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## From the Director's Office

Aloha Kākou,

Happy New Year!

I hope you all had a enjoyable holiday break. During the administrative leave, with limited resources, ORS was able to handle all urgent requests without delays. We thank you for your kōkua.

We have implemented a new policy requiring principal investigators (PIs) to submit National Institutes of Health (NIH) proposals to ORS no later than three business days prior to their proposal deadline. This is in response to NIH's revised proposal submission policy which goes into effect on January 25, 2011. In addition, the National Science Foundation (NSF) has provided revised cost sharing Frequently Asked Questions (FAQs) to answer any questions that PIs may have. Please see more details in this month's articles.

Also included in this month's newsletter are FAQs provided by CHS to answer commonly asked questions, details on University of Hawai'i procedures to address the Federal Funding Accountability and Transparency Act (FFATA) reporting guidelines, and a tool to assist fiscal officers in reconciling cash balances on their project accounts. I hope you will find the information useful.

Congratulations to Ms. Darcie Yoshinaga who assumed the Associate Director position effective as of January 3, 2011. Darcie holds a juris doctor from the University of Hawai'i at Mānoa William S. Richardson School of Law and joined ORS as the manager of the Contracts & Grants section in 2009 with over sixteen years of professional and managerial experience. Please welcome Darcie in her new role at ORS.

Mahalo,

Yaa-Yin Fong  
Director, ORS



## National Institutes of Health (NIH) Policy Change

The National Institutes of Health (NIH) is changing its policy concerning proposal deadlines. Currently, proposals with technical errors in NIH's eRA Commons system may be corrected within two days after system validation, even if the proposal was submitted on the day of the deadline.

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## National Institutes of Health (NIH) Policy Change (continued)

Effective January 25, 2011, proposals with technical errors may only be corrected if the system validates the submission prior to the deadline and an error-free proposal is re-submitted by the deadline. System validations can occur up to two days after submission and the University of Hawai'i may not be notified of the existence of an error until then. Therefore, if an NIH proposal is not submitted early and contains some kind of error, chances are high that the proposal cannot be corrected, and consequently will not be accepted by NIH.

With this change taking effect in January, ORS has instituted a requirement that PIs must submit the final electronic version of their NIH proposals to ORS' File Uploader no later than three business days prior to the deadline.

Please address questions to Jennifer Halaszyn, Kaka'ako Satellite Service Center Manager, at (808) 692-1807 or [jhalaszy@hawaii.edu](mailto:jhalaszy@hawaii.edu).

## National Science Foundation (NSF) Revised Cost Sharing Frequently Asked Questions (FAQs)

As you may be aware, the new National Science Foundation (NSF) Proposal & Award Policies & Procedures Guide (PAPPG) goes into effect for proposals submitted or due on or after January 18, 2011. One of the significant changes to the PAPPG is implementation of the National Science Board's recommendations regarding cost sharing.

This past fall, the NSF Policy Office developed a set of Frequently Asked Questions (FAQs) on cost sharing and has since added responses to additional questions that have been raised about the new policy. The document discusses, among other things, when the new policy takes effect, donation of time to a project by senior personnel and how to handle doctoral dissertation awards and fellowships. We encourage you to access the cost sharing FAQs and visit the Policy Office website often to obtain the latest information on NSF policies and procedures. See NSF cost sharing FAQs - [http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=costsharefaqs](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=costsharefaqs)

In addition, NSF encourages everyone to send in additional questions that may surface. NSF considers these FAQs to be a "living document", and will modify them as necessary to provide new coverage. Please send any new questions to [costsharing@nsf.gov](mailto:costsharing@nsf.gov)<<mailto:costsharing@nsf.gov>>.

## Federal Funding Accountability and Transparency Act (FFATA) Reporting Guidelines

The "Federal Funding Accountability and Transparency Act" (FFATA) reporting guidelines, policies and procedures, and forms have been posted to the ORS website at <http://www.ors.hawaii.edu/>.

If you receive an award (grant or contract) directly from a federal sponsor and issue a subaward (subgrant or subcontract), that subaward may be subject to FFATA reporting. Understanding your data collection and documentation responsibilities will ensure our institution's compliance with FFATA reporting and minimize subawardee or vendor transaction processing delays through the Research Corporation of the University of Hawai'i's or the University of Hawai'i's procurement offices.

If you have any questions regarding FFATA reporting requirements, please contact the ORS Compliance section at [compliance@ors.hawaii.edu](mailto:compliance@ors.hawaii.edu).

## **How to Read Cash Balances in FMIS and on PageCenter Reports for Project Accounts**

Due to the current economic environment, last July, ORS implemented a procedure for awards that are funded by private and non-profit agencies. If the award payment terms require payment upon execution of the award, ORS will not allow the account to be opened until the initial payment is received. Furthermore, many sponsors are experiencing challenges in their ability to reimburse/pay the University of Hawai`i for various research and training projects. In order to minimize the risk of uncollectible balances on sponsored projects and in light of these challenges, some projects may decide to implement a “no-deficit” spending policy where there must be sufficient cash balances in the project to cover expenditures. To help the field monitor cash balances, we have developed on our ORS Accounting section webpage, a guide on how to read deposits and cash balances in FMIS and on PageCenter reports.

