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From the Director's Office

Aloha Kākou,

Happy New Year!

During the December 2011 supplemental time off period, ORS was open with minimum staff to handle urgent requests. The ORS Helpline was also available to assist principal investigators (PIs) with any specific *myGRANT* related questions. Some inquiries required more support than others, but the ORS staff was able to address and resolve all inquiries in a timely manner.

Updates on the National Institutes of Health (NIH) salary cap and NIH and National Science Foundation (NSF) accelerated American Recovery and Reinvestment Act (ARRA) spending timelines are contained below.

We are also very pleased to report that in December, NIH and Office of Naval Research (ONR) Grants.gov system-to-system proposals were successfully submitted using *myGRANT*. This is very exciting news for the *myGRANT* team as we continue to progress into the next implementation phase. Please note that starting February 16, 2012, *myGRANT* will migrate into its Phase III implementation – mandatory for all proposal submissions. The ORS staff is proactively monitoring the proposal logs in *myGRANT* and working closely with PIs to ensure that proposals are submitted on time. Extended hours for the ORS Helpline are posted on the ORS website and staff is standing by for any *myGRANT* assistance that PIs may need.

To ensure a smooth transition, we strongly encourage PIs to enter their proposals into *myGRANT* as early as possible for any proposals that are due on or after February 16, 2012. This will allow ORS staff to conduct advanced review, resolve any potential issues and avoid last minute rushes.

As a reminder, we have once more posted articles on *myGRANT* access and training in this newsletter. Many thanks to everyone for their continued support as we move into the final phase of *myGRANT* implementation across the ten University of Hawaii campuses.

Mahalo,
Yaa-Yin Fong, Director

National Institutes of Health (NIH) Salary Cap Guidance

The National Institutes of Health (NIH) new Executive Level II salary limitation (\$179,700) is now effective. The effective date is December 24, 2011, which corresponds with the final passage of H.R. 2055 (December 23, 2011).

Per Section 203, General Provisions of H.R. 2055: *“None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II.”* Consequently, this provision reduces the salary cap on extramural grants from Executive Level I (\$199,700 in 2011) to Executive Level II (\$179,700).

The National Institutes of Health (NIH) is currently finalizing their guidance. We will update this information once the details are finalized.

National Science Foundation (NSF) and National Institutes of Health (NIH) Accelerated American Recovery and Reinvestment Act (ARRA) Spending Update

In order to ensure that remaining American Recovery and Reinvestment Act (ARRA) balances are spent in an expeditious fashion, OMB recently issued Memorandum 11-34 to federal agencies. (See complete memorandum at http://www.whitehouse.gov/omb/memoranda_default/.) Federal agencies are directed to take steps to complete all ARRA funded projects by **September 30, 2013**. While federal agencies may request waivers from the deadline due to compelling legal, policy or operational challenges, such waivers will be granted on a very limited basis. Federal agencies must submit all proposed waivers to OMB for review and approval by September 30, 2012. (This article was posted in ORS October 2011 Newsletter.)

Based upon these directives, both The National Science Foundation (NSF) and National Institutes of Health (NIH) have released further guidance regarding the impact of the accelerated spending. Please see details on NIH guidance at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-014.html>, and NSF guidance at <http://www.nsf.gov/recovery/>.

Key impacts to **NSF** awards are the following:

Amendment of Award General Terms and Conditions for ARRA Awards to Limit the Unilateral Authority to Extend the Award Expiration Date Without Additional Funds

All NSF grants awarded with ARRA funds incorporated NSF's standard general award terms and conditions. These terms and conditions include the authority for grantees to unilaterally extend the final expiration date, for up to 12 months, without additional funds. In accordance with the aforementioned OMB memorandum, NSF will revise all ARRA awards that currently extend beyond (or could potentially extend beyond) September 30, 2013 to limit this authority. It is important to note that the majority of the NSF ARRA-funded grants are not impacted by this award term modification. NSF ARRA grants fall into several categories. Each category and an associated strategy is described below.

