

December

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University of Hawaii System
Office of Research Services



Aloha from *Insight*:
The monthly news
letter for the UH
Office of Research
Services for 2016.

Registering for National Institutes of Health eRA Commons and National Science Foundation FastLane

Both the National Institutes of Health (NIH) and the National Science Foundation (NSF) utilize online websites to conduct their extramural business: eRA Commons and FastLane respectively. In order to conduct business with them, you will need to be registered in their systems through the University of Hawaii. Registrations are handled for the University of Hawaii by the Office of Research Services (ORS) Helpline.

To register for NIH eRA Commons or NSF FastLane, go to: <http://www.ors.hawaii.edu/helpline/> at the ORS website, click on "Register for eRA Commons or NSF FastLane" complete the ticket information and "Submit".

For assistance or questions, contact the ORS Helpline at helpline@ors.hawaii.edu or (808) 956-5198.

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Updated National Science Foundation (NSF) Proposal Submission Requirements

The National Science Foundation (NSF) has informed the University of Hawaii that in order to comply with NSF proposal submission guidelines and procedures, on a go-forward basis, all proposals to NSF must be submitted under NSF organization number 0016105000 ("University of Hawaii"), regardless of campus. Individual campus organization IDs may only be used if specifically allowed by the RFP. Accordingly, before submitting any NSF proposal with an individual campus organization ID, please contact the designated NSF program officer directly to obtain confirmation that individual campus submission will be allowed, or contact your assigned Office of Research Services (ORS) specialist and they will assist you with the inquiry to NSF.

To comply with NSF's notice, please check your NSF profile to ensure that it is affiliated with the 0016105000 NSF organization number. If you need to update the NSF organization number, log in to FastLane, then select "Change PI Information" -> "Edit PI Information" -> "Change Institution", search for "University of Hawaii", select the 0016105000 organization ID, then "Save Changes".

If you have problems updating your profile or are preparing your proposal in FastLane and are unable to access the 0016105000 NSF organization number, please contact the ORS Helpline at helpline@ors.hawaii.edu or (808) 956-5198.

NSF has informed us that any proposals submitted under organization numbers other than the 0016105000 NSF organization number and not specifically allowed by the RFP are subject to return without review and other consequences to UH. As such, we thank you in advance for your compliance and cooperation with this important requirement. If you have any questions, please contact ORS at helpline@ors.hawaii.edu or (808) 956-5198.

During the performance of the fiscal year (FY) 2016 Single Audit, our auditors identified numerous instances of non-compliance with University of Hawaii's policies and procedures related to the areas noted below. Although the responsible fiscal administrators (FAs) have already been informed and have provided a corrective action response, all personnel have the responsibility to understand and adhere to university policies and procedures. Please note that instances of untimely execution of purchase orders and untimely submission of Travel Completion Reports were also identified in the FY 2015 audit.

Untimely Execution of Purchase Orders

Vendor purchase orders (POs) were executed and approved subsequent to the receipt of goods or services. The issuance of a PO begins with a purchase requisition. The purpose of the purchase requisition is to document the solicitation, selection, review, and approval of a purchase before a commitment is made to a vendor. A PO will be issued once the proper approvals are obtained. The PO is the official purchasing document, which sets forth the descriptions, quantities, prices, payment terms, date of delivery or performance, and other terms and conditions. Upon acceptance by a vendor, the PO becomes a binding contract. As a general rule, all goods and services should be obtained through the issuance of a PO. Failure to complete a PO prior to the commencement of services or the receipt of goods from a vendor exposes the university to an undue risk of unauthorized purchases and the misuse of federal funds. Any exceptions to obtaining a PO prior to the receipt of the goods or services must be clearly documented.

Lack of Delegation of Signing Authority

Personnel approved procurement transactions on behalf of the principal investigator (PI) without documentation supporting the delegation of procurement authority. AP 8.220 *General Principles* under the *Procurement* section of the university's Administrative Procedures (AP) states that Vice Presidents and Chancellors may delegate their procurement authority to fiscal administrators (FAs) of departmental units under their jurisdiction upon obtaining written approval by the university's Financial Management Office. AP 8.025 – *Fiscal Responsibilities*, section C4 – *Principal Investigator / Project Director Responsibilities* - state that a person with fiscal authority cannot be delegated PI authority on the same account. The procurement of goods or services by an individual who lacks the appropriate authority may result in unauthorized purchases and the misuse of federal funds, which may ultimately jeopardize the university's ability to obtain future federal funding.

