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## From the Director's Office

Aloha Kākou,

In response to past A-133 audit recommendations, ORS has significantly improved and updated various policies and procedures to bring UH in compliance with federal requirements. As a result of these business process improvements and the dedication of ORS' staff, we are excited to report that the University of Hawai'i has received an unqualified A-133 compliance audit for fiscal year 2009 (see article below for details). We sincerely thank the research community for their dedication and efforts in keeping the University in compliance with the A-133 audit requirements. ORS will continue to look for ways to increase efficiency to serve our community and meet the compliance mandates of the federal government.

Insightful statistic charts provided by NSF are included in this newsletter, in addition to the NIH updates.

**Thank you again to the PIs who continue to provide ORS with advance notices of upcoming proposal submissions. It facilitates staffing requirements, especially during the year-end periods.**

Mahalo!

Yaa-Yin Fong Director, ORS

## National Institutes of Health (NIH) Updates

- NIH is currently deciding whether they will eliminate the two-day error correction window for eRA Commons errors. They were accepting public comments until recently. If NIH does decide to eliminate the error correction window, it will require the submission of error-free applications on or before the NIH due date.
- An important reminder that all responses to RFPs/RFQs must be approved by ORS prior to submission to NIH. This is to ensure that the budget and scope of work have institutional approval prior to NIH receiving a proposal.

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## National Institutes of Health Updates (continued)

- If you are a new UH investigator who has transferred in from another institution and already have NIH grants, please contact ORS at your earliest convenience to plan the transfer of your NIH grants to UH.

Key changes and updates for NIH policy and grant awards with additional links for more complete information provided below:

***New NRSA Stipend Levels – see link below for more information:***

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-047.html>

***Policy for Tuition, Fees, and Health Insurance on Training Grants and Fellowships finalized:***

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-073.html>

***Important reminders regarding Financial Conflict of Interest (FCOI) with respect to the definition of “Investigator”:***

- Investigator – Principal Investigator (PI) and any other person who is responsible for the design, conduct, or reporting of research funded by the federal Department of Health and Human Services (DHHS), or proposed for such funding. The term “Investigator” includes the Investigator’s spouse and dependent children.
- An Investigator is not just the Principal Investigator or Senior/Key Personnel conducting the DHHS-sponsored research.
- Recipient institutions are encouraged to broadly consider an individual’s role (rather than title) and their degree of independence when applying the definition.

***Additional issues of compliance regarding Financial Conflict of Interest:***

- **At the time of application:** Investigators must submit known significant financial interests to the institution.
- **Prior to the expenditure of funds:** The institution must report any financial conflict of interest to the NIH and assure that it has been managed, reduced, or eliminated.
- **FCOI identified after the initial report:** The institution must report within 60 days of identification and assure that it has been managed, reduced, or eliminated.

***Financial Conflict of Interest Web Site:***

<http://grants.nih.gov/grants/policy/coi/>

***Frequently Asked Questions:***

<http://grants.nih.gov/grants/policy/coifaq.htm>

***Web-Based Tutorial:***

<http://grants.nih.gov/grants/policy/coi/tutorial/fcoi.htm>

***Mailbox for Inquiries:***

[FCOICompliance@mail.nih.gov](mailto:FCOICompliance@mail.nih.gov)

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## National Institutes of Health Updates (continued)

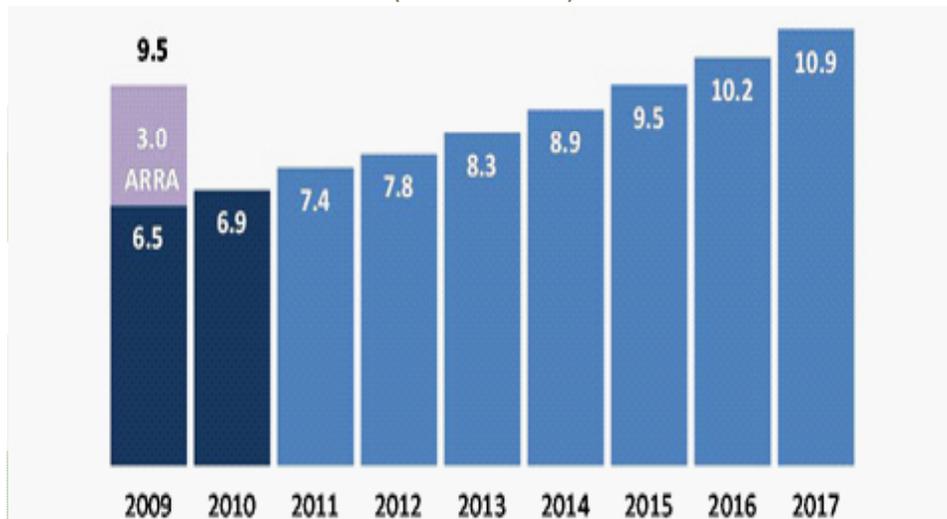
*As you are working on your grant applications, remember where to route Application Specific Questions:*

- **Administrative** - Contact the Grants Management Specialist at the awarding Institute/Center.
- **Scientific/Programmatic** - Contact the designated Program Official/Director at awarding Institute/Center.
- **Review Questions** - Contact the assigned Scientific Review Officer.

