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<th>Agenda</th>
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<td>• New Post-Award Director</td>
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<td>• F&amp;A Costs on Sponsored Awards</td>
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<td>• IBISResearch Accuracy – Human Subjects &amp; Account Setup Delays</td>
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<td>• PG Accounts for Closed &amp; Closing Projects in Workday</td>
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<td>• Research Administration Curriculum Deadline</td>
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<td>• NSF Safe and Inclusive Working Environment for Off-Campus Research</td>
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<td>• Clinical Trial Fee Changes</td>
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<td>• Effort Certification and Cross Company PAA’s</td>
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<td>• New Research IT Director</td>
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<td>• UM’s COI policy, Annual Training and Disclosure Process in the UDisclose System</td>
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<td>• NSF Disclosure Requirement Clarification &amp; Compliance</td>
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<td>• Designating Investigators for COI Review in the IBISResearch Grants Module</td>
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<td>• Upcoming Huron Upgrades and Implementation</td>
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<td>• ORCID ID</td>
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<td>• AAHRPP Reaccreditation Site Visit</td>
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New Research IT Director

Mikki ONeal

Associate Vice President, Research Operations & Infrastructure (ROI)
Joshua Rivera
Director, Research Information Technology
New Post Award Director

Laura Kozma
Associate Vice President
Research Administration
Stephane Malebranche
Director, Post Award
Email: smalebranche@miami.edu
Telephone: 305-284-3223
F&A Costs on Sponsored Awards

Lionel Vera

Executive Director
Research Administration
F&A Disguised as Interdepartmental Charges
(2) Items such as office supplies, postage, local telephone costs, and memberships must normally be treated as indirect (F&A) costs.
Can we charge the Grant if...

- we bill the cost as a billing rate (e.g., interdepartmental services)?
- we can allocate the cost to the grant and say, yes, this cost is used exclusively, 100%, for this grant?
- the cost is in the application budget as a separate line item approved by the sponsor?
- the cost is all of the above combined?!?

Answers: **No, no, no, and no,** ...not necessarily in that order.
IBISResearch Accuracy
Human Subjects & Account Setup Delays

Laura Kozma
Associate Vice President
Research Administration
REMINDER!

- Make sure human subject information is consistent and accurate in all areas of IBIS and the application.
- Inconsistent information WILL slow down award setup
PG Accounts for Closed & Closing Projects in Workday

Laura Kozma
Associate Vice President
Research Administration
PG Accounts for Closed & Closing Projects

• A PG account must be provided if there is an anticipated deficit

• Provide on the closeout form or when requested by Research Administration

• Not providing this creates a significant amount of work for Research Administration which impacts service to departments and faculty
Research Administration
Curriculum Deadline

Laura Kozma
Associate Vice President
Research Administration
• Deadline extended to August 31, 2023
• Non-compliance will result in loss of roles in IBIS and Workday until the training is complete
• If you have not started, you still have time to complete by the end of the summer!
NSF Safe and Inclusive Working Environment for Off-Campus Research

Brandon Strickland
Executive Director
Research Administration
NSF Policy (PAPPG 23-1, Chapter II.E.9) requires fostering safe and harassment-free environments wherever science is conducted, including off campus or off site.

Each proposal that proposes to conduct research off campus or off site requires:

• Development of Plan for Safe and Inclusive Working Environment
• Certification of Plan by Institution’s Authorized Official (AOR)
• Distribution of Plan to research team prior to departing for off campus or off site research. PIs are responsible for developing plan, maintaining copy of plan, and documenting who received copy of plan. The plan is NOT to be submitted to NSF unless specifically requested by NSF.
• NSF defines “off-campus or off-site research” as “data/information samples being collected off campus or off site, such as fieldwork and research activities on vessels and aircraft”.

UNIVERSITY OF MIAMI
Developing a Plan for Safe and Inclusive Working Environment

Required Elements in the Plan:

1. Description of how the organization will address the following types of behavior:
   - Abuse of any person, including, but not limited to, harassment, stalking, bullying, or hazing of any kind, whether the behavior is carried out verbally, physically, electronically, or in written form
   - Conduct that is unwelcome, offensive, indecent, obscene, or disorderly

2. Steps the organization will take to nurture an inclusive off-campus or off-site working environment (trainings, processes, codes of conduct, support mechanisms, developmental events, etc)
Developing a Plan for Safe and Inclusive Working Environment

Required Elements in the Plan:

3. How communications within the team and communications to the organization will be handled, and plans for how any special circumstances will be addressed (such as the involvement of multiple organizations or third parties in the working environment should be taken into account)

4. Process or method for handling incident reports – How will incident reports be made? How will they be received? How will they be resolved?
NIH Data Management Plan

Brandon Strickland
Executive Director
Research Administration
NIH Data Management Plan


**When is the NIH DMS plan required?**

- The data management plan (historically only required for proposals requesting more than $500K in direct costs annually or projects generating genomic data) is now required in most NIH applications.

