



ORS Newsletter

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INFORMATION SECURITY AND AWARENESS TRAINING REQUIRED FOR ALL NEW USERS OF myGRANT

In October 2021, updates to University of Hawaii (UH) Administrative Policy (AP) 2.215, Mandatory Training on Data Privacy and Security (<http://go.hawaii.edu/GZk>) became effective. The AP now requires all UH employees to take the Information Security and Awareness Training (ISAT) on an annual basis. This short cybersecurity awareness training is to educate and refresh users on how they can help protect UH data and reduce the risk of breaches as cybersecurity threats increase.

Certification of ISAT completion is required as a condition of access to any UH institutional system, including myGRANT. Accordingly, when a new user requests access to myGRANT via the ORS Helpline ticketing system (<http://go.hawaii.edu/eVP>), they are required to attach the ISAT certification of completion to the ticket. The ISAT certification of completion may be found on the UH Acknowledgements and Certifications (ACER) website here: <https://www.hawaii.edu/its/acer/> (UH login required).

ORS is working towards requiring all users to be up-to-date with ISAT as a condition of myGRANT access so it is important to make sure to take and renew your ISAT annually. You will receive email reminders 30 and 7 days prior to your ISAT expiration date.

If you have any questions, please contact Mike Morimoto, ORS Information System Services Manager, at mcmorimo@hawaii.edu or (808) 956-4908.

EXTRAMURAL FELLOWSHIP APPLICATIONS

Fellowship opportunities for students from federal sponsors generally require the institution to submit the fellowship application. Make sure to read fellowship solicitations for eligibility requirements and the application process. If the sponsor requires that a fellowship application be submitted by the institution, a myGRANT proposal development record (PD) is required.

Although some sponsors may require the fellow applicant be named as the principal investigator (PI) in the proposal, per University of Hawaii (UH) policy, only UH Board of Regents (BOR) appointees may serve as a UH PI. Therefore, for internal UH purposes, the faculty mentor should be designated the PI in the myGRANT PD, even if the fellow applicant is noted as the PI in the application to the sponsor.

If the fellow applicant is a current UH student, the fellow applicant may be added as a “key person” in the myGRANT PD, and should complete their conflict of interest disclosure online at <https://mygrant.ors.hawaii.edu/rCOI/disclosure>.

However, if the fellow applicant is an incoming student, they will not have access to myGRANT so should not be added as a “key person” in the myGRANT PD. In this situation, the fellow applicant should complete and sign the Non-UH Employee Conflict of Interest form (<http://go.hawaii.edu/6NP>). The completed and signed form must then be uploaded to the myGRANT PD under the “Attachments, Internal” tab using “FCOI Disclosure” as the attachment type. If the proposal is funded, a post-award myGRANT PD is then required to add the fellow as a “key person” before UH can officially accept the fellowship award.

Please contact your assigned ORS Pre-Award Specialist (<https://research.hawaii.edu/ors/ors-assignments/>) if you have any questions on fellowship eligibility or the above process.

PROMISING PRACTICES FOR NATIONAL SCIENCE FOUNDATION AWARD MANAGEMENT

In January 2022, the National Science Foundation (NSF) Office of Inspector General issued a report entitled, “Promising Practices for the Management of NSF Awards”. This report compiles the most common audit findings identified through performance audits conducted on 18 NSF award recipients since September 2018. The most common findings related to 1) unallowable expenses, 2) indirect cost rate application, 3) inadequately supported expenses, 4) inappropriately allocated expenses, and 5) non-compliance with policies and procedures. The intent of this report is to strengthen award management practices and improve the overall stewardship of federal funds for NSF award recipients. The report may be accessed and viewed at <http://go.hawaii.edu/yHx>.