1. Grants That, Even With the Exercise of Grantee-Approved No-Cost Extensions, Will Not Expire After September 30, 2013

While no modifications will be made to this category of ARRA awards, NSF encourages grantees to responsibly accelerate expenditures, wherever possible, for this and all categories of active ARRA awards set forth below.

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National Science Foundation (NSF) and National Institutes of Health (NIH) Accelerated American Recovery and Reinvestment Act (ARRA) Spending Update (continued)

2. Grants That Expire On or Before September 30, 2013 but are Currently Eligible for Extension Beyond September 30, 2013 with a Grantee-Approved No-Cost Extension

Grants in this category will be amended to limit the unilateral extension authority so that such extensions may not go beyond September 30, 2013. The following award term will be included in amendments on these awards: “This award is amended to limit the no-cost extension provision incorporated into the general terms and conditions. Should an extension be necessary for this project, the project may not be extended beyond September 30, 2013, without the prior written approval of the Grants Officer. By drawing down funds through the FastLane/Research.gov payment module, the grantee agrees to this amended provision and all other terms and conditions listed in the original award notice.” Grantees are reminded that all required notifications of this initial extension must still be submitted through the FastLane Notification and Request Module. Grantees in this category are hereby notified that they are not permitted to utilize FastLane to approve no-cost extensions beyond September 30, 2013, and that any such grantee-approved actions will not be recognized by NSF.

3. Grants That Expire After September 30, 2013

A. Amendment Relating to No-Cost Extension Authority

Grants in this category will be amended to eliminate the grantee-approved no-cost extension authority. The following award term will be included in amendments on these awards: “This award is amended to delete the Grantee-approved no-cost extension provision of the award terms and conditions. Should an extension be necessary for this project, the project may not be extended without prior written approval from the Grants Officer. By drawing down funds through the FastLane/Research.gov payment system, the grantee agrees to this amended provision and all other terms and conditions listed in the original award notice.” Grantees in this category are hereby notified that they are not permitted to utilize FastLane to approve no-cost extensions, and that any such grantee-approved actions will not be recognized by NSF.

B. Potential Amendment Limiting Award Expiration Date to September 30, 2013

NSF staff administering these grants will reach out to grantees to discuss possible strategies for responsibly accelerating progress and expenditures, including the potential amending of the award expiration date to September 30, 2013. Decisions regarding limiting award expiration dates for this category will be made in conjunction with waiver requests on or before June 1, 2012.

Similar to the National Science Foundation (NSF) guidance on the issue, key impacts to NIH awards, broken down into three categories, are:

1) Grants That Currently End September 1, 2012 – August 31, 2013 and “Could” Extend Beyond September 30, 2013 with an Initial Automatic No-Cost Extension

Grant awards in this category will be revised to limit the automatic extension authority so that such extensions may not go beyond September 30, 2013.

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National Institutes of Health (NIH) and National Science Foundation (NSF) Accelerated American Recovery and Reinvestment Act (ARRA) Spending Update (continued)

2) Grants That Currently End September 1, 2013 – September 30, 2013

The eRA Commons No-Cost Extension module only allows grantees to request extensions in one month increments. Therefore, no automatic extensions will be available for grant awards in this category. Awards will be revised to remove the automatic no-cost extension provision. This will be replaced with a prior approval requirement.

3) Grants With Project Period End Dates Extending Beyond September 30, 2013

Research grant awards in this category include ARRA grants awarded under the NIH Director's New Innovator Program. Many ARRA construction grants are also in this category. If any provision for an automatic extension exists for these grants, awards will be revised to remove the automatic provision and replace it with a prior approval requirement. NIH staff administering these grants will also reach out to recipients to discuss possible strategies for accelerating progress and expenditures. Revised award terms will vary depending on the award terms provided in the current Notice of Award.

