

Extramural Funds Handbook



UNIVERSITY of HAWAI'I®

HAWAI'I
COMMUNITY COLLEGE

Hawaii Community College - Business Office
April 2009

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Funding Sources:

Check the ORS website at www.hawaii.edu/ors for funding opportunities.

Federal Sponsors:

- Cooperative State Research, Education and Extension Service
<http://www.csrees.usda.gov/fo/funding.cfm>
- Department of Education
<http://www.ed.gov/fund/grant/apply/grantapps/index.html>
- U.S. Department of Housing and Urban Development – Office of University Partnerships
Alaska Native/Native Hawaiian Institutions Assisting Communities (AN/NHIAC)
<http://www.oup.org/programs/aboutANNHIAC.asp>

Non-Federal Sponsors:

- Hawaii Community Foundation
<http://www.hawaiicommunityfoundation.org/>

Search Engines:

- infoEd
<https://infoed.its.hawaii.edu/spin/spinmain.asp>
- Grants.gov
http://www.grants.gov/applicants/search_opportunities.jsp

Responsibilities:

Principal Investigator (PI):

- Comply with Administrative requirements
- Disclose conflict of interest and abide by institutional decision on conflict management
- Conduct work in an ethical manner
- Comply with all reporting requirements
- FTE Certifications
- Sub-recipient Monitoring
- Cost Sharing Certifications
- Performs/Fulfill scientific or technical work
- Ensure safety and welfare of research subjects, personnel and public
- Ensure propriety of expenditures
- Responsible for complying with Circular A-21 regarding expenditures; reasonable, allocable and allowable
- Responsible for deficits or disallowances, including securing funds to cover
- Ultimately responsible for certifying accuracy & authenticity of ALL transactions, regardless of additional authorizations granted to staff members.

Allowable – Circular A-21 – The tests of allowability of costs under A-21 are: a) they must be reasonable; b) they must be allocable to sponsored agreements under the principles and methods provided; c) they must be given consistent treatment through application of the generally accepted accounting principles appropriate to the circumstances; and d) they must conform to any limitations or exclusions set forth in A-21 or in the sponsored agreement as to types or amounts of cost items.

Reasonable – Circular A-21 – A cost may be considered reasonable if the nature of the goods or services acquired or applied, and the amount involved reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made. Major considerations involved in the determination of the reasonableness of a cost are: a) whether or not the cost is a of a type generally recognized as necessary for the operation of the institution or the performance of the sponsored agreement; b) the restraints or requirements imposed by such factors as arm's length bargaining, Federal and State laws and regulations, and sponsored agreement terms and conditions; c) whether or not the individuals concerned acted with due prudence in the circumstances, considering their responsibilities to the institution, its employees, its students, the Federal Government, and the public at large; and d) the extent to which the actions taken with respect to the incurrence of the cost are consistent with established institutional policies and practices applicable to the work of the institution generally, including sponsored agreements.

Allocable – Circular A-21 – A cost is allocable to a particular cost objective (i.e. a specific function, project, sponsored agreement, department, or the like) if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received or other equitable relationship. Subject to the foregoing, a cost is allocable to a sponsored agreement if 1) it is incurred solely to advance the work under the sponsored agreement; 2) it benefits both the sponsored agreement and other work of the institution, in proportions that can be approximated through use of reasonable

methods, or 3) it is necessary to the overall operation of the institution and, in light of the principles provided in A-21, is deemed to be assignable in part to sponsored projects. Where the purchase of equipment or other capital items is specifically authorized under a sponsored agreement, the amounts authorized for such purchases are assignable to the sponsored agreement regardless of the use that may subsequently be made of the equipment or other capital items involved. Any costs allocable to a particular sponsored agreement under A-21 may not be shifted to other sponsored agreements in order to meet deficiencies caused by overruns or other fund considerations, to avoid restrictions imposed by law or by terms of the sponsored agreement, or for other reasons of convenience. Any costs allocable to activities sponsored by industry, foreign governments or other sponsors may not be shifted to federally sponsored agreements.

Office of Management and Budget (OMB) Circular A-21

http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html

Fiscal Officer (FO) / Administrative Officer (AO):

- Assist in development of budget
- Set up account(s) in financial accounting system
- Advise PI on allowability, prior approval and procurement requirements
- Ensure availability of funds
- Advise and assist PI with procurement procedures
- Sub-recipient Monitoring
- Authorize purchases
- Ensure proper recordation of expenditures and necessary adjustments
- Communicate with ORS Accounting Staff when final accounting is completed in order to close out and prepare final invoices

Human Resources (HR):

- Advises on payroll rate/schedule
- Processes personnel documents
- Assist in hiring process
- Assist in job descriptions
- Assist in advertisement of positions
- Processes timesheets/scans

Project Coordinator:

- Identification of funding opportunities/Search for opportunities
- Develop and revise technical narrative
- Develop and revise budget
- Handle day to day operation of grant
- Other duties designated by PI

Office of Research Services (ORS):

- Distribute funding opportunity information
- Store applications forms and retrieve as necessary
- Perform institutional review of proposals
- Negotiate sponsored agreements
- Accept awards on behalf of the University
- Act as institutional liaison for post-award changes requiring sponsor approval or notification
- Perform accounting, billing and reporting functions
- Negotiate indirect costs (F&A) rate agreements
- Coordinate compliance audits performed by external parties
- Perform periodic compliance reviews
- Provide technical advice regarding federal, state and sponsor requirements

Research Corporation (RCUH):

- Provide expedited procurement, human resources and payroll services on behalf of the University.

Note: University is still responsible for compliance with federal, state and sponsor requirements.

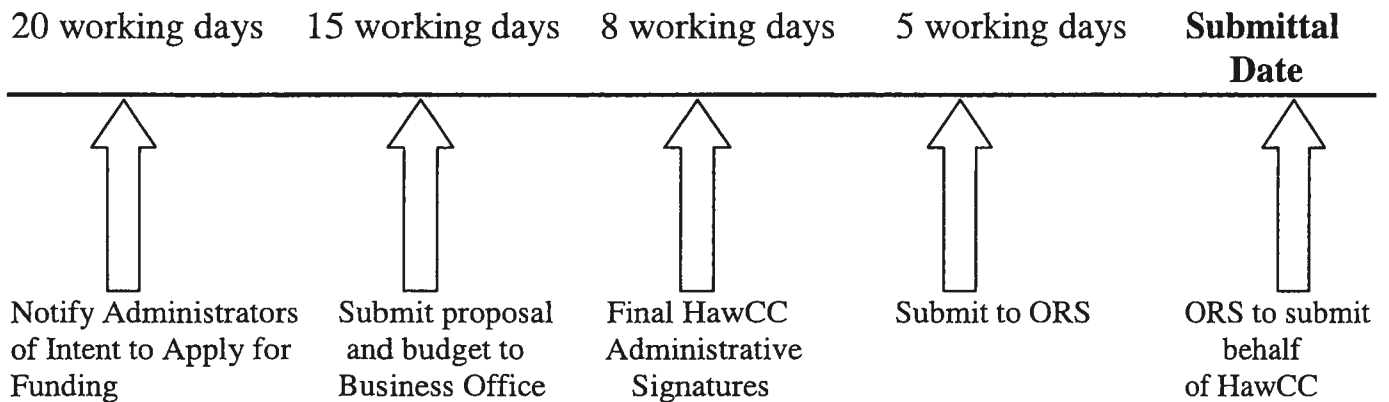
Pre-Award Process:

Step 1: Notify your Principal Investigator (PI)

- Douglas Dykstra – Vice Chancellor for Academic Affairs
- Noreen Yamane – Interim Dean of Liberal Arts and Public Service
- Sara Narimatsu - Office of Continuing Education (OCET)
- Barbara Arthurs – Dean of Student Services
- Joni Onishi – CTE/Perkins

Step 2: Review timeline for proposal submission

- Read through Request for Proposals (RFP) that is issued by the Sponsoring agency.
- Review HawCC timeline



This timeline is **VERY** important. Another important consideration is whether the due date is a **BY MAIL, PICK UP, or ELECTRONIC SUBMITTAL DATE**.