<table>
<thead>
<tr>
<th>DMS Policy Applies*</th>
<th>DMS Policy Does Not Apply</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Projects</td>
<td>Training (T)</td>
</tr>
<tr>
<td>Some Career Development Awards (Ks)</td>
<td>Fellowships (F)</td>
</tr>
<tr>
<td>Small Business (SBIR/STTR)</td>
<td>Construction(CO6)</td>
</tr>
<tr>
<td>Research Centers</td>
<td>Resources (Gs)</td>
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<td></td>
<td>Research Related Infrastructure Programs (SO6)</td>
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</table>
What is required under this new policy?
• Include Budget Request for Data Management and Sharing costs in NIH grant application
• Submit Data management and Sharing Plan with NIH application
• Adhere to NIH-approved Data Management and Sharing Plan when funded

What resources are available?
Data Plan Resource Document
NIH DMS Plan Template
NIH Data Sharing Summary

Why is there a new policy?
• To promote the sharing of scientific data.
NIH Data Management Plan

For additional information go to the RA website: ora.Miami.edu

1. About RA
2. Pre-Award
3. Proposals
4. NIH Policies & Resources
5. NIH Data Sharing Management Plan Policy
Form H Live

K. Brandon Strickland, J.D.

Executive Director, Research Administration
Form H live in the system
Clinical Trial Fee Changes

K. Brandon Strickland, J.D.
Executive Director, Research Administration
Changes to fees on Clinical Trials coming February 15.

• Cris Fee Increase by $1000
• Amendment $750
• $250 Feasibility Fee and F&A to 36%
Effort Certification & Cross Company PAA’s

Kimberly Croft
Executive Director, Research Accounting and Cost Analysis
Certification Deadline: February 10
Exception requests: Send to kcroft@miami.edu
Effort Certification

Effort reporting information:
https://www.ora.miami.edu/compliance/effort-reporting/index.html

Effort reporting is the method of certifying to federal granting agencies that the effort required as a condition of the award has actually been completed. Effort reporting is required by the Uniform Guidance.

The University of Miami Office of Research Administration is deploying a new upgraded version of the Employee Compensation Compliance system known as ECC (formerly known as ECR), to serve as the tool to facilitate the effort certification and reporting process. The ECC system is designed to help comply with the provisions of the University of Miami's Effort Reporting policy, federal policy, and other relevant agency policies that govern charging an individual's effort to sponsored projects.

The University of Miami uses Project Confirmation through the Employee Compensation Compliance System (ECC). Project Confirmation is a streamlined effort certification process, which requires the Principal Investigator certify his/her effort and the effort of staff on his or her project. If there are other faculty members on the project, each will certify his or her own effort. This method of certification reduces the number of individuals required to certify effort.
Contact the ECC Administrative Office:
Email: ecrt.admin@miami.edu
Phone: (305) 284-4054
Effort Reporting Policy

https://www.ora.miami.edu/policies/all-ora-policies/index.html
Step-by-step guide for PAA’s with multi-driver worktags:

Highlights of this guide include:
- Troubleshooting Workday PAAs with Multi-Driver worktags
- Selecting the correct related worktags
- Selecting the correct Company for the PAA

For inquiries contact:
- The EBS team, at workday@miami.edu
- Gloria Gari at ggari@miami.edu
UM’s COI policy, Annual Training and Disclosure Process in the UDisclose System

Lory Hayes
Director, Disclosures & Scholarly Activities Management (DSAM)
• Conflict of Interest, Conflict of Commitment, Foreign Influence, and Institutional Conflict of Interest Policy

• Promulgated January, 2022

• Policy articulates all Covered Persons must:
  - Complete training on the policy, annually
  - Submit a Disclosure Profile, annually
  - Changes and new interests must be submitted within 30 days
• Annual training and disclosures are coming due
• Training reminder notifications will be sent ~30 days before expiration
UDisclose System

Disclosure Profile for Lory Hayes

Instructions and Policies

The University of Miami (UM) requires Covered Persons to complete a few simple steps in order to be compliant with UM’s Conflict of Interest (COI), Conflicts of Commitment, and Foreign Influence Policy and federal regulations. The following steps are completed through this system:

- Review and attest to your understanding of the training document below when you begin employment and on an annual basis.
- Complete a Disclosure Profile when you begin employment and on an annual basis. Even if you have no outside activities or interests with which you or an immediate family member has a relationship, you still need to complete the annual disclosure process.
- Update your Disclosure Profile within 30 days of acquiring or discovering a new outside activity or interest.
- Provide any additional information requested when the University reviews your Disclosure Profile.
- If a Management Plan is required for your disclosures, your agreement to the plan must be documented prior to the release of any related research funding.