PREPARING FOR FISCAL YEAR-END 2022

In preparation for the end of fiscal year (FY) 2022, please perform the following prior to the University of Hawaii (UH) Fiscal Management Office Fiscal Year 2022 Year End Closing Schedule posted at https://www.fmo.hawaii.edu/general_accounting/docs/Fiscal_Year-End_Closing_Schedule.pdf:

- Reclassify transactions posted to continuation accounts to the intended account.
- Clear account deficits.
- Review and reconcile payroll transactions and process salary transfers prior to the creation of the annual Effort and Cost Shared Effort Certifications. **Once the annual Effort Certifications and Cost Shared Effort Certifications are certified, salary transfers cannot be processed.**
- Record all FY2022 cost shared amounts. (Refer to the article on Fiscal Year End Reminders for Cost Sharing in this newsletter.)
- Submit requests to extend advance accounts ending on or before June 30, 2022 prior to the advance account expiration date, as appropriate. Advance accounts expiring on or prior to June 30, 2022 that are not being extended should be closed per the requirements of UH Administrative Procedure 12.405, Advance Funding Accounts for Externally Financed Programs and Activities (<http://go.hawaii.edu/P3h>).
- Complete and confirm closeout of awards and accounts in a timely manner.
- Reallocate PCard transactions.

Should you have any questions, please contact Suzanne Efhan, ORS Extramural Funds Accounting Manager, at efhans@hawaii.edu or (808) 956-4061.

FISCAL YEAR-END REMINDERS FOR COST SHARING

Distribution of Income and Expense (DI) eDocs to record cost sharing must be PROCESSED or FINAL in the Kualii Financial System (KFS) **by June 29, 2022 at 5:00 p.m.** ORS requests that all accounts with committed cost sharing be reviewed and any necessary cost sharing eDocs be submitted as soon as possible. As reminders, please note the following:

- Cost sharing for direct costs is based on expenses recorded to the KFS source account during the fiscal year and should be recorded in the applicable fiscal year.
- Cost sharing for UH personnel salaries and fringe should reflect payroll dates through June 30, 2022. Estimates may be used for the June 15, 2022 and June 30, 2022 pay periods, if necessary.

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FISCAL YEAR-END REMINDERS FOR COST SHARING (CONTINUED)

Fiscal year-end reminders (continued)

- Annual certification of cost sharing effort for FY2022 is required and will be due by September 15, 2022. Further information regarding the certification process will be forthcoming.
- Do not include cost sharing for periods beyond June 30, 2022.
- Please review your accounts to ensure that cost sharing is recorded in the CS001 subaccount and cost sharing object codes are used appropriately. If transactions were incorrectly posted to cost sharing object codes, please make corrections prior to fiscal year end.

Should you have any questions, please contact Suzanne Efan, ORS Extramural Funds Accounting Manager, at efhans@hawaii.edu or (808) 956-4061.

FISCAL YEAR 2022 SINGLE AUDIT

The University of Hawaii (UH) has once again engaged Accuity LLP Certified Public Accountants (Accuity) to perform its fiscal year (FY) 2022 Single Audit. As in prior years, ORS will be coordinating the audit requests and will be working with the appropriate UH staff. From May through mid-November, you may be contacted for documentation, inquiries and follow up requests. In order for Accuity to complete the audit by November 30, 2022 and present the audit report to the UH Board of Regents in December 2022, we need your cooperation in meeting all requests and deadlines.

If you are unable to fulfill audit requests in a timely manner, we ask that you notify ORS as soon as possible so that accommodations can be arranged with our auditors.

We thank you in advance for your assistance and cooperation and look forward to a smooth FY2022 Single Audit.

For questions, contact Dawn Kim, ORS Financial Compliance Manager at dawnkim@hawaii.edu or (808) 956-0396.

KUALI FINANCIAL SYSTEM BALANCE INQUIRIES BY PROPOSAL NUMBER

A recent Kualu Financial System (KFS) enhancement provides users with the ability to run certain General Ledger (GL) Balance Inquiries by Proposal Number. This new functionality is helpful for awards with multiple accounts.

