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From the Director's Office

Aloha Kākou,

In this newsletter, we would like to remind National Science Foundation (NSF) PIs to make sure to comply with the Responsible Conduct of Research (RCR) requirements mandated by NSF.

For ARRA award recipients, please be mindful of the critical spending timeline and reporting requirements mandated by ARRA award terms and conditions.

As we quickly approach the university's financial fiscal year end, we appreciate your cooperation in meeting the year-end closing deadlines to ensure all transactions are recorded to the project accounts in a timely manner.

Another successful ORS Research Administration Certification Program was completed in Spring 2010. We had a total of 41 participants complete all six modules. The feedback received from the surveys was very favorable. We will review the comments and make any necessary adjustments for next semester's program. Our thanks to all participants who took the time to provide us with feedback.

We welcome Dr. Susanna Tsai, our new ORS Associate Director. Please stop by and say hello to her.

Happy Summer!

Yaa-Yin Fong

National Institutes of Health (NIH) Updates

Two-Day Error Correction Window

Effective as of May 8, 2010, the NIH has returned to a two-day error correction window:
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-088.html>

National Institutes of Health Updates (continued)

As always, in order to take advantage of the error correction window and still be considered “on-time,” an application must meet the following criteria:

- All required registrations (eRA Commons credentials) must be complete prior to the initial submission.
- The initial submission to Grants.gov (for an electronic application) must have a timestamp on or before 5:00 p.m. local time of the submitting organization on the submission deadline.
- Errors/warnings must be corrected within the two business days following the submission deadline.
- The Authorized Organization Representative is expected to enforce that all application changes made within the window are restricted to those necessary to address system-identified errors/warnings. NIH may reject any application that includes additional changes.
- If submitting a changed/corrected application after the submission deadline (i.e., within the error correction window), the principal investigator (PI) must include a cover letter attachment that provides proof of “on-time” submission and documents the changes made to the application. “On-time” submission may be evidenced by an original Grants.gov tracking number and/or help desk ticket numbers that confirm a system issue.
- This return to the two-day error correction window does not affect the two-day viewing window, which allows applicants to view an assembled electronic image of their application in the eRA Commons upon submission of an error-free application.

eSNAP progress report filing

If you currently have a non-competing NIH grant and the terms of your grant require that you submit a SNAP progress report in order to receive your next year of incremental funding, you must file your progress report using the NIH’s eRA Commons eSNAP module. For SNAP deadlines on or after August 1, 2010, NIH will no longer accept a paper SNAP report:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-093.html>

To file your electronic eSNAP report, log on to the NIH’s eRA Commons system and complete the appropriate forms. Once completed, designate the report as complete in the system and ORS will be electronically notified of your pending submission. ORS will review and submit the eSNAP report on behalf of the university.

If you have any questions regarding NIH requirements, please contact Jennifer Halaszyn at the ORS Kaka‘ako Satellite Service Center at jhalaszy@hawaii.edu or (808) 692-1807.

USDA Update - National Institute of Food and Agriculture (NIFA)

The National Institute of Food and Agriculture (NIFA) is pleased to announce plans to deploy REEPort, a critical component of its One Solution reporting initiative. REEport will become

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USDA Update - National Institute of Food and Agriculture (NIFA) (continued)

NIFA's grant and formula project reporting system, building on and replacing the existing CRIS web forms system. REEport implements the Research Performance Progress Report (RPPR), a standard progress report format that all Federal research agencies will be required to use. REEport will better address NIFA accountability and reporting needs by supporting limited use of program-specific data fields and the ability to upload documents such as PDF files into reports. REEport will also eliminate the need to submit AD-419 data for non-formula grants (AD-419 data will still be required for formula grant projects).

Version 1 of REEport will be deployed in the following four stages:

- Stage A – New non-formula grant initiation – to be implemented October 1, 2010
- Stage B – Progress and termination reports for all new and existing non-formula grants – to be implemented January 14, 2011
- Stage C – New formula project initiation – implementation is targeted for October 1, 2011
- Stage D – Expenditure, progress, and termination reports for all new and existing formula projects – implementation is targeted for October 1, 2011

Further information about each of these stages can be found on the REEport page on NIFA's web site at:

http://www.nifa.usda.gov/business/reeport_imp.html

RTRF Budget Transfer Cut-off for Year End Closing

To properly close the fiscal year, FY 2010 RTRF revenue and budgets must be equal. Cross campus or cross schools/research units RTRF budget transfers make it difficult for the Manoa Vice Chancellor for Research (VCR) and Office of Research Services (ORS) to reconcile on a timely basis to meet the year end closing deadline.

