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From the Director's Office

Aloha,

I would like to congratulate the ORS Pre-Award staff at Kaka'ako, Manoa and Maui in fulfilling UH's challenge to meet the ARRA/Recovery Act submission this past April. A total of (60) ARRA/Recovery Act proposals were reviewed and successfully submitted with little to no consequence. The majority of the proposals due on April 27th were National Institutes of Health (NIH) RC1 grants.

Thank you again to the PIs who continue to provide ORS with advance notices of upcoming proposal submissions. It provides valuable information in forecasting staffing requirements especially during these peak-filing periods.

To ensure that pertinent information is forwarded, ORS has decided to standardize the Advance Notification of Proposal Submission form, which can now be found and submitted via the ORS Web site (under Forms). We continue to encourage PIs to submit proposals as early as possible to avoid a last minute review.

Included in this newsletter are National Science Foundation (NSF) updates regarding ARRA/Recovery Act proposal submission and reporting and NIH Financial Conflict of Interest (FCOI) reporting requirements, which will take effect on July 1, 2009.

You will also learn that ORS, in response to the A-133 audit recommendations, has updated the Accounting for Cost Sharing APM and posted a new Subrecipient Monitoring APM. These APMs will bring UH more in line with the federal requirements.

ORS looks forward to continued improvements of other business processes that will increase efficiency and effectiveness to meet the high compliance demands mandated by the federal government.

Best Wishes & Mahalo, Yaa-Yin Fong, Director

National Institutes of Health (NIH): Financial Conflict of Interest (FCOI) Report Requirement

Effective July 1, 2009, National Institutes of Health (NIH) will require all Financial Conflict of Interest (FCOI) reports for any new or existing awards to be submitted electronically. A listing of existing NIH awards will be circulated to the respective Deans/Directors, requesting Principal Investigator's (PIs) confirmation of any new conflicting financial interest since proposal submission. Policies and procedures to address FCOI reporting requirements are being updated.

Federal regulation (42CFR Part 50 Subpart F) requires that institutions report to NIH any conflicting financial interests and assure that it has been managed, reduced, or eliminated prior to spending any award funds. In addition, for any conflicting financial interest that is subsequently identified, a report must be made stating resolution within 60 days of identification.

A financial conflict of interest exists when a significant financial interest could directly affect the design, conduct or reporting of NIH-funded research.

A Significant Financial Interest is defined as anything of monetary value including but not limited to:

- Salary, consulting fees, honoraria or other payments for services,
- Equity interests, and
- Intellectual property rights except:
 1. Salary or remuneration from UH
 2. Income from seminars, lectures, teaching engagements, or services on advisory committees sponsored by public or nonprofit entities
 3. An equity interest that (when aggregated for the investigator, spouse and dependent children) does not exceed \$10,000 or 5% ownership interest in any single entity; or
 4. Salary, royalties or other payments that (when aggregated for the investigator, spouse and dependent children over the next 12 months) are not reasonably expected to exceed \$10,000.

Revisions to Form 5 Expanded Instructions and Form 5b will be made to address FCOI requirements.

For more information, contact Dawn Kim, ORS Compliance Manager at dawnk@ors.hawaii.edu or (808) 956-0396.

National Science Foundation (NSF): ARRA/Recovery Act Proposal Submission and Reporting Update

The following is an update from the National Science Foundation (NSF) regarding the ARRA/Recovery Act Implementation Proposal Submission and Reporting Requirements.

Eligible Proposals

- Eligibility includes proposals that will be received, reviewed and/or awarded prior to September 30, 2009.
- Reversal of Previous Declined Proposals.

Reversal of Declined Proposals

- Proposals that were highly rated and declined due to lack of available funding at the time the original decision was made are eligible for funding.
- NSF Program Officer (PO) will send a notification to Authorized Organization Representative (AOR or ORS), Principal Investigator (PI) and co-PIs that NSF is considering the reversal of a decline decision.
- Organizational response from AOR must stipulate:
 - o Scope of work specified in original proposal can still be completed
 - o PI and any identified co-PIs remain available
 - o Submission of a new set of proposal certifications
- Program Officers will contact the organization to initiate the process!

Reporting and Accountability Requirements and Special Award Conditions

- Awards will identify funding from ARRA/Recovery Act.
- Funding should be considered one-time funding.
- Within 10 days following the end of each quarter, the recipient must report in accordance with Section 1512c of the Act. The specific data elements to be reported are currently being finalized.
- Funds must be separately tracked and monitored independently of non-ARRA/Recovery Act funding.
- NSF will monitor ARRA/Recovery Act funds, and, if, after 12 months, no allowable expenditures have been incurred, NSF will consider reducing or terminating the award and reallocating the funds.
- Additional award terms may be added for certain programs.

