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From the Director's Office

The National Science Foundation (NSF) has made substantial revisions to its Proposal & Award Policies and Procedures Guide that will affect proposals with due dates on or after January 5, 2009. I highly recommend that you review this revised guide if you have plans to submit an NSF proposal next year.

As part of ORS' commitment to improving our continuing education efforts, we are pleased to announce that the ORS Grants and Contracts Certification Program Module 4 of 6 is now available online. This online module enables researchers, AO/FOs and project support staff to take this class at their leisure without having to wait for the formal program offered once each semester. As resources permit, our goal is to make all 6 modules available online. We hope you will find this online course convenient as well as informative. Please let us know how we can improve future online modules.

In October, Mr. Royce Hanada joined ORS as a dedicated ORS Helpline Specialist to support the research community at UH. Please feel free to call the ORS Helpline at (808) 956-5198 with your questions and comments pertaining to ORS. Royce and his team will be happy to assist you.

Wishing you and your family a wonderful Thanksgiving Holiday!

Yaa-Yin Fong
Director

New Online Training Available - ORS Grants & Contracts Certification Program Module 4 (For Researchers, AO/FOs, and Project Support Staff)

ORS is pleased to announce that Module 4 of the ORS Grants & Contracts Certification Program is now available online to take at your leisure through the Laulima Web site. If you missed our fall classroom program you can take this online module before the next certification program in the Spring.

Module 4 will give you a better understanding of:

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

For more information and further instructions on how to register and access this course, please visit us at the ORS Web site, click on Training: <http://www.hawaii.edu/ors/training.html>.

National Science Foundation (NSF) Update

Substantial Revisions to NSF Proposal & Award Policies and Procedures Guide

NSF has posted a revised Proposal & Award Policies and Procedures Guide (PAPPG) NSF 09-1, that will be effective for proposals submitted on or after January 5, 2009.

http://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf091

Existing Funding Opportunities Announcements (FOA) with due dates between January 5 thru March 31, 2009 will be revised to incorporate these changes, some of which includes:

- Entirely new guideline that addresses the mentoring requirement of the America COMPETES Act;
- Major revisions to NSF's Faculty Salary Reimbursement policy include a limitation of compensation for senior personnel to no more than two months of their regular salary in any one year. The limitation includes salary compensation received from all NSF-funded awards. The revised policy broadens the previous policy of "two summer months" and allows senior project personnel to schedule appropriate throughout the year. Compensation in excess of two months must be specifically justified in the proposal and, if approved by NSF, will be included in the award budget;
- Debut of the Grants for Rapid Response Research (RAPID) and EARly-concept Grants for Exploratory Research (EAGER) mechanisms, that replace the Small Grants for Exploratory Research (SGER) program; and
- Revised definition of co-PI with guidance from Office of Science & Technology Policy (OSTP).

NSF modified its PI definition to read as follows:

Co-Principal Investigator(s) - the individual(s) designated by the proposer, and approved by NSF, who will be responsible for the scientific or technical direction of the project. NSF does not infer any distinction in scientific stature among multiple PIs, whether referred to as PI or co-PI. If more than one, the first one listed will serve as the contact PI, with whom all communications between NSF program officials and the project relating to the scientific, technical, and budgetary aspects of the project should take place. The PI and any identified co-PIs, however, will be jointly responsible for submission of the requisite project reports.

In the interim, the guidelines contained in the current PAPPG NSF 08-1 will continue to apply until PAPPG NSF 09-1 becomes effective on January 5, 2009.

For more information, please contact Kathy Yoshinaga, Pre-Award Specialist at kyoshina@hawaii.edu or (808) 956-4057.

National Institutes of Health (NIH) Update

NIH Resubmission Policy Changes

For applications with due dates on or after January 25, 2009, only a single amendment (A1) will be permitted on new and competing renewal applications. Second amendments (A2) will not be accepted for review. Applicants who fail to receive funding after two submissions may fundamentally revise the application and attempt to resubmit as new.

Two amendments (A1 and A2) will be permitted on any new and competing renewal applications that are submitted prior to January 25, 2009. For these “grandfathered” applications, NIH expects to receive all second amendments (A2) by no later than January 7, 2011.

Currently, no amendments are permitted for applications received in response to a Request for Applications (RFA) unless they are specified in the Funding Opportunity Announcement (FOA), in which case only one amendment (A1) will be allowed.