Like last fiscal year end, VCR and ORS have established June 15, 2010 as the cut-off for the following Fast Track transactions (both prior year and current fiscal year):

- RTRF budget transfers between campuses or between different schools/research units (NOTE: transfers within your own school/research unit, or your own campus in the case of non-Manoa campuses, are okay).
- RTRF budget transfers between the Vice President for Research or the Vice Chancellor for Research and campuses or schools/research units, which include project development funds, research relations funds, travel funds, prior year facilitating funds, etc.

These types of transfers will be processed when FY 2011 opens.

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

The American Recovery and Reinvestment Act (ARRA) Awards Spending Reminder

Federal agencies require spending for ARRA awards to be made timely and expeditiously in accordance with the pace of the project(s). A recent article in the Honolulu Advertiser (now known as the Star Advertiser) highlighted the slow spending of stimulus funds <http://the.honoluluadvertiser.com/article/2010/May/24/In/hawaii5240345.html>. As of March 31, 2010, the University spent slightly above eight percent (8%) of the total awards received. While competitive awards generally have initial start up periods, we strongly encourage principal investigators (PIs) to develop an expenditure plan to follow on the pace of their projects and the award budgets to ensure the timeliness of expenditures for the successful completion of ARRA awards.

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

Institutional Plan for Responsible Conduct of Research (RCR)

The National Science Foundation (NSF) has implemented Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Sciences (COMPETES) Act. Effective January 3, 2010, this section of the Act requires that every proposal submitted to the NSF include a statement that the University of Hawai'i (UH) has a plan for the appropriate training and oversight in the responsible and ethical conduct of research and teaching. In response to this mandate UH implemented the Institutional Plan for Responsible Conduct of Research Training and Oversight (RCR Plan) – see <http://www.ors.hawaii.edu/education-and-training.asp>.

According to the RCR Plan, PIs are responsible for ensuring that all applicable students (undergraduate and graduate) and postdoctoral researchers who receive payroll and/or stipends from the NSF award complete the proper online (CITI) training within 30 days of the receipt of NSF support, and interactive requirements within 12 months.

PIs are also responsible for maintaining a written log of individuals completing RCR training, and provide this information upon request for all individuals supported by NSF.

ORS Compliance is responsible for oversight and has asked PIs to provide evidence of required training in accordance with the RCR Plan. Training records are subject to review by NSF upon request. Instances of non-compliance will be forwarded to the appropriate Chancellors / Dean / Directors for subsequent follow up. We strongly encourage NSF PIs to complete the RCR training requirements in a timely manner.

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

Fiscal Year End

In order to meet any closeout deadlines for the month of June, transactions for those accounts should be recorded to FMIS in a timely manner, taking into account any year-end processing deadlines to record transactions or process journal vouchers. As we head toward fiscal year end on June 30, 2010, here are reminders from the ORS Accounting section:

Please review and refer to the year end deadlines noted in the Business Affairs Circular No. 2010-02, dated May 10, 2010, regarding the procedures to close the fiscal year ending June 30, 2010.

The RCUH Fast Track JVs will be disabled at **4:00 p.m. on Friday, June 25, 2010.**

The deadline to submit AFPs is June 17, 2010. Therefore, please plan accordingly to have the account transactions recorded in a timeframe to meet this deadline for any accounts that require a sponsor refund prior to fiscal year-end.

Please submit requests to establish accounts or process changes as soon as possible (e.g., changing the status of an account from advance to open). In the past, the auditors have noted that advance accounts represent a risk to the University. Therefore, we are seeking to reduce the number of advance accounts, especially at year-end. Requests to open accounts will also allow ORS to record any payment received to the proper project account, as all amounts recorded to the ORS clearing account must be reclassified to project accounts by fiscal year end.