Submitting Proposals By Mail

In addition to the ORS Form 5, submit to ORS the original and one copy of the proposal, one copy of the proposal solicitation and one copy of each supporting document(s). The PI will be responsible for providing ORS the method and payment of mailing.

Pick up

ORS will review ORS Form 5 and supporting documentation and the PI is responsible for the coordination to having the proposal picked up after it has been approved by ORS.

ORS has three offices. The main office is located at Sakamaki D-200 (2530 Dole Street) on the UH Manoa campus. The Kaka'ako Satellite Service Center is located at Ancillary 102 on the UH Kaka'ako

campus. The Maui Community College (MCC) Satellite Service Center is located in the MCC Business Office in the Ho'okipa building.

Submitting Proposals Electronically

In addition to the ORS Form 5, submit to ORS one printed copy of the proposal and the proposal solicitation, append other documents, as applicable.

Late Proposal Submission

If unforeseen circumstances prevent you from submitting your proposal and budget to the Business Office for review at least 15 working days prior to the submission deadline, you must complete the **HawCC Form 2, Late Submission Form** signed by the Program coordinator and PI. See Attachment A.

No matter how the proposal needs to be submitted, ORS will still need to review and process on their end.

Step 3: Meet with your PI

It is important to meet with you PI and explain your idea for the funding.

Step 4: Notify Administrators of Intent to Apply for Funding

Send **HawCC Form 1 (Intent to Apply for Funding)** simultaneously to the following parties:

- Department Chair
- Division Chair
- Dean/Vice Chancellor
- Vice Chancellor for Administrative Affairs
- Business Office – Please attach the RFP to HawCC Form 1

This is not simply a formality, but a crucial communication tool. It alerts everyone to the fact that you are submitting a proposal and they should anticipate that you may be awarded a grant.

Give the administrators five working days to respond with comments and or questions. If after that period administrators do not respond, then by operational agreement you may proceed with your proposal. HawCC Form 2 clearly states that they have only five working days to respond and that a non-response will be interpreted as an affirmative.

The PI along with the Business Office and Human Resources will help you to develop a budget and help you determine personnel, fringe, travel, supplies, equipment, etc. you will need to facilitate your program's success.

If the college will assist in providing facilities and resources, please complete the applicable forms and submit with HawCC Form 1, Intent to Apply for Funding. (Attachment B)

- HawCC Form 3: Commitment of Resources/Cost Share (Attachment C)
- HawCC Form 4: Commitment of Facilities (Attachment D)
- HawCC Form 5: Equipment/Vehicle Screening Certification (Attachment E)

Step 5: Prepare Proposal

Proceed to Proposal Preparation Phase after satisfying one of the following conditions:

- You do not receive a written response regarding the viability of your proposal within five working days of sending your notification.
- Questions or concerns regarding the viability of the proposal have been addressed and resolved.

Remember when writing your proposal, you will need to sell your project. You are writing for an audience that does not know anything about your passion. Have your peers read and comment on your proposal. The more people that read your proposal and provide feedback will help you create a strong proposal and the likelihood of you being awarded will be greater.

All extramural fund awards will be charged Indirect Cost (IDC) or Facilities and Administrative (F&A) rate unless it is stated by the sponsor. If the rate is not specified by the sponsor, IDC rates can be found on the ORS website. Rates are determined by the type of award. If you would like to waive or reduce the IDC/F&A, talk to your PI. A memo from the Chancellor must be written when submitting the proposal to ORS.

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

Attachment F is the current IDC/F&A rate

See Attachment G for a Proposal preparation checklist.

Step 6: Proposal and Budget Review and Editing

- Editing, critique, friendly suggestions
- Submit all completed documents and forms required by the agency to the Business Office

As with most administrative processes, there are forms to fill out, people to call and verify information, sponsors to talk to, photocopies to be made, and a myriad of tasks to be performed even before your proposal can go out for final signatures. Business Office will assist you and provide feedback to your proposal.

If required by the sponsor to obtain “Letters of Support and Commitment” that demonstrates to the sponsor that these specific entities are committed to your program idea, do not take this task lightly. Although you may receive a verbal commitment, getting a written document is time consuming. People are extremely busy and your needs do not always rise to the surface of their “to do” list. We will do all that we can to help you obtain these documents. Start early, and bug them often!

Step 7: Final Administrative Signatures

Fill out ORS Form 5

ORS Form 5 – must be printed on *YELLOW* paper. Complete both pages. Attachment H is a copy of the form and instructions.

Obtain the signatures to complete ORS Form 5:

- Principal Investigator (PI)
 - If there are multiple PI's involved, complete and attach the ORS Form 5c & 5d.
- Department Chair (If applicable)

Route to Business Office with Proposal and supports. What is submitted with the ORS Form 5 should be an exact duplicate that will be submitted to the sponsor.

Business Office will review and sign as Fiscal Officer and send to Michael Leialoha for review. Once he signs off, it will be routed to the Chancellor for signature.

The Authorized Official

The Director of ORS, Yaa-Yin Fong or the Director's designee is the Authorized Official and signatory for all proposals from this campus. No unauthorized signatory can contractually bind the University. See Attachment I for complete list of signing authorities.

The Legal Applicant and Entity

The University of Hawaii is always the applicant in a proposal and the entity which enters into an agreement for extramurally sponsored research and training awards.

Address

University of Hawaii
Office of Research Services
2530 Dole Street, Sakamaki D-200
Honolulu, Hawaii 96822

Phone: (808) 956-7800

Fax: (808) 956-9081

See Attachment J for other information regarding Institutional Profile.

Step 8: Submit to ORS

Once the ORS Form 5 has been returned to the Business Office from the Chancellors Office, we will submit to ORS for processing. A signed original and one copy of the completed ORS Form 5 must accompany all proposals submitted to ORS. If ORS Forms 5a, 5b, and/or 5c and 5d are required, the original plus one copy must be submitted.

A complete submission must be received by ORS at least 5 business days prior to the deadline for electronic submission to the sponsor or the pick-up date from ORS by the Business Office. A proposal received by ORS after this date will be considered a Late Submission.

A proposal submitted to ORS after the applicable date will be considered a late submission. ORS will make every effort to process late submissions, but there may not be time for an adequate review. If an award is made based on a late submission of a proposal signed by the college, that unit will be responsible to cover costs incurred by UH as a result of proposal errors. Such costs might include cost sharing commitments or unallowable commitments of UH resources.

A complete submission will include the complete proposal (including all documents required by the sponsor; typically, a cover letter, abstract, narrative, project plan, budget, biographical sketches of key personnel, letters of support, etc.) and ORS Form 5 with all required information and signatures. In addition, a complete submission will include applicable supporting documents (e.g., letter of commitment; ORS Form 5a, b, and/or c; compliance certifications, etc.). Requirements for these supporting documents are included in the ORS Form 5 and in the ORS Form 5 Basic Instructions and ORS Form 5 Expanded Instructions. All of these documents and a proposal submission checklist for PIs are available on the ORS website.

Step 9: ORS submits proposal on behalf of HawCC

ORS will keep in contact with the Business Office if there are any questions prior to submitting the proposal. Once the proposal has been submitted and accepted, ORS will notify the Business Office.

Now we just wait to hear from the sponsoring agency on your proposal was awarded. Good luck!

Post-Award Process: Award to Closeout:

Congratulations! You have been awarded.

Once you are notified that your proposal has been selected for funding, let your PI and Business Office know that an award letter is coming. Until an “Official” award from the sponsor has been received by ORS, an account code can not be created. If a commitment letter has been received, an advance account can be created following the APM A8.952.