Visit the NSF ARRA/Recovery Act Web site for additional information at: www.nsf.gov/recovery/

RESEARCH.gov Grantee Service

The National Science Foundation (NSF) and its federal research agency partners are pleased to announce the release of Research.gov's Grantee Services!

<http://www.research.gov/>

Research.gov is an exciting initiative that enables organizations and researchers to access streamlined research grants management services and other resources for multiple federal agencies in one location. Agencies included are: NSF, National Aeronautics and Space Administration (NASA), Department of Defense Army Research Office (DoD/ARO), and US Department of Agriculture Cooperative State Research, Education, and Extension Service (USDA/CSREES).

Research.gov is being delivered in a phased and community-focused manner. This initial release includes:

- Grants Application Status - As a Sponsored Projects Office staff member (SPO) or a Project Director/Principal Investigator (PD/PI), you can check the status of your grant applications submitted to NSF, USDA/CSREES, and DoD/ARO from submission to decision.
- Federal Financial Report - As a financial preparer or certifier, you can prepare, certify, and submit grant financial reports to NSF.
- Institution and User Management - As an Institution Administrator, you can add users and select their role so users only see information and services relevant to their role.

How to Access These Services Through Research.gov:

All FastLane users are automatically given access to Research.gov. You can access these services using your NSF account (same account used to log-in to FastLane).

- Go to the Research.gov public homepage at <http://www.research.gov> .
- Select "NSF" from the dropdown box next to "Login" in the left navigation menu.
- Click the "GO" button and you will be redirected to another page where you will enter your last name, NSF ID, and password.

Research.gov Instructional Overview: http://www.hawaii.edu/ors/documents/newsletter/links/Research.gov_Grantee_Services_Instructional_Overview.pdf

Research.gov Fact Sheet: http://www.hawaii.edu/ors/documents/newsletter/links/Research.gov_Fact_Sheet.pdf

Research.gov Newsletter: http://www.hawaii.edu/ors/documents/newsletter/links/Spring_2009_Research.gov_Newsletter.pdf

Please contact the Research.gov Team with any questions or comments at: rgov@nsf.gov or (800) 381-1532.

Federal Demonstration Partnership (FDP): National Academies Partnership with Google

On April 10, 2009, the National Academies announced the completion of the first phase of a partnership with Google to digitize the library's collection of reports from 1863 to 1997, making them available for free, searchable, and in full text through Google Book Search. The Academies hope that wider availability of its reports will be of use to scientists in developing countries as well as researchers and historians. Here is a link to the news release:

<http://www8.nationalacademies.org/onpinews/newsitem.aspx?RecordID=04102009>

Please contact the National Academies with any questions or comments at: worldwidewebfeedback@nas.edu or (202) 334-2000.

E-Verify Federal Contractor Rule Delayed to June 30

The effective date of the final rule requiring certain federal contractors and subcontractors to use U.S. Citizenship and Immigration Services' (USCIS) E-Verify has been delayed until June 30, 2009.

The rule requires use of the federal internet-based system E-Verify to verify the employment eligibility of existing employees (hired after 11-06-86) and new hires that are directly performing work under the award.

The rule will only affect federal contractors who are awarded a new contract after June 30, 2009 that includes the Federal Acquisition Regulation (FAR) E-Verify clause (73 FR 67704).

Federal contractors should NOT use E-Verify to verify current employees until the rule becomes effective and they are awarded a contract that includes the FAR E-Verify Clause.

For more information, please visit: <http://www.uscis.gov/portal/site/uscis/menuitem>

National Institutes of Health (NIH) eRA ALERT: Major Infrastructure Upgrade – Commons and eSubmission Systems Unavailable Friday, May 22 through Tuesday, May 26

To ensure continued system stability, National Institutes of Health (NIH) eRA is embarking on a massive \$2 - 3 million infrastructure upgrade.

We are planning the major upgrade to take place over the Memorial Day weekend:

- Downtime beginning Friday, May 22 through Tuesday, May 26. All eRA systems, including eRA Commons and the eSubmission system, will be unavailable all day during this downtime.

Note: Grant applicants can continue submitting applications to Grants.gov during this downtime.

Applications submitted during the downtime will be queued up at NIH for the eRA eSubmission system to process once the systems are up and running on Wednesday, May 27.

What will you notice after the upgrade?

Improved application performance, system stability, better fail-over capabilities in the event of hardware failure and capacity to absorb growth of up to 16 times the current capacity, paving the way for future expansion of eRA Commons.

Please contact the NIH eRA Helpdesk with any questions or comments at: helpdesk@od.nih.gov or (301) 402-7469.

Vacation Reserve Journal Vouchers: Retain Leave Status Reports

To help with the preparation of the ORS vacation credit allocation worksheet for vacation reserve journal vouchers we are asking fiscal officers and personnel officers to retain all annual leave reports until an employee terminates employment from UH or permanently transfers to a non-vacation accruing position.