## National Science Foundation (NSF) Funding Report and Statistical Data

### President's Plan for Science and Innovation

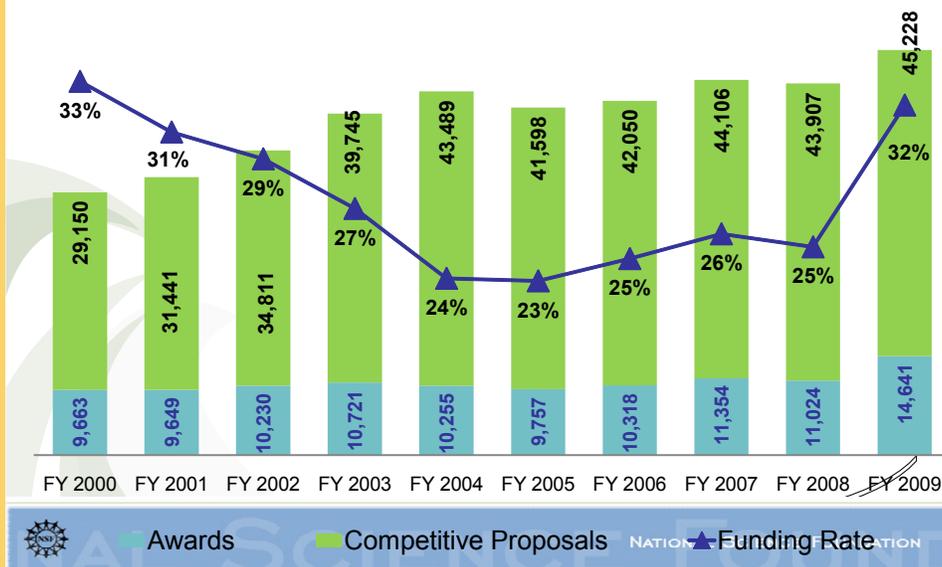
Total NSF Funding  
(dollars in billions)



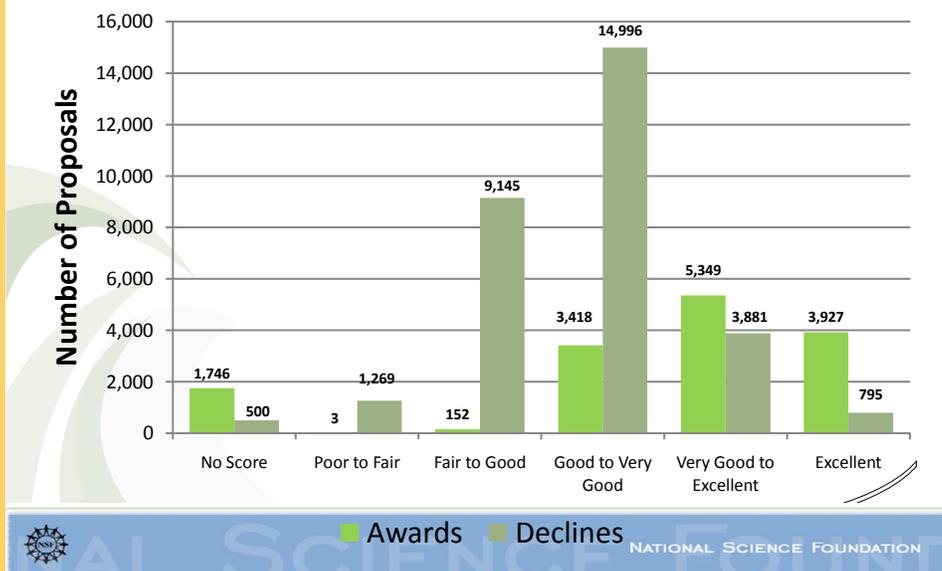
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# National Science Foundation (NSF) Funding Report and Statistical Data (continued)

## Number of NSF Competitive Proposals and Awards and Funding Rates



## Distribution of Average Reviewer Ratings for Awards and Declines, FY 2009



## Reminder – Principal Investigators Should Not Execute Award Terms and Conditions as a Party to the Agreement

As a reminder, the University of Hawai'i (UH), not the principal investigator (PI), must be named as the party to the agreement evidencing award terms and conditions. A PI may sign the agreement indicating his/her understanding and acceptance of the terms and conditions, but not approval of the agreement. The formal agreement constituting terms and conditions of the award (including, but not limited to, cooperative agreements, memoranda of understanding or memoranda of agreement) must be signed by an authorized UH official who has had such authority delegated to him/her in writing.

