Agenda

- New Executive Director, Post-Award
- Advance Account Policy
- Updated Closeout Process
- Cost Sharing and Salary Over the Cap (post MSOM conversion process)
- Jackson Workorder Submission in IBISResearch
- Workorder/Subaward Request Form
- Subrecipient Commitment Form
- Subaward Submission Instructions
- Property Inventory
- ClinCard Participant Payment Mailbox
- Payroll Accounting Adjustments (PAA) Crossing Companies
- Effort Certification
- Upcoming Huron Upgrades and Implementation
- UM’s COI Policy, Disclosure Process & UDisclose System
New Executive Director
Post-Award

Laura Kozma
Associate Vice President
Research Administration
New Executive Director, Post-Award

Lionel Vera
Executive Director, Research Administration

• Effective December 1, 2022
• Lvera@miami.edu
Advance Account Policy

Laura Kozma
Associate Vice President
Research Administration
Changes to Policy

• Advance accounts now allowed for non-governmental contracts (except industry sponsored clinical trials)
• Clarified that export control approval may be required

Reminders

• Must have start date, reasonable assurance of funding and no significant issues/concerns
• Departments are responsible for covering all costs if not funded or if costs are unallowable

You can (and should) control what is actually charged to advance accounts!
Advance Account Policy

Go to https://ora.Miami.edu

- From the title bar, go to Policies
- Click on All RA Policies
- Scroll down to Advance Accounts Policy and click on the link

Please view the glossary to see a list of research administration terms.

- Advance Accounts Policy
- Application Deadline Policy
- Capital Equipment Policy
# Updated Closeout Process

## Deadline Timeline

**Direct federal** (includes all awards where the funding is provided from the federal agency to the University):

<table>
<thead>
<tr>
<th>Financial Reporting and Invoice Due Date:</th>
<th>Department close out:</th>
<th>ORA submission deadline date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>120 days after award/budget end date</td>
<td>60 days after award</td>
<td>90 days after award/budget end date</td>
</tr>
</tbody>
</table>

**All non federal, and federal funding provided to the University through a subaward:**

<table>
<thead>
<tr>
<th>Financial Reporting and Invoice Due Date:</th>
<th>Department close out:</th>
<th>ORA submission deadline date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;60 days after award/budget end date</td>
<td>30 days after award/budget date</td>
<td>60 days after award/budget end date</td>
</tr>
<tr>
<td>60 days after award/budget end date</td>
<td>30 days after award/budget date</td>
<td>45 days after award/budget end date</td>
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<tr>
<td>45 days after award/budget end date</td>
<td>15 days after award/budget date</td>
<td>30 days after award/budget end date</td>
</tr>
<tr>
<td>30 days after award/budget end date</td>
<td>15 days after award/budget date</td>
<td>21 days after award/budget end date</td>
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</tbody>
</table>
No expenses may be posted to the award after the 2nd email unless an exception is granted by Lionel Vera or Laura Kozma.

Exceptions should be requested *in advance* of the deadline.
Cost Sharing & Salary 
Over the Cap 
(post MSOM conversion process) 

Lionel Vera 
Executive Director, Research Administration
Tracking Cost Share vs Salary Over the Cap

**Before**

- Cost Share GR...1
- Salary Cap GR...2

**Current**

- Cost Share PG...1
- Salary Cap PG...2

GR...1

PG...1

PG...2
In order to comply with agency regulations regarding the timeliness of cost transfers, the policy established by the University requires all cost transfers to be submitted within 90 days of the transaction (see UM Policy ES). Exceptions to this policy must include this form with a complete explanation detailing the necessity of the cost transfer. An explanation that merely states “to correct error” or “to transfer to correct account” is not acceptable.

1. Why was this expense originally charged to the account from which it is now being transferred?

   

2. Why should this charge be transferred to the proposed account? A correlation must be drawn between the initial charge and the account to which it is being transferred.

   

3. Why is this cost transfer being requested more than 90 calendar days after the date of transaction on a financial statement?

   

4. What action is needed to eliminate the future need for cost transfers of this type? Is this action being taken?
Required Post Award Forms

Chapter II / Part 200

Items such as **office supplies, postage, local telephone costs** and memberships must normally be treated as indirect (F&A) costs.

UNIVERSITY OF MIAMI

OFFICE OF RESEARCH ADMINISTRATION

GENERAL PURPOSE COSTS - DIRECT CHARGING (August 2021)

For Office of Research Administration:
- If continuation page(s) are attached, please check box and include account number in the attachment.
- Award #/Grant # (if pending, insert N/A)

Principal Investigator:
- Project Start Date:
- Project End Date:
- Agency Name: (Complete only if Award/Grant # has not been assigned)
- IBIS/Research FPI (Assigned by the Office of Research Administration: complete only if Award/Grant # has not been assigned)

I. Is this a Major Project?
- Yes □ No □ If yes, please provide a narrative below. Please be specific, as external auditors will review this documentation.

