-assignments>) with any questions. To be proactive, you may contact your assigned ORS Specialist for assistance as early as when a potential subaward is being considered.

ORS Grants and Contracts Certification Program, Fall 2014 – Open for Enrollment

ORS is proud to provide continuing education programs to assist administrative officers, fiscal officers and research administrative staff to better understand the contracts and grants process.

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

- Research Administration overview, Funding Opportunity Search, Proposal Development, Conflict of Interest (COI), Responsible Conduct of Research (RCR) & Technology Transfers
- Financial & Administrative Compliance and Subrecipient Monitoring
- Facility & Administrative Costs (Indirect Costs), Cost Sharing & Program Income
- Proposal Preparation & Processing, Proposal Budget Preparation & Review, and Approval of Contracts & Other Award Documents
- Receiving & Administering an Award, Project Closeout, and Financial & Administrative Compliance Revisited
- 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 fall includes three class sessions on Fridays, September 19, October 3, and October 31, 2014, from 12:30 – 3:30 pm at the University of Hawai'i at Mānoa in Kuykendall 201. There are also three 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 Honolulu Community College (October 3, and October 31, 2014 only), Kapi`olani Community College, Leeward Community College, UH West O`ahu, Windward Community College, Kaua`i Community College, UH Maui College, UHMC Moloka`i Education Center, UH Hilo, and UH Center at West O`ahu

There will be no live broadcast available for Honolulu Community College on September 19, 2014. Please feel free to sign up for an alternate site if you are interested in attending.

The registration deadline for the fall session is September 5, 2014. Please register online at: <http://www.ors.hawaii.edu/index.php/education-a-training/104-education-and-training/109-gccp>.

For more information on this fall's certification program, visit us at <http://www.ors.hawaii.edu/>.

ORS Helpline Frequently Asked Questions (FAQs)

What is Unrecovered F&A?

Unrecovered Facilities & Administrative (F&A) cost is the difference between the amount awarded and the amount which could have been awarded under the recipient institution's approved negotiated indirect cost rates (F&A rates).

When would I have Unrecovered F&A?

Unrecovered F&A applies when there is a reduced rate from the UH negotiated rates applied to the project. The reductions are due to one of the followings:

- Sponsor limitation - The sponsor's official F&A rate, which applies to all the projects under that sponsor, is less than the University's negotiated F&A rates.
- Waiver approval from the Chancellors - The PI obtains an F&A rate reduction or waiver approval in writing from the appropriate campus chancellor or chancellor's designee.

Do you have a Question or Comment for ORS?

Please feel free to contact us at the ORS Helpline:

Emai: helpline@ors.hawaii.edu or Phone: (808) 956-5198