For more information, please contact Center for Scientific Review at: (301) 435-0715 or email: EnhancingPeerReview@mail.nih.gov.

NIH Advanced Notice of Proposed Rule Making

NIH is developing an Advanced Notice of Proposed Rule Making to solicit comments from the public on possible revisions to the Financial Conflicts of Interest (FCOI) regulation.

This system will allow institutions to:

- Initiate and send a new FCOI report electronically thru the eRA Commons
- Search previously created records
- Edit a previously submitted record
- Respond to a request for additional information
- Rescind a previously submitted record
- View a history of actions

For more information, please visit NIH FCOI FAQ Web site: <http://grants.nih.gov/grants/policy/coifaq.htm> or email: FCOICompliance@mail.nih.gov.

For more information regarding NIH News, please contact your respective Pre-Award Specialist Paul Kakugawa at pkakugaw@hawaii.edu (808) 956-4054 or Georgette Sakumoto at gsakumot@hawaii.edu (808) 956-4056.

Advance Account Administrative Procedures Manual (APM) A8.952

As a result of the A133 audit findings, the revised Advance Account Administrative Procedures Manual (APM) Section A8.952 was written to facilitate the timely start-up of a new award or uninterrupted continuation/renewal of an existing award before the applicable award document is fully executed.

An Advance Account can be established if a draft award document or written documentation demonstrates a sponsor's intent to fund a project. This documentation must include a preliminary start/end date, funding amount/program budget, and anticipated date by which UH will receive the appropriate award documents along with written approval from the PI's department chair or dean/director.

Please keep in mind:

- Advance Accounts are initially approved for a period of 90 days. In cases where the award is still in the process of being negotiated or modified, an additional 90-day extension may be requested.
- The dollar threshold for an Advance Account is established by the department Chair or Dean/Director and should be consistent with the project budget.
- The PI's department/school bears full financial risk if the award is not funded or incurred costs are not subsequently covered by the award.
- A "Request for Advance Account" form with appropriate signatures and supporting documentation is required for all advance account requests. To ensure timely closeout of advance accounts, a departmental FMIS account is required on the form for situations in which advance expenditures are disallowed or the award is not funded.

For more information, please contact Janis Morita, Projects Fiscal Accounting Manager at morita@hawaii.edu or (808) 956-6959.

Community Colleges: Sheltered Class or Sponsored Project?

A Sheltered Class Agreement is a contract between a community college (CC) and an external agency to deliver a non-credit class for the external agency, where the funds will be deposited into the CC Special Fund. Such classes are typically closed to the general public and the fees are negotiated between the CC and external agency and should not involve federal funding. In 2006, signing authority for sheltered class agreements was delegated to the Community College Chancellors.

This is an example of a Sheltered Class: Hawaii Hotel contracts with a CC to provide a telephone etiquette-training course for its hotel employees. The CC negotiates a fee of \$200 per person to cover costs.

Sponsored Projects generally require proposals, have stricter accountability and reporting requirements, and should not have a profit motive. A separate account would be established in FMIS to account for project costs.

Examples of Sponsored Projects Teaching and Training Activities:

- Curriculum development project at any level (e.g. for course credit, non-credit, or experimental), including projects involving evaluation of a curricula or teaching methods;
- Projects involving students in community service activities for which they are receiving academic credit (e.g. service learning);
- Activities funded by awards to departments or schools in support of students (e.g. special services provided for a targeted student population such as counseling and advising, testing and placement, and monitoring progress through matriculation and into workforce; administration of a stipend program for students); and
- Dissertation work funded by grants, including grants for travel in relation to a dissertation.

ORS review and approval is required on federal funds received as a direct or sub award from other entities.

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

UH Offices Authorized to Approve Extramural Grants & Contracts Documents - Where UH is the recipient of funds

For Proposals Submissions/Award Documents - Contracts, Subcontracts, Purchase Orders, MOAs, Clinical Trials, etc.