Process for Requesting Prior Approval to Extend Beyond September 30, 2013 for both NSF and NIH

For any ARRA award anticipated to continue past September 30, 2013, recipients must notify the Grants Management Officer listed on the Notice of Award in writing that an extension of the final budget period of the project period is vital for the completion of the project. All requests must be received **on or before June 1, 2012**, regardless of the current project period end date. Prior written approval to extend beyond September 30, 2013 will only be provided under one or more of the following circumstances, as described in OMB Memorandum M-11-34 and NIH Guide Notice NOT-OD-10-067, and only after NIH/NSF receives a waiver from OMB:

- The project is long-term by design and acceleration would compromise core programmatic goals;
- The project must undergo complex environmental review that cannot be completed within this timeframe;
- Contractual commitments between the awardee and vendors/subrecipients legally prevent adjusting the timeline for spending;
- Special circumstances exist where acceleration may cause unnecessary harm or unreasonable risk to vertebrate animals or human subjects involved in the research (such as in ongoing clinical trials).

Process for Recipients Unable to Accept the Revised Award Terms

Recipients with concerns regarding these revised terms and conditions must contact the awarding institutional contact to discuss ways to accelerate grant expenditures and ensure project completion by the target date of September 30, 2013.

For questions or more information, please contact Dawn Kim at dawnkim@hawaii.edu or (808) 956-0396.

Federal Demonstration Partnership (FDP) – Faculty Workload Survey

Principal Investigators (PIs) will soon have an opportunity to provide input that may help streamline the administrative workload associated with federally-funded research.

The Federal Demonstration Partnership (FDP; thefdp.org), a cooperative initiative hosted by the National Academies, is conducting a national survey of federally-funded principal investigators to explore the impact of federal regulations on the time faculty spend pursuing active research. The University of Hawaii (UH) is an active member of the FDP, and has provided the FDP with a list of UH PIs on federal grants and contracts during the 2010-11 academic year. As one of those PIs, you may be contacted and asked to complete the web-based **FDP Faculty Workload Survey**. You are encouraged to participate so that the FDP can obtain the firsthand input needed to work effectively with the Office of Management and Budget (OMB) and federal agencies to increase the efficiency of research administration and reduce the workload of PIs.

The FDP is comprised of 10 federal agencies and 119 institutional recipients of federal funds working together to reduce the administrative burdens associated with research grants and contracts. The FDP is a unique forum for individuals from universities and nonprofits to work collaboratively with federal agency officials to improve the national research enterprise. The current study is a follow-up to the FDP 2005 Faculty Workload Survey, which provided estimates of the proportion of federally-funded research time spent on administrative workload compared to active research. The 2011 Faculty Workload Survey will update these data to see whether the workload has changed and will extend the earlier survey findings by exploring specific areas of administrative workload as well as new sources of research workload. The results of this study are critical as they will be a primary source for setting FDP priorities and developing initiatives to improve the research process.

Please be on the lookout during the **week of January 23, 2012** for an e-mail message inviting you to participate in the **FDP Faculty Workload Survey**. We hope that you will choose to take the 15-30 minutes necessary to complete the survey and contribute to this national effort to streamline administrative processes in federally-funded research.

Please note that the FDP institutional review board that reviewed and approved this survey has examined the survey methodology and survey instruments to ensure that all responses will be handled in a confidential manner by a qualified survey company. The names of the participants will not be known to the affiliated university/institution or to the FDP. The survey results will be published as aggregate data and no individual names or university/institution names will be associated with any responses. We hope these protections will allow you to respond candidly to the questions posed in the survey.

myGRANT – Mandatory Implementation on February 16, 2012

The use of *myGRANT* will be mandatory for **all** proposal submissions beginning February 16, 2012. Use of *myGRANT* for Grants.gov system-to-system proposal submittals with due dates of December 1, 2011 or later is now mandatory for all campuses.

As a reminder, *myGRANT* is now live and available to principal investigators (PIs) to use for proposal entry. We encourage everyone to start using *myGRANT* for any proposals with due dates of February 16, 2012 or later. If you have already started routing the Form 5 for your proposal, please be sure to submit it to ORS for processing by **close of business on February 15, 2012**. As of February 16, 2012, with the

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myGRANT –Mandatory Implementation on February 16, 2012 (continued)

mandatory implementation of *myGRANT*, all proposal and related approvals must be routed to ORS through the *myGRANT*'s electronic workflow.