To run inquiries by Proposal Number:

- Go to the KFS Main Menu
- Under Balance Inquiries—General Ledger, select from the following inquiries:
 - Available Balances
 - Current Account Balances
 - GI Balance
 - Open Encumbrances
- Enter the fiscal year
- Enter the “%” wildcard for both the Chart Code and Account Number fields
- Enter the Proposal Number
- Click the search button

* Fiscal Year:	<input type="text" value="2022"/>
* Chart Code:	<input type="text" value="%"/>
* Account Number:	<input type="text" value="%"/>
Sub-Account Number:	<input type="text"/>
Object Code:	<input type="text"/>
Sub-Object Code:	<input type="text"/>
Proposal Number:	<input type="text" value="36818"/>
Consolidation Option:	<input checked="" type="radio"/> Consolidation <input type="radio"/> Detail <input type="radio"/> Exclude Sub-Accounts
Include Pending Ledger Entry:	<input checked="" type="radio"/> No <input type="radio"/> Approved <input type="radio"/> All
Debit/Credit View:	<input checked="" type="radio"/> Include <input type="radio"/> Exclude

Search results for all applicable accounts will appear.

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KUALI FINANCIAL SYSTEM BALANCE INQUIRIES BY PROPOSAL NUMBER (CONTINUED)

Note that the following message will appear at the top of the screen, "Informational messages in this Section: Wildcards (e.g.*) and operators (e.g. >=, <=, >, <, !, &&) are treated literally on the Chart Code field. For example, searching for ">abc" will return values that are ">abc" instead of values that are greater than "abc." This message is not relevant for inquiries that follow the procedure noted above.

Pending transactions, if applicable, will appear and will include correct amounts. However pending transactions may not include the Proposal Number in the Proposal Number field.

Should you have any questions regarding KFS Balance Inquiries by Proposal Number, please contact Suzanne Efhan, ORS Extramural Funds Accounting Manager, at efhans@hawaii.edu or (808) 956-4061.

KUALI FINANCIAL SYSTEM OBJECT CODES AND INDIRECT COSTS

Kuali Financial System object codes are assigned to transactions in order to identify the nature of the transaction, which ultimately support our accounting and reporting requirements. While certain object codes are exempt from indirect costs (IDC), the assignment of an object code should not be based on the IDC status. If specific transactions of an award are exempt from IDC, and the applicable object code is not IDC exempt, a separate account should be established with Account Indirect Cost Recovery Type Code "99". As with other IDC exempt accounts, an IDC waiver should be obtained and provided with the request to establish the account.

For questions regarding the establishment of an IDC exempt account, please contact the assigned ORS Accountant (https://research.hawaii.edu/files/ors/CG_AssignmentsBySponsor.pdf).

ORS HELPLINE FREQUENTLY ASKED QUESTIONS

I received a University of Hawaii (UH) offer letter for employment that starts after a proposal deadline. How do I work on and submit a proposal as a UH principal investigator (PI) prior to my official start date?

Per UH Board of Regents (BOR) Policy, RP 12.202 Principal Investigator (<http://go.hawaii.edu/Vtp>), only BOR appointees may serve as a UH PI so you will need to obtain a non-compensated BOR appointment from your department, and it must be active as of the proposal deadline date in order to for you to submit the proposal and be noted as a PI in the proposal submission.

I am submitting a proposal with a non-UH employee as a co-investigator or a key person. Do I add them to the myGRANT proposal development document?

No, only UH and RCUH employees should be added to the Key Personnel tab in the myGRANT proposal development record (PD). RCUH employees must have a UH username and complete the UH Informational Security Awareness Training to access myGRANT and be added as a co-investigator or a key person in the myGRANT PD.

Although non-UH employees should not be added to the Key Personnel tab in the myGRANT PD, if they are named in the proposal, they must complete a Non-UH Employee COI Form if they are not a federal employee, or not subject to an active and enforced conflict of interest (COI) policy compliant with 42 CFR Part 50, Subpart F (<https://www.ecfr.gov/current/title-42/chapter-I/subchapter-D/part-50/subpart-F>).

Each completed Non-UH Employee COI Form must be uploaded to the myGRANT PD under the "Attachments, Internal" tab. Use attachment type "FCOI Disclosure" and enter the non-employee's full name in the "Description" field.