As a reminder, **NO** expenditures, including hiring of personnel can be made until an official award has been received and an account has been created.

Establish Extramural Accounts Record Sponsor Approved Budgets

Upon receipt of an award, HawCC Business Office will submit an account request and budget forms through RCUH to establish project accounts.

If a re-budget of funds is needed to accomplish project objectives, a budget modification will need to be submitted through ORS and to the sponsoring agency. Once it has been approved, business office will submit a request for budget realignment through RCUH Fast Track. Contact HawCC Business Office for help through this process.

Advance Account

When an extramural sponsor indicates that an award will be funded, but the official award documents are delayed, HawCC can request RCUH to establish an advance account to meet critical needs which cannot be delayed without impairing project objectives.

To ensure that advance funding is provided according to sound management practices, and to safeguard the University against financial losses, advance funding requests can be approved when all of the following criteria are met:

- 1) The UH, through ORS, has received written assurance from the extramural sponsoring agency that a program or activity has been approved for funding, with a preliminary:
 - a. Start and end date,
 - b. Funding amount and program budget, and
 - c. Date by which UH will receive appropriate award document(s).

- 2) ORS has received necessary supporting documentation and written approval for the advance funding account from the department chair and dean/director.
 - a. The departmental approval will include the approved funding limit and line item budget for the advance-funding period.

Procedures to approving, establishing and extending an Advance account: The PI will seek approval using A8.952 Appendix A and ORS Prior Approval Form.

Personnel

If you have been awarded a grant that includes personnel there are two options in hiring; UH or RCUH.

If the grant is for longer than a year and is for a specific purpose, personnel will be hired through RCUH.

If the grant is for longer than a year and will be continuously funded for future years or the college has intentions to institutionalize the program, personnel will be hired through UH.

If the grant is for a year or shorter, personnel will be hired through UH.

Student employees will utilize the Student employment and Cooperative education (SECE) site.

<https://sece.its.hawaii.edu/login.do>

For more information on student employees, contact Ku'u Makuakane-Salavea at 974-7663.

To hire through the RCUH system, project coordinators must attend the Human Resources System Training. For more information regarding the RCUH personnel system, contact HR at 956-3100.

To hire through the UH system, please contact HawCC HR at 974-7774.

If you are unsure which system to use, contact the Administrative Officer at 974-7801.

Modifications

If a modification to your grant is needed; budget, scope of work, etc. the request must be submitted through ORS. Contact the Business Office for guidance and assistance.

ORS will communicate with the sponsoring agency for approval.

Reminder: All requests for modification from the original proposal should be done through the PI. The PI is the authorized personnel for the award.

Close Out

The close out process should start a few months prior to the end of the award. This is the time to clean up any old purchase orders that are still unpaid and other items affecting the budget. By the time the award ends, the goal is to have the account as close to zero as possible with NO encumbrances on the account.

Once the account is clean, we need to review the sponsor requirements. For awards that require inventory documentation, this can be a lengthy process. The Administrative Officer will work with you to gather the proper information needed to have inventory signed off by Office of Procurement and Real Property Management (OPRPM).

The usual close out period is 90 days after the funding has ended. However, it can vary based on the sponsoring agency. The Administrative Officer will notify the PI what the close out period if there is a different time frame.

Perkins Awards:

Principal Investigator is Joni Onishi, CTE Interim Dean for all Perkins related funds.

Applications are sent to Division Chairs in February. Proposals are due in early April. Completion reports are due in early September.

There are two types of Perkins award:

Title I - Achieving Standards & Program Improvement

Funds must be used to address improvement of core indicators:

- 1P1: Technical Skills Attainment
- 2P1: Credential, Certificate, or Degree
- 3P1: Student Retention or Transfer
- 4P1: Student Placement
- 5P1: Non-Traditional Participation
- 5P2: Non-Traditional Completion

Funds must also be spent on serving the following special populations:

- Individuals with Disabilities
- Economically Disadvantaged
- Non-traditional students in non-traditional programs
- Single Parents
- Displaced Homemakers
- Limited English Proficiency students

Title IB - Program Improvement & Leadership

Funds made available to eligible recipients under this part shall be used to support career and technical education programs.

A budget is required for each strategy. The budget should include general categories of planned expenditures in the area of personnel, equipment, supplies and services. All expenditures should be described and supported in the narrative of the proposal. Personnel expenditures should include the calculations of salary/hourly wage, FTE/planned hours of work, and fringe percentage. If unsure of salary/hourly wage, contact Human Resources. For fringe rates, contact Business Office.

Once a proposal has been funded and substantial changes want to be made, budget modification requests must be submitted to the CTE Dean to review and forward to the systems office for approval. In general, the following would constitute substantial changes: budget changes between categories, or changes within categories that might affect the expected outcomes; expenditures not on original budget; and/or expenditures that exceed activity levels in original plan. **All funds must be expended by June 30.**

During mid-Spring of the program year colleges may be asked to return funds not likely to be spent by June 30. Be sure to inform the CTE Dean if there are any unusual circumstances as to why large amounts of an award have not been spent.

Completion reports are due in early September. **Failure to file the completion reports on time may jeopardize funding of the college's future grant proposals.**

Helpful Websites:

The Research Corporation of the University of Hawaii (RCUH) – www.rcuh.com

Office of Research Services (ORS) – www.hawaii.edu/ors

Purchasing:

SuperQUOTE - <https://www.commercepoint.com>

Purchasing Card (PCard) – www.hawaii.edu/oprpm/pcard

Travel:

Per Diem Rates – Department of Defense Per Diem, Travel and Transportation Allowance Committee – www.defensetravel.dod.mil/perdiem/perduenrates.html

Training:

ORS Training - www.hawaii.edu/ors/training.html

- Online Principal Investigator (PI) Training
- Grants and Contract Certification Program – Traditional/In Class