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**Fiscal Year 2016
Audit Comments
and Observations
(Continued)**

Untimely Submission of Travel Completion Report

AP 8.851 *Employee Out-of-State and Intra-State Travel*, section III.L.6. states that “the Travel Completion report must be submitted to the traveler’s business office within 21 calendar days from the end date of the trip.” Failure to submit the “Travel Completion Report” in a timely manner may result in the untimely disbursement of federal funds by the university.

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

**Voluntary Cost
Sharing: When is a
myGRANT PD
Required?**

The University recognizes two types of voluntary cost sharing. Voluntary committed cost sharing (VCCS) refers to university-initiated contributions to a sponsored project that are reflected in the proposal budget or narrative at the time of proposal submission. This cost sharing is not required by the funding agency, but requires tracking by the university. Voluntary uncommitted cost sharing (VUCS) refers to effort or other contributions provided to the project that are above and beyond any commitments made in the proposal budget or narrative at the time of proposal submission.

If effort paid by the award and originally included in the proposal to the sponsor is subsequently reduced and instead paid by another source (i.e., cost shared) a myGRANT proposal development record (using newly added Proposal Type “Post Award Action – Change in Cost Sharing”) would be required in order to route for appropriate approvals. As an example, if a principal investigator originally budgets salary representing twenty percent (25%) of his/her effort in the proposal but during the course of the project, reduces their salary charged to the award down to ten percent (10%), the salary representing fifteen percent (15%) of their effort no longer being charged to the project but charged elsewhere is considered to be VCCS and requires appropriate approvals and tracking in myGRANT and the Kualii Financial System.

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Voluntary Cost Sharing: When is a myGRANT PD Required? (Continued)

Unpaid effort that is included in a progress report or other cost sharing provided in accordance with departmental policies and procedures are considered VUCS, as long as such amounts were not included in the original budget proposal or a subsequent budget modification to the sponsor. VUCS is not required to be tracked and shall not be tracked in the university's official cost sharing system.

For additional guidance please refer to AP 8.947 Accounting for Cost Sharing.

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

For questions regarding myGRANT, please contact the ORS Helpline at helpline@ors.hawaii.edu or (808) 956-5198.

ORS Helpline Frequently Asked Questions

What steps should a PI take before submitting a document for workflow approval in myGRANT?

A data validation check should be performed to see if there are any errors or omissions that will prevent the document from being submitted. On the top tool bar, click "Data Validation" then "Turn On". If there are any errors in the document, they will appear as errors.

On the far right side of each error, there will be a "Fix It" button. Clicking this button will take you to the location of the error with a description at the top of the page on how to fix the error.

The PI or aggregator may ask for an ORS Contracts & Grants Specialist to assist with reviewing the proposal before it is routed through the workflow approval process. To locate the specialist assigned to your school/unit, please refer to the ORS Contracts & Grants Specialist Assignments page located at <http://www.ors.hawaii.edu/index.php/ors-assignments>. This will minimize the possibility of a proposal being returned after it has entered the workflow process. When a proposal is returned for changes, it will be re-routed through the entire approval workflow.

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**ORS Helpline
Frequently Asked
Questions
(Continued)**

I received a notification that I need to approve a document or complete my COI disclosure. However, when I click the link I am not authorized to access the website. How do I get access?

Please contact the ORS helpline at (808) 956-5198 or helpline@ors.hawaii.edu to obtain access.

I am having problems viewing my disclosure in the COI module, what should I do?

If you are unable to view your disclosure, please use Chrome or Firefox for the best experience. If you continue having issues, you may also contact the ORS Helpline at helpline@ors.hawaii.edu or call (808) 956-5198.

(The original link is here: <http://www.ors.hawaii.edu/index.php/mygrant-faq?view=category&id=115#subcat128>)

Do you have any questions or comments for ORS?

Please contact us at the ORS Helpline:

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