Vacation credits are not used on a “first-in, first-out” basis. Instead, they are used on a “pay-as-you-go” basis. When vacation leave is taken, the employee’s current payroll accounts are charged - not the payroll accounts that the vacation credits were earned on.

Thus, it is important to match credits earned and leave taken to the means of financing (MOF) when determining which accounts are liable for the accumulated vacation credit payoff. This can be difficult to accomplish without all of the annual leave reports on hand.

If the documentation is not sufficient to support that the reserve is liable for the payoff (i.e., its “fair share”), the vacation reserve will not be charged. The University has a fiduciary responsibility to the Federal Government because the reserve is similar to a trust fund. Maintaining this trust ensures our continued access to the funds to settle claims owed by the government.

For more information, contact Kevin Hanaoka, ORS Cost Studies & Rate Analysis Manager at hanaokak@hawaii.edu or (808) 956-9242.

Administrative Policy Manual (APM): Revised Accounting for Cost Sharing (APM A8.947)

Revisions to Accounting for Cost Sharing (APM A8.947) were recently posted on the Administrative Procedures Information system (APIS) web site:

<http://www.hawaii.edu/svpa/apm/a8900.html>

Revisions include:

- Added definitions for mandatory and voluntary cost sharing
- Added OMB Circular A-110 criteria for allowable cost sharing
- Removed 50% cap for full-time teaching faculty
- Revised report submission deadlines from a specified number of days to a “timely manner”

These changes are made in accordance with OMB A-133 and audit recommendations issued by our external auditors.

Changes to the Cost Sharing Certification Process are effective for periods ending after April 1, 2009.

Thus, the quarter ending March 31, 2009 certification is still required. However, instead of 45 days after the print date of the report, we will require the certifications to be completed no later than June 30, 2009.

From July 1, 2009, quarterly certification is no longer required.

Impact on Cost Sharing Report Submission to ORS

Annual report due dates will be specified in an e-mail from ORS to fiscal officers effective with the fiscal year ending June 30, 2009.

Reports for terminated projects should continue to be certified and submitted to the Closeout Specialist (Jean Uyeda) within a timely manner, but no later than the sponsor’s financial reporting due date.

We believe that these changes will be more in line with Federal regulations, allow us to be more flexible in handling reporting deadlines, and still be in compliance with sponsor requirements.

For more information, contact Kevin Hanaoka, ORS Cost Studies & Rate Analysis Manager at hanaokak@hawaii.edu or (808) 956-9242.

Administrative Policy Manual (APM): New Subrecipient Monitoring (APM A8.955)

A new Subrecipient Monitoring (APM A8.955 and Attachments) was recently posted on the Administrative Procedures Information system (APIS) Web site:

<http://www.hawaii.edu/svpa/apm/a8900.html>

New Subrecipient Monitoring (APM A8.955 and Attachments) was developed to address Subrecipient Monitoring requirements in accordance with OMB A-133 and audit recommendations issued by our external auditors, Accuity LLP. The purpose of this APM is to identify responsibilities for monitoring Subrecipients and document the required procedures.

For more information, contact Dawn Kim, ORS Compliance Manager at dawnk@ors.hawaii.edu or (808) 956-0396.

Online Training Available: ORS Grant & Contract Certification Program Module 4 (For Researchers, AO/FOs, and Project Support Staff)

ORS is pleased to offer Module 4 of the ORS Grant & Contract Certification Program online to take at your leisure. If you missed our spring classroom program, you can take this online module before the next certification program in the fall.

Module 4 will give you a better understanding of:

- **Proposal Preparation and Processing**
- **Proposal Budget Development**
- **Contract Review & Approval**

For more information, visit us at the ORS Web site, click on Training:

<http://www.hawaii.edu/ors/training.html>

ORS Helpline FAQs: New Online Advance Notification Form

I am thinking about submitting a proposal in the near future, what should I do to get started?

As early as possible, fill out and electronically submit the advance notification form located on the ORS website:

http://www.hawaii.edu/ors/advance_notification.html

What is the purpose of the advance notification form?

When you submit the advance notification form, the pre-award specialist that will be handling your proposal will be informed of the upcoming submission. Once the pre-award specialist is informed of the submission, they will be able to better assist you with proposal preparation or fulfilling pre-submission requirements.

This will also aid in our efforts to plan accordingly for staffing. ORS is committed to review and submit your proposals on time with our existing staff and resources, given the expected increase in submissions due to the Recovery Act.

What if I don't need help with a proposal?

We still ask that you fill out the advance notification form so we know to expect your proposal for submission. This will provide us with ample lead-time for thorough review, especially during peak proposal filing periods.

Do you have a Question or Comment for ORS?

Please feel free to contact us at:

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