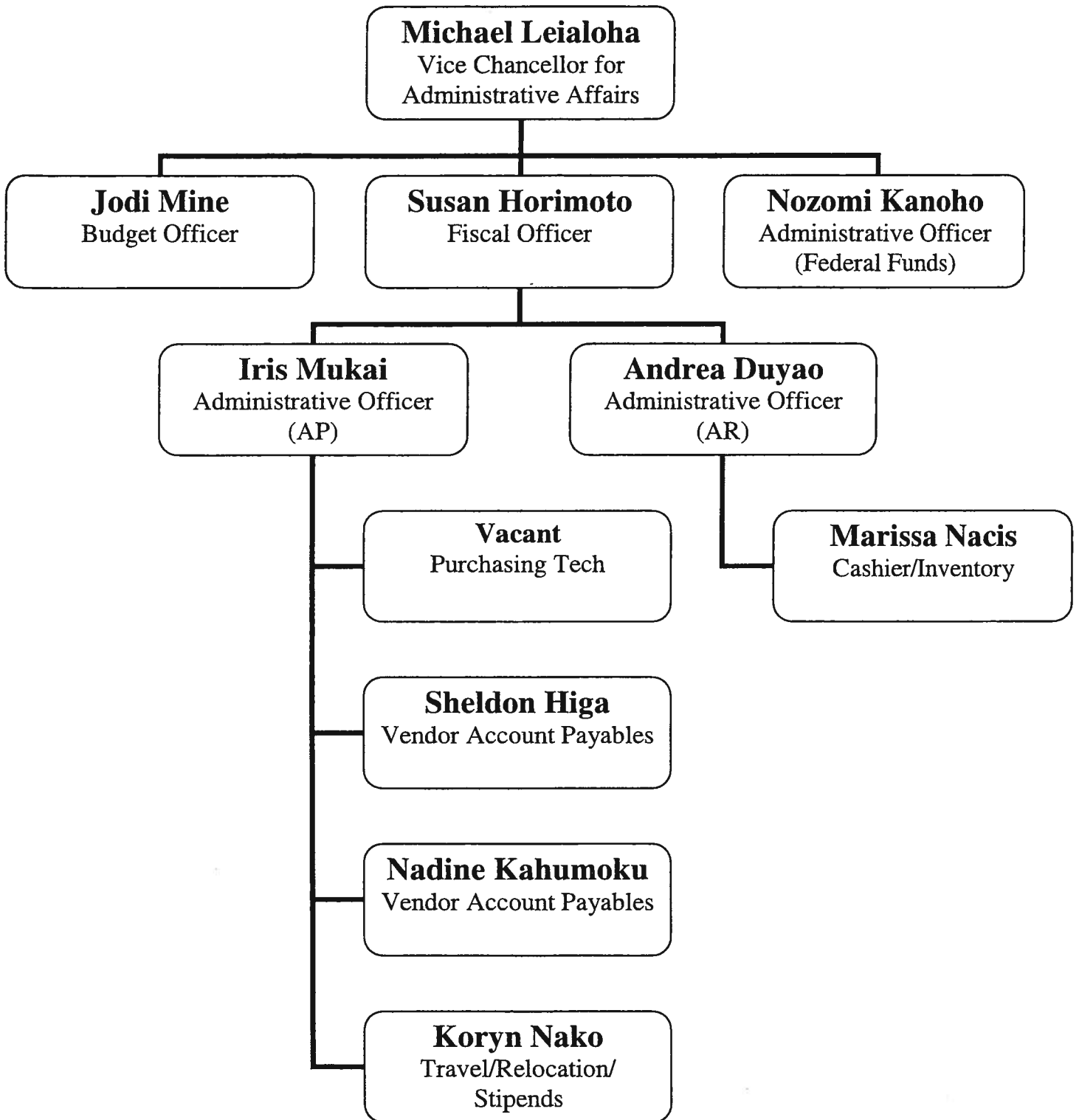
RCUH – www.rcuh.com

Periodically check the “Current News and Announcements” for various training

Sample of training offered by RCUH

- HRAP – RCUH Human Resources
- Workplace Violence Prevention Training
- Employee/Independent Contractor (EIC) Review
- Purchasing and Payment System

Hawaii Community College Business Office



Late Submission Form

Date: _____

To: Mike Leialoha
Vice Chancellor for Administrative AffairsFrom: _____
Principal Investigator

Subject: Proposal Entitled, " _____ "

Primary Sponsor/Funding Agency: _____

Agency Program Name: _____

Proposal Submission Deadline (indicate if this is a postmark or receipt date): _____

In the event that Hawaii Community College Business Office is unable to complete a review of the above proposal due to its late submission and/or other problems beyond the control of Hawaii Community College Business Office, the following statement, signed by the Dean or Director of the Principal Investigator's college, is provided to Hawaii Community College Business Office so that the proposal can be submitted by the sponsor's due date and time.

I accept full responsibility for ensuring that our college will satisfactorily fulfill from its own funds all terms and conditions of any award(s) received as a result of this proposal, and for any inappropriate or unallowable commitment of University resources including, but not limited to, cost sharing or matching commitments, and all disallowances or return of funds to the sponsor that may result from noncompliance.

Program Coordinator Name & Signature	Date
--------------------------------------	------

Principal Investigator	Date
------------------------	------

College/Program: _____

Account code to charge if proposal is NOT funded: _____

Intent to Apply for Funding

Date: _____

Addressees: If you have any questions or concerns regarding this proposal, please provide your feedback within 5 working days from this date. PI: Wait period is 5 working days from this date. No response from the addressees indicates an authorization to proceed.

To: Doug Dykstra, Vice Chancellor for Academic Affairs
Mike Leialoha, Vice Chancellor for Administrative Affairs
Bill Affonso, Planning, Operations & Maintenance (only if project involves construction or renovation)
Nozomi Kanoho, Fiscal Officer

From: _____

Principal Investigator, Print Name & Sign

Note: Only University Board of Regents appointees may serve as Principal Investigator

Proposal Title: _____

Primary Sponsor/Funding Agency: _____

Agency Program Name: _____

Proposal Submission Deadline: _____ post mark date/receipt date

Summary Abstract of Proposal

Hawaii Community College Commitment of Resources/Cost Sharing

1. Money: The proposed project entails a HawCC commitment of money:
 Yes – Complete HawCC Form 3 with the Vice Chancellor for Academic Affairs.
 No
2. Personnel: The proposed project entails a HawCC commitment of personnel time not compensated by the project's sponsors:
 Yes – Complete HawCC Form 3 with the Vice Chancellor for Academic Affairs.
 No
3. Facilities Usage: The proposal entails a HawCC commitment to change current facilities use. This includes any space utilization needs for the project staff or activities.
 Yes – Complete HawCC Form 4 with the Vice Chancellor for Administrative Affairs.
 No
4. Facilities Construction/Renovation: The proposed project entails a HawCC commitment to construct or renovate facilities on or off campus.
 Yes – Proposed site: _____
 No - Proposed description: _____

Benefits to Hawaii Community College

5. Indirect Rate: The proposed project allows an indirect rate assessment:
 Yes Indirect rate: _____% proposed funding amount: \$ _____
 No proposed funding period: _____
6. Salary savings: The proposed project requests funds to buy out a course-load reduction of HawCC faculty:
 Yes percent reduction: _____% proposed salary savings: \$ _____
 No proposed funding period: _____

Grant Funded Staffing Requirements

7. Staff – The proposed project entails the recruitment of staff to be compensated by grant funds:
 Yes proposed number: _____
 No proposed description: _____
8. Students: The proposed project entails the recruitment of HawCC students to be compensated by grant funds:
 Yes proposed number: _____
 No proposed description: _____

Equipment/Vehicle Purchase

9. Equipment: The proposed project entails the purchase of equipment or vehicle with an estimated unit cost over \$5,000:
 Yes – Complete HawCC Form 5 prior to submitting the grant proposal to the agency.
 No

Commitment of Resources/Cost Sharing

In accordance with the Hawaii Community College Proposal Submission Procedures, the following agreement between Principal Investigator and the Hawaii Community College Vice Chancellor for Academic Affairs is made for future monetary and/or personnel resources. This agreement is contingent on the successful funding of the proposal named herein.

Resource Requirements Agreement Date: _____

Personnel: _____ % time: _____

Personnel: _____ % time: _____

Personnel: _____ % time: _____

Personnel: _____ % time: _____

Cash: _____

Other: _____

Other: _____

Other: _____

Other: _____

Proposal Title: _____

Anticipated Start Date: _____ Anticipated Ending Date: _____

Funding Agency/Program: _____

Printed Name of Principal Investigator & Signature Date

Doug Dykstra, Vice Chancellor for Academic Affairs Signature Date

Commitment of Facilities

In accordance with the Hawaii Community College Proposal Submission Procedures, the following agreement between Principal Investigator and the Hawaii Community College Vice Chancellor for Administrative Affairs is made for future facilities and space requirements. This agreement is contingent on the successful funding of the proposal named herein.

Space Requirements

Agreement Date: _____

Office	Lab	Other

Proposal Title: _____

Anticipated Start Date: _____ Anticipated Ending Date: _____

Funding Agency/Program: _____

Printed Name of Principal Investigator & Signature Date

Bill Affonso, Planning Operations & Maintenance Signature Date

Mike Leialoha, Vice Chancellor for Administrative Affairs Signature Date

Equipment/Vehicle Screening Certification

In accordance with Federal Government regulations and University of Hawaii Administrative Procedures Manual, A8.528, the following screening is required.