The last transmission for RCUH Fast Tracks for account establishment and changes is Wednesday, June 30, 2010 at 4:00 p.m. After June 30, 2010, Fast Track requests may be submitted but the transmission to FMIS will be suspended until FMIS is opened for the new fiscal year, currently anticipated for Friday, July 9, 2010.

Please communicate with your fiscal accounting specialist in ORS on any closeouts due in the month of June, or if you anticipate any special handling required for any of your project accounts.

We thank you in advance for your assistance during the busy year-end period.

Title IV Financial Aid Award Accounts

Prior to fiscal year 2010, accounts for Title IV financial aid awards were created by ORS using the same procedures established for other extramural competitive grants. Therefore, prior to the start of the new fiscal year, the fiscal officer would submit a Fast Track to request an advance account and would then need to submit another Fast Track to request that the status of the award be changed to open once the award was authorized. In line with ORS procedures, the open status of the account was required before any drawdown of funds would be processed.

In fiscal year 2010, ORS implemented a pilot program in which ORS changed the status of the advance accounts to open for Pell, ACG, SMART and TEACH awards once the award was reflected as authorized in the U.S. DOE G5 draw system, thereby eliminating the need for the

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Title IV Financial Aid Award Accounts (continued)

fiscal officer to submit the Fast Track request. A meeting was held with campus financial aid officers and Banner AR representatives on June 3, 2010. Based on their favorable responses, and the benefits to the funding process, until a permanent account restructuring procedure is in place, ORS will continue to make this exception during fiscal year 2011. Should any fiscal officers have concerns regarding these procedures, please contact ORS.

As a reminder, ORS currently performs the draw function once a week. The draw is generally done on Monday morning for transactions that were recorded in FMIS in the prior week. Therefore, if there are any adjustments that are necessary to return funds to the DOE, please ensure that the transactions are posted in FMIS in a time frame that will allow the actual return of funds through the draw process within the allowed period.

If you have any questions, please contact Joanne Yama at [jyama@hawaii.edu](mailto: jyama@hawaii.edu) or (808) 956-8163, or Dina Kojima at [dkojima@hawaii.edu](mailto: dkojima@hawaii.edu) or (808) 956-5193.

Welcome New Associate Director

Dr. Susanna Tsai has accepted the position of Associate Director at ORS and is a great addition to our office. She has a Masters Degree in Linguistics and a Ph.D. in Instructional Systems Technology from Indiana University, Bloomington.

Dr. Tsai has over 20 years of academic, research and teaching experience in both the higher education and private industry arenas. In the past 10 years, she served as the CEO and Chief Learning Officer for Inkitiki Corporation in Hawaii. She also has experience interacting with federal institutions and is familiar with the regulations of various federal funding agencies, as well as with specific issues and best practices affecting research proposals and contracts. Among other responsibilities, Dr. Tsai will be taking the lead to enhance ORS' proposal development services. Please stop by ORS to welcome her.

Send Your Research and Project Photos to be Featured on the ORS Website

ORS would like to feature UH sponsored project related photos on its website. Please email your research or project related photos to [helpline@ors.hawaii.edu](mailto: helpline@ors.hawaii.edu).

Please only send photos that belong to you, and note that by sending the photos, you give ORS permission to post them at [www.ors.hawaii.edu](http: //www.ors.hawaii.edu).

Helpline Frequently Asked Questions

What is an F&A rate?

The F&A rate or Facilities and Administrative rate is the method used by the federal government to reimburse UH and other research institutions for the use of their facilities and administrative services for federally sponsored activities.

We have a project that will be conducted at two or more different locations, which F&A rate should we use?

If the work straddles two or more locations, use the F&A rate defined for the location at which the majority of the work will be completed.

We just submitted a proposal before the new F&A rate was announced; do we have to revise our proposal?

The proposal does not have to be revised. The rate in the proposal, unless it is for a noncompeting continuation, is an estimate and technically, is not determined, until an award is made. This is because under A-21, the negotiated F&A rate in effect at the time a new award is made is the rate that the sponsor should be awarding in the grant or contract. This might involve rebudgeting at the award stage. Note that in some cases, when sponsors are aware of the new F&A rate, the sponsor might request a proposal rebudget.

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