Training and Education

This document describes UM’s policy (including definitions) and provides details on whom you can contact for additional information.

Please note:
- Covered Persons, who are UHealth employees, must comply with additional UHealth requirements as defined in the policy.
- Covered Persons, who are Investigators, must also comply with additional Scholarly Activities requirements as defined in the policy.

Training documents:
- COI10 training v 2022_02v2 gun.pdf (0.03)
- COI10 training v 2022_02v2 res supp.pdf (0.03)

Your training has lapsed. The date on which you last completed your training is:
1/29/2023

1. * I certify that I have read and understand the training document above: 
Resources (require CaneID):

- UDisclose User Guides & Job Aids (Box folder)
- Discloser Compliance Status Job Aid (PDF)
- Discloser Compliance Status Report (PowerBI)

Questions? Call the UDisclose Help Desk 305-243-0877
NSF Disclosure Requirement Clarification & Compliance

Lory Hayes
Director, Disclosures & Scholarly Activities Management (DSAM)
NSF Disclosure Requirement

- Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 23-1)
- Effective for proposals submitted on or after January 30, 2023
- Must disclose venture or other capital financings
- Qualtrics survey will be completed by all investigators submitting NSF proposals
  - Y/N responses
  - No identifying information will be collected
- RA will have access to a spreadsheet listing names
- If not completed, NSF proposal cannot be submitted
Designating Investigators for COI Review in the IBISResearch Grants Module

Laura Kozma
Associate Vice President
Research Administration
• All individuals responsible for the design, conduct or reporting must be identified by clicking “yes” when adding the person in IBIS

• If the FP was created prior to February 2022, review the personnel on the COI Disclosure Status to ensure all responsible people are listed
Upcoming Huron Upgrades and Implementation

Raquel Zamora
Sr. Manager, IT, Research Intelligence and Data Infrastructure (RIDi)
IACUC Implementation

Extended Timeline

In progress:

- Presentation to Champions January 2023
- Process analysis
- Data transformation
### IBISResearch Upgrades

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<tr>
<th>Sep</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>2023</th>
<th>Feb</th>
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<tbody>
<tr>
<td><strong>IRB Stabilization</strong></td>
<td>Sep 26 - Sep 29</td>
<td><strong>Finish configuration work for COI per IRB go-live</strong></td>
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<td>Sep 26 - Oct 6</td>
<td><strong>IRB Services Stabilization</strong></td>
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<td>Oct 6</td>
<td><strong>IRB Closeout</strong></td>
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<td><strong>Upgrade Development</strong></td>
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<td><strong>Re-baseline Staging and Preview</strong></td>
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<td><strong>Upgrade suite</strong></td>
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<td><strong>Agreements Customization Re-application and Testing</strong></td>
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<td><strong>COI Customization Re-application and Testing</strong></td>
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<td><strong>Grants Customization Re-application and Testing</strong></td>
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<td><strong>Internal Integration Regression Testing</strong></td>
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<td><strong>Contingency</strong></td>
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<td><strong>SF424 10.5 Upgrade</strong></td>
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<td><strong>SF424 10.5 Release</strong></td>
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<td>Dec 1 - Dec 8</td>
<td><strong>SF424 10.5.1 Release (Tentative)</strong></td>
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<td>Dec 8 - Dec 13</td>
<td><strong>Development and Internal Testing</strong></td>
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<td>Dec 20</td>
<td><strong>Client SF424 Testing in Staging</strong></td>
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<td></td>
<td><strong>Patch to Production and Preview</strong></td>
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<td><strong>Testing</strong></td>
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<td><strong>Client customization and feature testing</strong></td>
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<td>Dec 5 - Jan 5</td>
<td><strong>Final fixes from testing</strong></td>
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<td><strong>Deployment</strong></td>
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<td><strong>Dry run</strong></td>
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<td><strong>Code freeze</strong></td>
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<td><strong>Feb 10</strong></td>
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<td><strong>Upgrade Go-Live</strong></td>
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<td></td>
<td><strong>Designated Support Period</strong></td>
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IBISResearch Upgrades

**Date**
Upgrade beginning on February 10th, 2023 at 6:00 PM EST.

**Maintenance Window Duration**
- All sites, including IRB, will be down starting Friday, February 10th at 6:00 PM EST and will be back online by Monday, February 13th at 8:00 AM EST.
- An all clear will be sent to users as soon as the upgrade is completed, and all sites are back online.