For equipment with an estimated unit cost over \$5,000 and less than \$10,000 listed in the proposed budget, an inventory of the department and college shall be screened for available use. For equipment with an estimated unit cost of \$10,000 or more listed in the proposed budget, university-wide screening is required for available usage. The following responses were elicited:

Equipment/Vehicle	Department Contacted/Date	Response Regarding Availability
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

 Printed Name of Principal Investigator & Signature Date

Proposal Title: _____

Date: _____ Funding Agency: _____

Computer Equipment:

 Steve Schulte, Academic Computing Unit Signature Date

Media Equipment:

 Neal Uehara, Media Design & Production Signature Date

Vehicle Purchases:

 Bill Affonso, Planning, Operations & Maintenance Signature Date

 Nozomi Kanoho, Fiscal Officer Signature Date

OFFICE OF RESEARCH SERVICES

University of Hawaii

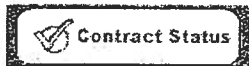
Grants

eRA

File Cabinet

Knowledge Base

Contact

[Google](#) | [File Cabinet](#)
GrantsFunding, Proposal, Startup,
Management, Closeout**eRA**Grants.gov, File Uploader,
Fastlane**File Cabinet**Forms, Reports, Rates,
Policies, Agreements, Memo,
Presentations**Knowledge Base**Institutional Profile,
Award Types,
Roles and Responsibilities
FAQs**Contact**Staff Directory, Campus
Map, Leave Feedback**Training****News****Board of Regents Reports**
Forms
Reports
Rates
Indirect Cost (F&A) Rates

All proposed budgets for extramurally funded awards must include the approved Facilities and Administrative (F&A) rate. F&A rates are indicated in the table below.

Indirect Cost (F&A) Cost and Rates FAQ
Official Rate Agreement
Table of Rates

Current F&A Rates

Rate	Fiscal Year 2008	Fiscal Year 2007	Fiscal Year 2006
Research, On-Campus	38.4%	38.4%	36.3%
Research, Off-Campus	20.6%	20.6%	20.6%
IFA Research, On-Campus	25.4%	25.4%	27.5%
IFA Research, Off-Campus	19.5%	19.5%	19.5%
Kakaako Research*	53.5%	54.5%	36.3%
Training, On-Campus	27.4%	27.4%	27.3%
Training, Off-Campus	20.0%	20.0%	20.0%
Other Sponsored Activities, On-Campus	26.9%	26.9%	27.5%
Other Sponsored Activities, Off-Campus	19.0%	19.0%	19.0%
RCUH Direct Project	3.1%	3.1%	5.2%

Printer Friendly Rate page

*Applies to research done primarily by UH personnel at the Kakaako Campus.

Modified Total Direct Costs (MTDC) consists of all salaries and wages, fringe benefits, materials and supplies, services, travel, and the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract).

MTDC excludes equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, charges for service centers, scholarships and fellowships, and the portion of each subgrant or subcontract in excess of \$25,000.

PROPOPSAL PREPARATION CHECKLIST

The following items should be considered in the preparation and review of proposals. The checklist will help to expedite review of proposals within the UH, avoid delays in rewriting and revising proposals, and facilitate planning for the initiation of the proposed project.

1. General Considerations

- a. Are the correct forms being used?
- b. Are the proper institutional identification numbers, applicant name, and address being used?
- c. Does the proposal conform to page and font size limitations imposed by the sponsor?
- d. Does the proposal include all necessary attachments (e.g., biographical sketches, certifications and assurances to be completed by ORS, etc.)?
- e. Has the ORS Form 5 been properly completed and approved internally by the UH?
- f. If more than one department or college is involved, has the ORS Form 5 been reviewed and approved by all parties?

2. Budget

- a. Does the budget add up?
- b. Are costs that are normally recovered through the F&A rate, such as administrative and clerical staff, office supplies, postage, and telephone costs explicitly budgeted and justified in the proposal budget?
- c. Is overload compensation (excess compensation to be paid during the faculty member's on-duty period) for consultation across departmental lines, in addition to faculty member's normal workload and explicitly budgeted?
- d. Does the budget conform to any limitations imposed by the sponsor (e.g., salary caps, prohibitions on the purchase of equipment, etc.)?
- e. Are the proper fringe and F&A rates being used?

3. External Collaborators

- a. If other institutions are participating in the proposal, have appropriate approvals from the participating institutions been obtained?
- b. Is the role of each institution clearly stated in the proposal to avoid misunderstanding and potential disputes?

3. Cost Sharing
 - a. Have cost sharing commitments been endorsed by the appropriate UH official?
 - b. Have third party commitment letters been obtained, if applicable?

5. Space, Funding and Risk Considerations
 - a. Have requirements for space or specialized facilities (e.g., secure facilities) been brought to the attention of the Department Chair, Dean or Director and arrangements been made to accommodate the proposed project?
 - b. Other than for cost sharing, have requirements for commitment of institutional funds been brought to the attention of the Department Chair, Dean or Director and sources of funding committed to the proposed project?
 - c. Have proper precautions been taken to mitigate risks or potential risks of the proposed project?

6. Research Compliance Considerations
 - a. If the project involves use of human or animal subjects, have provisions been made for review by the appropriate UH review boards?
 - b. If the proposed project involves SCUBA diving, radioactive isotopes, recombinant DNA, or other hazardous material, has the Environmental Health & Safety Office been consulted?
 - c. If the project involves the use of export-controlled technology, have provisions been made to secure the necessary licenses?
 - d. If the project involves classified or proprietary research, has the UH Facility Security Officer been consulted?

ORS FORM 5 con't.

OTHER CERTIFICATIONS:

1. **Human Subjects** (use of): If this is for NIH funding (including flow-through NIH funds), you certify that all project personnel have completed the NIH Training Module (find the link at <http://www.hawaii.edu/irb>).
 CHS Pending CHS Approval/Exemption attached
2. **Vertebrate Animals** (use of): If checked, obtain LAS cost estimate Pending IACUC Approval/Exemption letter attached
3. **Health and Safety**: Check all that apply:
 Compressed gas diving Radioactive material Hazardous material Pending
 Other(specify):
If any of these boxes are checked, attach the approval from EHSO with this proposal
 Importation of micro-organisms Use of recombinant DNA Select Agents Pending
If any of these boxes are checked, attach Approval/Exemptions letter from Office of the Assistant Vice Chancellor for Research and Graduate Education.
4. **Export Controls**: Proposed activity includes, or will result in, export-controlled technology or data (ITAR, EAR, etc.). Indications of export controls include sponsor restrictions on disclosure and/or access by foreign nationals.
5. **Lobbying Efforts**: The proposal was supported by Lobbying Efforts. If checked, attach a separate sheet describing nature and funding source of the lobbying activities.
6. **Subcontractor Proof of Commitment**: Proposal includes a subcontract to a collaborating institution. If checked, attach commitment letter(s) containing subcontractor's statement of work and budget that is signed by subcontractor's authorized institutional representative.
7. **Risk Management**: Check all that apply:
 Use of medical professionals with human contact Patient care Research dealing with pathogens
 Hazardous working conditions Use of watercraft (research vessels) Other:
If checked, attach a copy of insurance policies or other documentation that mitigates the risk to the University
8. **Intellectual Property**: I hereby waive and relinquish my rights in intellectual property if the funding agency's terms and conditions require it. Please be advised that UH holds the title to intellectual property developed at the University and will not relinquish its ownership except in exceptional circumstances.
9. **Publication**: I am willing to accept sponsor's terms and conditions that restrict, limit, or prohibit publication.
10. **Background Intellectual Property**: This proposal involves the use of pre-existing intellectual property. Please identify all such intellectual property and the owner(s) (UH, sponsor, or other) by attaching a separate sheet with details.