PI's Location	Coordinating Office
UH Manoa, UH West Oahu and All Community Colleges except MCC	ORS Main Office at Manoa
UH Hilo Campus	RCUH Hilo Office
JABSOM and CRCH	ORS Kaka'ako Satellite Service Center
Maui Community College	ORS Maui Satellite Service Center

EXCEPTIONS:

A. Although ORS approves and processes most extramural award documents, the following types of award/agreements are coordinated through the Office of Technology Transfer and Economic Development (OTTED):

- Funded solely with private for-profit industry funds (excluding Clinical Trials).
- Funded by the Small Business Innovation Research (SBIR) Program, including when such funds are passed through to UH in a sub award.
- Funded by the Small Business Technology Transfer (STTR) Program, including when such funds are passed through to UH in a sub award.
- Funded by a combination of SBIR, STTR and/or private for-profit funds, including when such funds are passed through to UH in a sub award.

B. Gifts are coordinated through UH Foundation (UHF).

Enhanced ORS Web Report Viewing Options

We've received quite a number of requests to add the ability to view the ORS "Up-to-the-Minute" reports in MS Excel. We are pleased to announce that this feature is now available. Please read and follow the instructions as described on the site when attempting to display your report via the Excel File output selection.

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

Please continue to send in your comments and suggestions to ORS Helpline at (808) 956-5198 or helpline@ors.hawaii.edu.

ORS Helpline - Form 5 FAQs

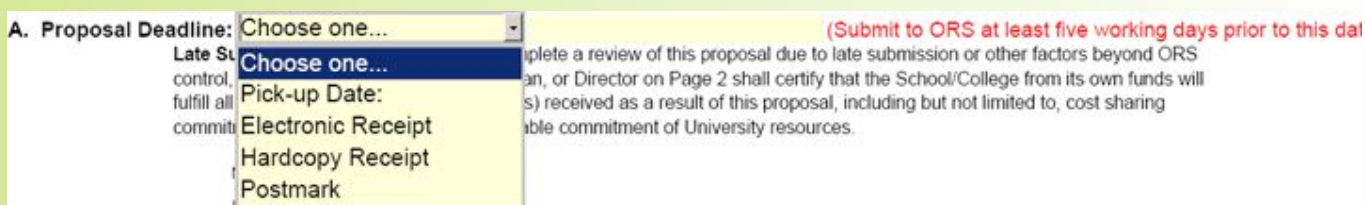
1. When do I need to use Form 5b, 5c or 5d?

Form 5b, to be completed at the time of proposal submission to ORS, is used to disclose any Conflict of Interest and is mandatory for all proposal submissions to the National Science Foundation (NSF), Public Health Services (PHS) and the National Institutes of Health (NIH), including when such funds are passed through to UH in a sub award.

Forms 5c and 5d are used when there are Multiple PIs on the proposal.

- *Form 5c*, to be submitted with the ORS Form 5, documents Multiple PI's contact information and their proposed percentage of effort (time) committed to the project.
- *Form 5d*, to be completed when the proposal is awarded, documents each PI's committed efforts and shows how the budget will be split between Multiple PI's FMIS accounts. When Form 5c has been submitted, the completed and signed Form 5d is required before a project account can be established in FMIS.

2. What do I put in the Proposal Deadline field?



The Proposal Deadline field is used to help ORS review and submit your proposal on time. The selection you choose from the drop down box indicates how we will be submitting the application to the Sponsor. The Date you input should be the Sponsor stated Proposal Deadline. For Electronic Submissions, please include the Time and Time Zone along with the Date.

3. How is the Proposal Title Field used?

The Proposal Title Field helps ORS track your proposal. Please ensure that the proposal title you record on the Form 5 is the same as the title on your proposal document.

4. Why is it necessary to answer the questions in Section F: OTHER CERTIFICATIONS?

Section F is essentially a checklist to ensure that the project has all of the required compliance approvals before it begins. These questions determine if the PI will need to obtain approval from other UH Compliance Offices such as: Environmental Health and Safety Office (EHSO), Committee on Human Studies (CHS), Institutional Animal Care and Use Committee (IACUC), Office of Risk Management (ORM), etc. There could be a delay in processing the proposal or award if this section is not complete and the appropriate documentation is not submitted to ORS by the time the award is accepted or approved.

5. Do I need to check this box before I submit my application?

I acknowledge that my answers to questions F.8 and F.9 will serve as my proxy for intellectual property and publication issues if my proposal is funded. I understand that if for some reason the questions are not answered, 1) there could be delays in the processing of my award if ORS is unable to contact me regarding my position on these terms and conditions, and/or 2) the University may make unilateral changes to an award in order to meet a sponsor's deadline.

Yes, this acknowledges your proxy for intellectual property and publication issues. This could also delay the processing the award if this box is not checked.