To access *myGRANT* at <https://mygrant.ors.hawaii.edu/mygrant>, you will need a University of Hawaii (UH) ID and password. If you do not already have one, the individual wishing to access *myGRANT* must first request a UH ID and password using this page:

<https://myuh.hawaii.edu:8888/sessionid=nobody/am-ssso-check-status>.

The requester must then add their personal information (name, address, e-mail, phone number, etc.) into Profiler here: <http://www.hawaii.edu/profiler/>.

Please make sure to (1) include your fax number; (2) enter the country code exactly as "US"; and (3) enter the zip + 4 (for example, University of Hawaii at Manoa's zip + 4 is 96822-2303). This information is required for certain *myGRANT* proposal submissions. Once the UH ID is obtained, the requester should e-mail the ORS Helpline and ask for access to *myGRANT*.

If you already have a UH ID and password, please access the Profiler link above to make sure that your country code, fax number and zip + 4 are already in your profile. If not, please update your profile as indicated in the attached instructions.

myGRANT Training is available online at <http://www.ors.hawaii.edu/index.php/mygrant-online-training> and requires a University of Hawaii ID to access the system.

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

ORS Helpline Frequently Asked Questions

myGRANT Institutional Questionnaire

On the Custom Data tab, there are several designations that may or may not apply to your proposal. Enter "y" if your proposal / opportunity falls under the designated category; otherwise enter "n". The following includes instructions and information regarding the various designations within the Custom Data tab.

Non-Competitive Proposal: Enter "y" if the opportunity is directed to specifically support a designated institution or project, or if you are applying for a continuation that is not open to other applicants.

RCR Required: National Science Foundation (NSF) and National Institutes of Health (NIH) opportunities may be subject to Responsible Conduct of Research (RCR) requirements. Please check the solicitation to determine whether RCR requirements apply. In addition to any specific solicitation requirements, in general, RCR training is required for all new research proposals submitted to NSF on or after January 4, 2010; all new and renewal applications for NIH training, career development awards, research education grants and dissertation research grants submitted to NIH on or after January 25, 2010; and all continuation (Type 5) applications of the foregoing types submitted to NIH on or after January 1, 2011.

ARRA Proposal: Enter "y" if the proposal is funded in whole or in part by the American Recovery and Reinvestment Act (ARRA).

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ORS Helpline Frequently Asked Questions (continued)

Native Hawaiian Serving Institution: Enter “y” if the sponsor or proposal requires that the institution be a Native Hawaiian Serving Institution (mainly applicable to Department of Education Title III grants). If you have any questions, please contact an ORS Pre-Award specialist.

OTTED-Commercial/SBIR/STTR: Enter “y” if the research project will be funded by a private for-profit commercial sponsor funded with:

1. The commercial entity's private monies (excluding clinical trials sponsored by a pharmaceutical company); or
2. Small business innovation research (SBIR) funding; or
3. Small business technology transfer funding; or
4. A combination of the above (SBIR, STTR, private for-profit funds), including when Such funds are passed through to UH in a sub-award; or
5. The Center for Excellence for Research in the Ocean Sciences (CEROS) and the Hawai'i Technology Development Venture (HTDV).

Limited Submission Program: Enter “y” if the sponsor has a restriction on the number of submissions that may be submitted from an institution either per solicitation or per year. If the answer is “yes”, please see the ORS website at <http://www.ors.hawaii.edu/index.php/apply/proposal-submission-and-review-process/restrictions-and-limitations> for institutional review and approval coordination.

Minority Serving Institution: Enter “y” if the sponsor or proposal requires that the applicant organization be a Minority Serving Institution at the time of application. If you have any questions, please contact an ORS Pre-Award specialist.

Do you have a Question or Comment for ORS?

Please feel free to contact us at the ORS Helpline:

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