G. ATTACHMENTS:

- Statement/Scope of Work Budget Sponsor's Agreement*
 Certifications [noted in section F] Other Attachments:

*By attaching an agreement or award from Sponsor as part of your proposal, you certify that you have read, understood, and agreed to all terms contained therein unless otherwise indicated in writing to ORS

H. CERTIFICATIONS, SIGNATURES AND APPROVALS:

1. I certify that I have read, understood, and personally completed the above certifications
2. I certify that any material, good, or service produced or delivered under this project will not infringe on any patent, trademark, or copyright.
3. I certify that to the best of my knowledge the ORS Form 5, the attached proposal, budget, and certifications are accurate and complete and that this project will be conducted in accordance with Federal, State, Sponsor, and University requirements and policies and that all investigators and project personnel have filed disclosures in accordance with Executive Policy E5.214 Conflicts of Interest.
4. I certify that any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil, or administrative penalties; and the PI agrees to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application

P.I. Signature (No "Per" Signatures Allowed): _____ Date: _____

5. I certify I have reviewed all budgets and resource commitments and have found that they comply with Federal, State, Sponsor, and University requirements and policies.

Fiscal Officer Signature: _____ FO Code: _____ Date: _____

6. Signatures indicate concurrence with all resource commitments, project provisions, and certifications. If a conflict of interest was identified in Section E on page 1, you have reviewed all disclosures and have determined there is no conflict of interest, or have determined there is a conflict but that it has been resolved or is manageable in accordance with University policies. You hereby submit your approval of this for submission

Department Chair

Date

Dean, Director, Chancellor, or VP

Date

I. FOR ORS USE ONLY:

ORS Reviewer Signature

Date

Page	ID	Section Name	Expanded Instructions
		Proposal Type, continued	<p>increments are typical) funded award. For example, some awards may be initially approved for multiple years but funded in one-year increments. Each year, an application for a non-competing continuation, with a scope of work and budget must be submitted through ORS to the NIH. Applications may be submitted on-line through Grants.gov.</p> <p>NEW: ORS has developed a new form (ORS Form 8) for submission with most NIH non-competing continuation application/requests in lieu of ORS Form 5. Its purpose is to reduce administrative requirements for PIs. ORS Form 8 replaces ORS Form 5 for most NIH non-competing continuation requests.</p> <p>When the continuation includes changes to: 1) the level of effort by key personnel, or 2) UH commitments (cost sharing), PIs are required to submit an ORS Form 5 with non-competing NIH continuation/renewal requests.</p> <p><i>ORS Form 8 & Instructions are on the ORS Website at http://www.hawaii.edu/ors/</i></p> <p>Renewal: A proposal for next competitive funding cycle. For example, if an award for a five-year project has ended, a submission for a renewal might request funding for years six through 10. In the ORS Form 5, renewals are treated as competing continuations (above).</p> <p>Instructions for Table: In the Initial Proposal section, enter the dates and amount of the initial award; In the Subsequent Proposal section, enter the dates and amount being requested for the renewal; enter the cumulative dates and amount in the final row.</p> <p>Supplemental: A proposal to add work and budget to an existing award. A supplemental request may be competing or non-competing. A competing supplemental request is subject to peer review. A non-competing supplemental request is handled administratively.</p> <p>Instructions for Table: In the Initial Proposal section, enter the dates and amount of the initial award (which may be different than those proposed); In the Subsequent Proposal section, enter the dates and amounts being requested for the supplemental request; enter the cumulative dates and amount in the final row.</p> <p>CTAHR Formula: Only for proposals that are covered under the federal appropriation grants for the College of Tropical Agriculture and Human Resources.</p>

Page	ID	Section Name	Expanded Instructions
	C	Proposed Activity	<p>If your proposal does not fit within the categories defined in this section, it is possible that it should not be submitted through ORS. If you have any questions, call the eRA HelpDesk at 956-5198 (email at erahelpline@ors.hawaii.edu)</p> <p>Research and Development – A systematic, intensive study intended to increase knowledge or understanding of the subject studied, a systematic study specifically directed toward applying new knowledge to meet a recognized need, or a systematic application of knowledge to the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.</p> <p>Training – A specific instructional activity, including activities involving the teaching of research techniques as the primary purpose of the award. Where training of post-docs or students is part of a research project, the proposed activity should be identified as “Research and Development.”</p> <p>Other Sponsored Activity – The performance of work that does not fit into the other categories for which extramural support is being sought. Such activities may include extension services, performances, exhibitions, conferences or workshops, consultation services relating to existing programs or services, small business development centers, etc.</p> <p>F Facilities Construction/Renovation – The construction or acquisition of facilities (buildings or major renovations) in which title to the facilities passes to UH.</p> <p>Equipment/Instrumentation – The fabrication or acquisition of equipment or other instrumentation in which title passes to UH.</p> <p>Operations of Research Facilities – The operation and maintenance of research facilities or equipment such as telescopes, large computing centers, ocean-going vessels, etc. If 50% of the project scope involves the conduct of research, choose “Research and Development.”</p>
1	D	PI Certifications: Commitments	<p>Cost sharing (also called cost matching or in-kind contributions) refers to resources contributed or allocated by UH (or another third party) to a sponsored project over and above the support provided by the sponsor. Cost sharing commitments made in a proposal are legally binding commitments made by UH to the sponsor.</p> <p>UH may share the cost of a sponsored project when such costs are:</p> <p>§ Required by the sponsor and consistent with the UH mission of supporting the search for and dissemination of knowledge, or</p>

Page	ID	Section Name	Expanded Instructions
			<p>§ Otherwise determined to be an appropriate use of resources by UH officials.</p> <p>Cost sharing increases administrative burden and risk of adverse audit findings for UH. Therefore, voluntary cost sharing should be avoided, when possible.</p> <p>Check the appropriate box (1, 2 and/or 3) if your proposal includes:</p> <ul style="list-style-type: none"> ▪ Any cost sharing or in-kind UH contributions, and provide the percentage of budget and dollar value of the UH commitment; ▪ Commitments from UH department(s) other than that of the PI, and submit a completed and appropriately endorsed ORS Form 5a; and/or ▪ Commitments from non-UH sources, and submit a letter of commitment from each source that <u>details</u> the nature and scope of the commitment. <p>All details (who, what, when, how much) relating to cost sharing must be described in the budget justification or on a separate sheet appended to the submission.</p> <p>UH cost-sharing policies and procedures are documented in administrative procedure APM A8.947 and A8.951.</p>
1	E	PI Certifications: Conflict of Interest	<p>Conflict of Interest –</p> <p>In order to comply with federal regulations and protect the integrity of the University, UH has approved Executive Policy E5.214, which mandates annual conflict of interest disclosure by UH faculty, staff and administrators.</p> <p>In addition, NSF and PHS regulations apply to the PI and others who are responsible for the design, proposal, conduct or reporting of research. If an investigator or his/her spouse or dependent child holds a Significant Financial Interest (SFI), as defined below, in an entity that could reasonably appear to be affected by the proposed research, this SFI must be disclosed to UH.</p> <p>An SFI is anything of monetary value, including salary, consulting fees, honoraria or other payments for services, equity interests, and IP rights except:</p> <ul style="list-style-type: none"> ▪ Salary or remuneration from UH; ▪ Income from seminars, lectures, teaching engagements, service on advisory committees or review panels sponsored by public or nonprofit entities; ▪ Equity interests that (when aggregated for the investigator, spouse and dependent children) do not exceed \$10,000 or 5% ownership interest in any single entity; and