## Important Reminders and Update on the American Recovery and Reinvestment Act of 2009 (ARRA) Awards

The American Recovery and Reinvestment Act of 2009 (ARRA) makes it clear that taxpayer dollars spent under ARRA will be subject to unprecedented transparency and accountability. To ensure that accountability requirements are being met, the Inspectors General of federal agencies distributing ARRA funds continually review their agencies' management of the funds. The following objectives are considered to determine if ARRA funds have been used and managed appropriately:

- Were the ARRA funds awarded and distributed in a prompt, fair, and reasonable manner?
- Is the public clear on the identity of the recipients and how the ARRA funds have been used?
- Are the public benefits from the use of ARRA funds being reported clearly, accurately, and in a timely manner?
- Are ARRA funds being used for authorized purposes, and are adequate steps being taken to prevent instances of fraud, waste, and abuse?
- Are ARRA projects avoiding unnecessary delays and cost overruns?
- Do ARRA programs meet specific goals and targets?

As recipients of these funds, the University must ensure that ARRA funds are spent in a timely manner in order to successfully complete its awards. On March 17, 2010, the National Institute of Health (NIH) issued Notice NOT-OD-10-067 to remind recipients that spending should be timely and expeditious in accordance with the expected pace of research. The National Science Foundation also monitors its ARRA awards, and has stated that if after 12 months, no allowable expenditures have been incurred, NSF will consider reducing or terminating the award and reallocating the funds. Federal agencies use award budgets to monitor spending.

The University is also responsible for accurate and timely reporting, including proper calculation of jobs created or retained. If additional guidance is required for reporting (i.e., calculation of FTE) on your ARRA awards, please contact the ORS Compliance Section at [compliance@ors.hawaii.edu](mailto:compliance@ors.hawaii.edu).

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## Important Reminder and Update on the American Recovery and Reinvestment Act of 2009 (ARRA) Awards (continued)

*Summary of UH ARRA awards received directly by the University Hawaii as of 3/31/10*

Number of ARRA Awards	64
Total Award Amount	\$42,519,465
Total Amount of Subawards to Individuals < \$25K	\$1,355
Total Amount of Payments to Vendors < \$25K	\$379,149
Total Amount of Subawards < \$25K	\$0
Total Amount Received / Invoiced	\$3,204,151
Number of FTE	56.15
Total Expenditures	\$3,529,992
Total Infrastructure Expenditures	\$0

### A-133 Compliance Audit

ORS would like to congratulate and thank all of you for your dedication and efforts in contributing to the University's unqualified opinion on its FY2009 A-133 Compliance audit. There were no material weaknesses or significant deficiencies reported on internal controls over major programs. This is great news to the University.

Before we get too comfortable however, our external auditor, Accuity LLP, has already commenced with requests for the FY2010 A-133 Compliance audit. We have been notified that awards received under the American Recovery and Reinvestment Act of 2009 (ARRA) will be audited separately in addition to the major programs, although ARRA audit guidelines have yet to be finalized. As in prior years, initial audit requests will be coordinated through the ORS Compliance Section. We once again ask for your assistance in responding to these requests in a timely manner and thank you in advance for your continued cooperation.

*If you have any questions or concerns related to the A-133 audit, please contact Dawn Kim, ORS Compliance Manager at 956-0396 or dawnkim@hawaii.edu.*

### 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

### *Who is required to undergo RCR training?*

The National Institutes of Health (NIH) requires all trainees, fellows, participants and scholars receiving funding from award programs in the following notice <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html> to participate in RCR training.

The National Science Foundation (NSF) requires all undergraduate, graduate and postdoctoral researchers receiving NSF funding to participate in RCR training.

### *Does the RCR requirement flow down to subawardees?*

Yes, the RCR requirements flow down to all subawardees at any tier and the proposing institution is responsible for ensuring that the RCR requirements are appropriately addressed.

### *What is the University of Hawaii's NSF RCR plan?*

Details of the UH NSF RCR plan are available at:  
<http://www.ors.hawaii.edu/education-and-training.asp>

### **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*