**Training Resources:** Related to the upgrade can be found at the following links:
1. [Agreements 10.1 Help Links and Videos](#)
2. [Grants 10.1 Help Links and Videos](#)
3. [COI 10.3 Help Links and Videos](#)

**OVPRS Help Desk** (305-243-2314; OVPRSHelpdesk@miami.edu)
ORCID ID

Patty Atkinson
Research Navigator, Research Development + Education (RDE)
New Initiative to Implement ORCiD UM-Wide

Kick Off: Feb 9th

Sponsored by:

- Office of the VICE PROVOST for RESEARCH & SCHOLARSHIP
- Libraries
- Faculty Affairs
- Graduate School
**What is an ORCiD?**

**ORCiD: Open Researcher and Contributor ID**

- Registry of unique identifiers for researchers and scholars
- Persistent identifier to distinguish each researcher/scholar from all others
- Non-proprietary, not connected to specific database or entity
- Transparent, mobile, and community-based

**ORCiD**
Connecting Research and Researchers
Why ORCiD?

Why Should Researchers Use ORCiD?

- Distinguish you from other researchers
- Get full credit for your work – even when name or affiliation has changed
- Increase visibility of your work
- Keep track of all research outputs (publications, professional associations, grants, etc)
- Avoid re-entry of biographical & bibliographical data into multiple systems – ORCiD integrates with UM’s Faculty Success and Scholarship@Miami (Esploro) profiles
- Align with funding organizations, publishers, associations, etc that are requiring ORCiD use.
How to Sign Up

Sign Up and Affiliate with UM

• Use the ORCiD app developed for UM researchers. Available on phone, tablet, or computer.

https://miami.edu/orcid

• Walk through the steps to create a new or to connect an existing ORCiD to the University of Miami.

Connect your ORCID iD

Your ORCID Account will be connected with Scholarship@Miami, the University of Miami Libraries' research information hub & institutional repository. Having an ORCID iD will raise the level of discovery for your work and help us create a complete bibliographic record of your research.

Please choose one of the two options below to begin the process:

- I Have an ORCID iD
- I Don't Have an ORCID iD
Questions? Please contact:

**Angela Clark-Hughes**
Director, Rosenstiel School Library
Research Impact Strategist
UM Libraries
a.clark@miami.edu

**Patty Atkinson**
Research Navigator
Office of the VP for Research & Scholarship
navigator@miami.edu
AAHRPP Reaccreditation Site Visit

Kenia Viamonte
Director, Human Subject Research (HSRO)
Association for the Accreditation of Human Research Protection Programs (AAHRPP)

Scheduled for:

- Thursday, March 2\textsuperscript{nd} and Friday, March 3\textsuperscript{rd}

- Fully remote
- 2 site visitors
- 85+ interviewees
- Records review
General information everyone may be asked

- Who is the Institutional Official?
- Training requirements
- Reporting requirements
- Conflict of Interest
- Workflow
- Communication
- Systems
- Who to contact
• **Domain I** (Institution- i.e. Compliance units, HRPP components, ancillaries, resources)- 40 interviewees

• **Questions will surround policy & practice for:**
  – Conflict of interest (Institutional & Researcher/ study team)
  – Research Pharmacy
  – Monitoring
  – Auditing
  – Scientific design/ feasibility
  – Applicable local laws
  – Contracts

Upcoming Site Visit
• Domain II (Institutional Review board members and staff) -35 interviewees

• Questions will surround policy & practice for:

<table>
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<tr>
<th>Authority</th>
<th>Undue Influence</th>
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<tr>
<td>Suspensions/ Terminations</td>
<td>Reporting</td>
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<tr>
<td>Review Criteria/ Intervals</td>
<td>Expedited, Exempt, Full Board, Non Human Subject</td>
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<tr>
<td>Serious/ continuing noncompliance</td>
<td>Waivers/ Alterations of consent</td>
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<tr>
<td>FDA regulated research</td>
<td>Vulnerable Populations</td>
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<tr>
<td>Onboarding/ evaluations</td>
<td>Meeting operations/ preparations</td>
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<tr>
<td>Participant complaints</td>
<td>Adequacy of resources</td>
</tr>
</tbody>
</table>
• Domain III (Investigators, Study teams)- 10-20 interviewees
• Questions will surround policy & practice for:
  – Protocol training
  – Recruitment
  – Consenting
  – Equitable selection
  – Reporting requirements
  – FDA regulated research
Questions

AAHRPP contact: Kenia Viamonte
kviamonte@miami.edu

Human Subject Research Office (HSRO) | University of Miami