Page	ID	Section Name	Expanded Instructions
			<p>following 12 months) are not reasonably expected to exceed \$10,000.</p> <p>Check box 1 and/or 2 if this proposal is for NSF or PHS funding (directly or flowing through a third party), or if any potential conflict of interest would exist or appear to exist if an award were made based on this proposal. If either box is checked, complete ORS Form 5b.</p>
2	F	<p>Other Certifications</p> <p>Other Certifications, continued</p>	<p>F.1 Protection of Human Subjects</p> <p>To comply with federal regulation, research involving people or information that can identify them must be reviewed, approved and monitored by the UH Committee for Human Studies (CHS). All UH research, regardless of who conducts it (faculty, students, etc.) and who funds it (and even if it is not funded) must be reviewed by the CHS. Some research may be "exempt" (as defined by regulation) from CHS approval and oversight, but only the CHS can make a final determination of exemption. A certification of exemption or approval from the CHS will be required.</p> <p>Check certification box 1 if your research activities involve people or information that identifies them. If you have received certification of approval or exemption from CHS for this project, submit a copy to ORS. If the proposal will be submitted to the NIH, certification of completion of the NIH Training Module on human subjects protection (http://www.hawaii.edu/irb) by all project personnel is also required. For further information, contact the UH Committee for Human Studies at 956-5007 or visit the CHS Website at http://www.hawaii.edu/irb/index.htm</p> <p>F.2 Care and Use of Vertebrate Animals</p> <p>The Institutional Animal Care and Use Committee (IACUC) has been established at UH to ensure compliance with federal that are used in research, teaching/ training, testing and/or exhibition/display. The IACUC will determine whether the proposed use of vertebrate animals for your project is scientifically justifiable and the welfare and treatment of animal subjects are adequately addressed.</p> <p>Check certification box 2 if your project involves the use of vertebrate animals. Submit a copy of your certification to ORS.</p> <p>For further information, contact the UH IACUC at 956-4552, or visit the IACUC Website at www.hawaii.edu/anasc/IACUC</p> <p>F.3 Health and Safety</p> <p>At UH, the Environmental Health and Safety Office (EHSO) is responsible for ensuring compliance with federal regulations in the areas of:</p> <ul style="list-style-type: none"> ▪ Radiation Safety, including any use of radioactive material and radiation-producing machines (x-rays, microwaves, etc.); ▪ Diving Safety, including any use of compressed gas for scuba diving;

Page	ID	Section Name	Expanded Instructions
		Other Certifications, continued	<p>material, water reactive chemicals, flammable liquids or gases, poison gases, organic peroxides, and highly toxic materials; and</p> <ul style="list-style-type: none"> ▪ Disposal of Hazardous Waste. <p>Check certification box 3 if your proposed project involves activities, equipment or substances in these categories. EHS approval is required prior to such involvement. If you have received certification of approval from EHSO for this project, submit a copy to ORS.</p> <p>For further information, contact EHSO at 956-8660 or visit the EHSO Website at www.hawaii.edu/ehso</p> <p>Research Compliance</p> <p>At UH, the Office of the Assistant Vice Chancellor for Research and Graduate Education is responsible for ensuring compliance with federal regulations in the areas of import/export of biological commodities, recombinant DNA technology and possession use and transfer of Select Agents.</p> <p>Check the appropriate box if your project involves the activities in these categories. Submit a copy of your approval/exemption to ORS.</p> <p>For further information, contact the Assistant Vice Chancellor for Research and Graduate Education Office at uhpermit@hawaii.edu</p> <p>F.4 Export Controls</p> <p>Federal regulations enforced by the Department of Commerce, Export Administration Regulations (EAR) (link to Gaines 4-5-04 memo), and the Department of State, International Traffic in Arms Regulations (ITAR) (link to Gaines 3-3-04 memo), prohibit the unlicensed export of specific technologies for reasons of national security or protection of trade.</p> <p>If UH research involves certain technologies, the EAR and/or ITAR may require UH to obtain approval before allowing foreign nationals to participate in the research or partnering with a foreign company and/or sharing research with persons who are not U.S. citizens or permanent resident aliens. Under ITAR, UH must register with the UH State Department if defense articles (which may include unclassified technical data) or services are manufactured or exported.</p> <p>Once export controlled data or technology is accepted from the sponsor, investigators have the legal duty to prevent its unlawful "export" outside the US or to foreign nationals residing here. The consequences of violating these regulations can be severe, ranging from loss of research contracts to monetary penalties to jail time for the individual violating these regulations.</p>
		Other Certifications, continued	

Page	ID	Section Name	Expanded Instructions
		Other Certifications, continued	<p>developed under the project. Indications of export controls might include sponsor restrictions on disclosure and/or access by foreign nationals.</p> <p>Check certification box 4 if your proposed project will include or result in export-controlled technology or data.</p> <p>For further information, contact OTTED at 539-3817 or by email at otted@hawaii.edu. Visit the OTTED website at http://www.otted.hawaii.edu/.</p> <p>F.5 Lobbying Efforts</p> <p>Restrictions issued by the Office of Management and Budget (OMB) bar recipients of federal funds from using such funds to lobby sponsoring agency officials or members of Congress for a grant, contract, or other award. Under these rules, UH must certify when applying for or receiving \$100,000 or more in federal funds that federally appropriated dollars have not and will not be used to lobby in connection with an award.</p> <p>Check certification box 5 if lobbying efforts supported your proposal, and append a separate sheet describing the nature and funding source for the lobbying activities.</p> <p>F.6 Subcontractor Proof of Commitment</p> <p>Check certification box 6 if a portion of the proposed scope of work will be conducted by a non-UH entity under a subcontract (this entity is referred to as a subrecipient). Do not check this box to reflect services to be provided by a vendor.</p> <p>The difference between a subrecipient and a vendor is that a subrecipient independently carries out part of a project for which UH has been awarded funds. A vendor may provide goods and services to UH, but is not responsible for independently carrying out a scope of work. Because a subrecipient has responsibility for programmatic decision-making, its performance could affect the ability of UH to meet the obligations of its award. Federal regulations require UH to monitor subrecipient administration of federal funds.</p> <p>If you checked box 6, you must append to your ORS Form 5 a commitment letter signed by the subrecipient's Institutional Official accompanied by a statement of work and budget for the subrecipient's scope of work.</p> <p>F.7 Risk Management</p> <p>Some projects involve activity that significantly increases risk to UH. This includes, but is not limited to, studies involving ocean exploration and/or clinical interventions with human subjects. UH has a Risk Management Office that is responsible for reviewing and mitigating potential risks to UH. Advance warning and knowledge of possible risk factors enable a preliminary assessment of risk and exposure to liability for UH. Such knowledge enables UH to take the necessary steps to protect UH interests. Such steps may include the purchase of additional</p>

Page	ID	Section Name	Expanded Instructions
			<p>document.</p> <p>Check certification box 7 if your proposed project includes medical professionals with human contact, patient care, HIV or other pathogens, use of watercraft, or other hazardous working conditions. Forward to ORS a copy of relevant insurance policies or other documentation of risk mitigation strategies applicable to your project.</p> <p>For additional information, contact the UH Office of Risk Management at 956-7243.</p>
2	F-8	Intellectual Property	<p>UH holds the title to intellectual property (IP) developed at the University, and it will only relinquish its ownership in exceptional circumstances. To advise and assist investigators and others with issues and questions pertaining to IP, UH has established an Office of Technology Transfer and Economic Development (OTTED). OTTED is organized to help UH faculty, staff, and students to identify, manage, protect, and commercialize the University's IP assets.</p> <p>Check "yes" or "no" on certification 8 to indicate your agreement to accept sponsor requirements to waive or relinquish your rights to IP.</p> <p>Your answer to this question will serve as your proxy for IP issues if the proposal is funded.</p> <p>For additional information, contact OTTED at 539-3817 or by email at otted@hawaii.edu. Visit the OTTED website at http://www.otted.hawaii.edu/.</p>
2	F-9	Publication	<p>Principles of academic freedom provide broad publication and communication rights to university investigators. In certain circumstances, sponsors may seek to restrict publication of specific information.</p> <p>Check "yes" or "no" on certification 9 if you are willing to accept sponsor restrictions relating to publication of results from your sponsored project.</p> <p>Your answer to this question will serve as your proxy for publication issues if the proposal is funded.</p>
2	F-10	Background Intellectual Property	<p>Some research and development projects involve intellectual property (IP) developed under a previous award or activity. Such IP must be disclosed and identified.</p> <p>Check "yes" or "no" on certification 10 to indicate if your proposed project involves the use of pre-existing intellectual property (IP), and append a separate sheet that describes the IP and identifies the individual(s) and/or entity(ies) that own it.</p> <p>For additional information, contact OTTED at 539-3817 or by email at otted@hawaii.edu. Visit the OTTED website at http://www.otted.hawaii.edu/.</p>