In general, the cash available amounts are located on the first line entitled, “1100 Claim on Cash” on the GL Screen 018 and Report CBSP090D for the GL account. If the claim on cash amount is positive, this means that expenditures are less than the cash available. Therefore, if you are implementing a “no-deficit” spending model, you would be able to expend up to the cash available amount. If the claim on cash amount is negative, this means that you have expended all the cash available and are in a “deficit” situation – you have more expenditures than cash available. Please note that these cash balances do not include encumbrances, in-transit transactions, pending indirect costs, or projections such as payroll costs, etc., so you will need to factor these items in when determining the amount of cash available in a project account. For details, please go to the following link: <http://www.ors.hawaii.edu/manage-award.asp>

If you have any questions on how to read cash balances, please contact Janis Morita, Project Fiscal Accounting Manager, (808) 956-6959 or [morita@hawaii.edu](mailto:morita@hawaii.edu)

## **University of Hawaii Committee on Human Studies (CHS): Frequently Asked Questions (FAQs)**

The Committee on Human Studies (CHS) is a program that is responsible for the protection of human research subjects (study participants) and compliance with applicable federal regulations and University of Hawai`i (UH) policies. The CHS serves all UH campuses and operates 3 Institutional Review Boards (IRBs): The Social and Behavioral Sciences IRB, the Biomedical IRB, and the Cooperative IRB. The Cooperative IRB is a collaboration between UH and several local hospitals.

### **What do the IRBs do?**

The IRB reviews, approves and oversees human subjects research performed at UH to ensure that the rights of study participants are protected, that participants are not subject to unreasonable harm (physical, emotional, social or other) and that information about them is kept confidential.

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## **University of Hawaii Committee on Human Studies (CHS): Frequently Asked Questions (FAQs) (continued)**

### **When does my research project require IRB approval?**

Research involving an interaction or intervention with a living person(s) or access to identifiable private information about a living person(s), for research purposes, requires IRB approval before research activities can be initiated.

### **Does student research require IRB approval?**

By University policy, masters theses and doctoral dissertations that involve human subjects do require IRB approval before research activities can be initiated.

Other undergraduate and graduate student research performed to meet class requirements may not qualify for IRB review. However, if this research will be published or presented in a public forum, or if the data will be maintained for use in future research, the study will require CHS approval. If you have any questions about whether your project requires IRB approval, please contact the CHS staff.

### **Isn't some research "exempt" from IRB approval?**

Yes, there are two types of human subjects research: Exempt and Non-Exempt. These categories are defined by federal regulation. However, both exempt and non-exempt research must be reviewed by the Committee on Human Studies. Exempt research is considered to be low risk and is subject to fewer requirements. CHS has a special application for approval of exempt research on its website (under "forms"). Completing this application will help you determine whether your study qualifies as exempt.

### **How do I apply for approval of Non-Exempt research?**

Complete and submit the new study application (on the CHS website) for approval of non-exempt research. As determined by federal regulation, some minimal risk, non-exempt research qualifies for "expedited review." These studies do not require review by the full IRB. All other non-exempt research must be reviewed by the IRB at a convened meeting. IRB meetings are held monthly.

### **How long does it take for the IRB to approve a study?**

This depends on a number of factors, especially the quality of the application and its attachments (e.g., consent forms, questionnaires, etc.). Exempt applications are typically processed in 2 to 3 weeks. The average expedited review procedure takes from 3 to 4 weeks. The average full IRB review takes 1 to 2 months. However, if there are a lot of questions and requirements for changes, these processes can take much longer.

### **Where do I go for more information on the CHS?**

You can visit the CHS website at [www.hawaii.edu/irb](http://www.hawaii.edu/irb) or call the CHS office at (808) 956-5007.

## **ORS Helpline Frequently Asked Questions**

### **I want to submit a proposal where the sponsor is only allowing a limited number of submissions per institution, what do I need to do?**

Some funding agencies limit the number of applications a given institution may submit. Examples include the NSF-MRI and USDA-NIFA.

For the University of Hawai‘i at Mānoa (UHM) if you are considering applying for such an award you must contact the University Research Council (URC) (808-956-4053 or garrod@hawaii.edu or jimamura@hawaii.edu) at least 8 weeks before the submission date. If the number of interested individuals exceeds the limit, the URC will select the eligible participants based on short pre-proposals (no more than 5 pages plus a brief CV, due at least 7 weeks prior to the submission date). The pre-proposal should address the key issues defined in the solicitation as well as any cost-sharing. Please note that NASA Epscor is handled by Space Grant.

For the University of Hawai‘i Community Colleges, please contact Associate Vice President for Administrative Affairs, Michael Unebasami at (808) 956-6280 or mune@hawaii.edu.

For UH Hilo, please contact the RCUH Hilo Office at <http://www.rcuh.com/>

### **I am a new PI at the University of Hawaii and I would like more information on the grants and contracts management process.**

We strongly suggest that any new PI's go through the PI training program available on our website-

<http://www.ors.hawaii.edu/education-and-training.asp>

This will give you an informative overview of the grants and contracts management process. If you have any other questions, please contact the ORS Helpline at (808) 956-5198 or helpline@ors.hawaii.edu.

### **Do you have a Question or Comment for ORS?**

*Please feel free to contact us at the ORS Helpline:*

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