Page	ID	Section Name	Expanded Instructions
2	H 1-4	PI Certifications, Signatures and Approvals	<p>The initial certifications (1 – 4) apply to the Principal Investigator (PI) of the proposed project. PIs must read these certifications carefully and understand that he or she will be held accountable for these statements.</p> <p>An original signature of the PI is required for ORS to accept and process the submission.</p> <p>By signing the ORS Form 5, the PI certifies that:</p> <ul style="list-style-type: none"> ▪ He or she has read and understood and personally completed the certifications in Form 5; ▪ Any material, good, or service produced or delivered under this project will not infringe on any patent, trademark or copyright; ▪ The information provided in the ORS Form 5, proposal and budget are accurate and complete, and that the project will be conducted in compliance with federal, state, sponsor, and UH regulations and policies; ▪ All project personnel have filed conflict of interest disclosures in accordance with UH Executive Policy E5.214; ▪ He or she understands that any false, fictitious or fraudulent statements or claims may subject the PI to criminal, civil or administrative penalties; and ▪ He or she agrees to accept responsibility for the scientific conduct of the project and submit the required progress reports if an award results from the proposal.
2	H-5	FO Certification, Signature and Approval	<p>Certification 5 applies to the responsible Fiscal Officer (FO) for the proposed project.</p> <p>The original signature of the FO certifies that he or she has reviewed all budget and resource commitments and fund that they comply with federal, state, sponsor and UH regulations and policies.</p> <p>Provide the FO code of signing officer.</p>
2	H-6	Departmental Leadership Certification, Signatures and Approvals	<p>Certification 6 applies to the Chair, Dean, Director, Chancellor, or VP who signs the ORS Form 5.</p> <p>This signature(s) certifies that:</p> <p>§ He or she concurs with the resource commitments</p>

Page	ID	Section Name	Expanded Instructions
			<p>and certifications;</p> <p>§ If a potential conflict of interest was identified in section E on page one (1) of ORS Form 5, all disclosures have been reviewed and it has been determined that there is no conflict of interest or that the conflict has been resolved or is manageable in accordance with UH policies; and</p> <p>§ The proposal for extramural funds is approved.</p> <p>If an award is made based on a late submission that has been signed by a unit (college, school, dept., etc.) leader, that unit will be responsible to cover costs incurred by UH as a result of errors in the proposal. Such costs might include cost sharing commitments or unallowable commitments of UH resources.</p> <p>A late submission is one received by ORS after its submission deadline, allowing insufficient time for ORS staff to conduct an adequate review of the proposal.</p>

#

Signing Authorities

Type of Document	Forward to	Authorized Institutional Official
All proposals for extramural funding	ORS	ORS Director or designee
Certifications and Representations (Debarment, Lobbying, etc.)	ORS	ORS Director or designee
Grants requiring UH signature	ORS	ORS Director, <\$1 million President, >= \$1 million
Contracts and subcontracts, including modifications (Incoming funding)	ORS	ORS Director, <\$1 million President, >= \$1 million
Subcontracts, including modifications (Outgoing purchase of services)	OPRPM or RCUH	Procurement Officer
Extramurally funded Master Agreements, Memorandum of Agreements (MOA), Memorandum of Understandings (MOUS), Cooperative Research and Development Agreements (CRADA), Consortium Agreements, etc.	ORS	ORS Director, <\$1 million President, >= \$1 million
Prior Approval Requests and Administrative Actions Requiring Sponsor Approval	ORS for endorsement	ORS Director or designee
Prior Approval Requests and Administrative Actions (Delegated)	College/Research Unit Business Office	ORS Director or designee
Final Invention Statements	ORS (with investigator /inventor signature)	ORS Director or designee
Material Transfer Agreements	OTTED	OTTED Assoc. Director or designee
Non-Disclosure Agreements	OTTED	OTTED Assoc. Director or designee

Footnote: ORS Director's designees: Paul Kakugawa, Georgette Sakumoto, Linda Lau, and Barbara Hundtoft

Legend:

- OPRPM = Office of Procurement and Real Property Management
- ORS = Office of Research Services
- OTTED = Office of Technology Transfer and Economic Development
- RCUH = Research Corporation of the University of Hawaii
- < Back

- Institutional Profile
- Award Definitions
- Basic Types of Awards
- Cost Sharing
- Post doc stipends
- Roles and Responsibilities

Grants

Funding, Proposal, Startup, Management, Closeout

eRA

Grants.gov, File Uploader, Fastlane

File Cabinet

Forms, Reports, Rates, Policies, Agreements, Memos, Presentations

Knowledge Base

Institutional Profile, Award Types, Roles and Responsibilities, FAQs

Contact

Staff Directory, Job Openings, Campus Map, Leave Feedback



FO and AO Training

News

Board of Regents Reports

Institutional Profile

The following data is provided as a quick reference for proposal preparation.

Legal Applicant	University of Hawaii
Address Phone FAX	University of Hawaii Office of Research Services 2530 Dole Street, Sakamaki D-200 Honolulu, HI 96822 Phone: (808) 956-7800 FAX: (808) 956-9081
Authorized Institutional Representative	Yaa-Yin Fong Director, Office of Research Services
Type of Organization	State Controlled Institution of Higher Education
Tax Status	The University of Hawaii is an Instrumentality of the State, established by law under Hawaii Revised Statute §304-2. As such, the University is statutorily exempt from income taxes under Internal Revenue Code §115.
IRS Employer Identification Number (EIN)	This is a tax identification number assigned to all entities which employ people, pay pensions, or open business bank accounts. This number is usually required on Federal application cover pages or their Representation and Certification page. 99-6000354 (FOR NSF do not include hyphen)
Cognizant Federal Government Audit Agency	U.S. Department of Education Office of the Chief Financial Officer 400 Maryland Avenue, S.W. Washington, D.C. 20202-4300 Pat Dever Management Information Officer - Post Audit Group

Attachment J

Cognizant Federal Government F&A/CAS Agency	US Dept. of Health and Human Services Division of Cost Allocation 90 7th Street Suite 4-600 San Francisco, CA 94103 Wallace Chan , Director Contact: Janet Turner Phone: (415) 437-7820
Dun & Bradstreet (DUNS) Number	Data Universal Numbering System assigned by Dun & Bradstreet which provides a credit rating to UH. 783414741 - Federal Dept. of Education ONLY 965088057 - All other agencies
Contractor Establishment Code (CEC Code)	9U318
Commercial & Government Entity Code (CAGE Code)	OW411
North American Industry Classification System (NAICS) #	611310

FICE or OPEID Code

This identification number is assigned to institutions that are in the Post secondary Education Participants System. This system is maintained by the Office of Post secondary Education. This system was originally created by the Federal Interagency Committee on Education (FICE).

Manoa	00161000
UH Hilo	00161100
Hawaii CC	00525800
Honolulu CC	00161200
Kapiolani CC	00161300
Leeward CC	00454900

Maui CC	00161500
Kauai CC	00161400
West Oahu	02107800
Windward CC	01122000

NSF Institutional Code	0016105000
IRB Multiple Project Assurance Code (CHS Number)	<p>This code identifies that the University has an Institutional Review Board in place that meets federal standards and that the University is approved to conduct research involving human subjects.</p> <p>CONTACT PERSON WILLIAM DENDLE FWA3526</p>
Institutional Animal Care & Usage Committee (IACUC Number)	<p>This number is assigned to the University and identifies that the University is approved to use animals in its research and that it has facilities that meet federal standards for the care of animals.</p> <p>CONTACT PERSON NORMAN MAGNO A3423-01</p>