II. Exemption for (check one):
- Proposal (attached)
- Retroactive Expenditure
- Current Expenditure

An exemption is documented below to charge these costs that are considered general purpose as direct costs to the above account or grant proposal when awarded:

- Administrative/Clerical Salaries $ This category can only be used when the research award is a federal Major Project or, if a State/Local award costs that are allowed by the agency.
- Office Supplies $ □
- General Purpose Equipment $ □
- Subscriptions Books/Periodicals $ □
- Telephone instrument $ □
- Computer/network connections $ □
- Other $ □

□ Membership Dues $ □
□ Postage $ □
□ Cellular $ □
□ Local phone calls $ □
□ Pager/Beep $ □

Explanation of Need: For each item checked above, please provide an explanation that shows the unique, extraordinary circumstances based on scientific/technical requirements of the project, which necessitate charging these general-purpose costs.
Jackson Workorder Submission in IBISResearch

K. Brandon Strickland, J.D.
Executive Director, Research Administration
Department Administrators are specifically responsible to Create the Jackson Workorder Agreements in IBISResearch.

https://www.research.miami.edu/systems/index.html
Jackson Workorder Subaward Request Form

K. Brandon Strickland, J.D.
Executive Director, Research Administration
Jackson Workorder/Subaward Request Form

Jackson Workorder/Subaward Request Form must be completed and routed with ALL new subaward requests in IBISResearch

IBISResearch: https://www.research.miami.edu/systems/index.html
Updated Subrecipient Commitment Form

K. Brandon Strickland, J.D.
Executive Director, Research Administration
The Jackson Workorder/Subaward Request Form and the Subrecipient Commitment Form can be found on the RA website https://www.ora.miami.edu/index.html
The Subrecipient Commitment Form must be completed and routed with ALL new subaward requests in IBISResearch.
Subaward Submission Instructions

K. Brandon Strickland, J.D.
Executive Director, Research Administration
When UM anticipates subcontracting to another entity, the following processes apply to our Principal Investigators/Departmental Personnel:

### Proposal Stage
1. Confirm subaward determination is appropriate and in accordance with Subrecipient vs. Contractor guidance.
2. Obtain scope of work, budget, budget justification and Subrecipient Commitment Form from the subrecipient.
3. Route these documents with proposal package to RA Pre-Award via IBISResearch.

- Subawards not included in the proposal may require separate, after the fact sponsor approval. Such requests must be escalated to Post Award.

### Award/Subaward Stage
1. Confirm notice of award or agreement funding subaward is received or executed.
2. Verify subrecipient is an approved UM vendor by contacting UM Purchasing.
3. Complete Outbound Subaward/Jackson Work Order Request Form.
4. Submit Outbound Subagreement request in IBISResearch, attaching the completed Outbound Subaward/Jackson Work Order Request Form, Statement of Work (SOW), budget, budget justification and other relevant documents.

- All subrecipients receiving federal funding must be registered at SAM.gov prior to subaward issuance.

### Award Management Stage
1. Monitor subrecipients technical performance, compliance with contractual terms, and invoicing throughout the project, subaward throughout the project.
2. Escalate any concerning issues to Post Award.

### Close-Out Stage
1. Review and approve the Subrecipient Closeout Checklist, provided by Post-Award. Provide Checklist and final documents to Post Award.
2. If there are errors or concerns, facilitate a resolution with the subrecipient, involving RA as needed.

[https://www.ora.miami.edu/about-ora/Pre-Award/contracts/subcontracting-to-another-entity/index.html](https://www.ora.miami.edu/about-ora/Pre-Award/contracts/subcontracting-to-another-entity/index.html)
Property Inventory

Kimberly Croft
Executive Director, Research Accounting and Cost Analysis
Tagging and Certification

SBM Responsibility
ClinCard-Participant Payments
Mailbox

Kimberly Croft
Executive Director, Research Accounting and Cost Analysis
ClinCard is a reloadable debit card that is available for use as a method to reimburse research participants. It is an alternative to other approved methods, which are described in the University’s Petty Cash Policy.

For ClinCard questions

ClinCard Mailbox: participantpayments@miami.edu
Payroll Accounting Adjustments (PAA) Crossing Companies

Kimberly Croft
Executive Director, Research Accounting and Cost Analysis
If you have a payroll accounting adjustment that crosses companies, you will receive a validation error in Workday.

If this happens, please note that you must reach out to me (kcroft@miami.edu), so I can work with EBS to lift the validations for you.
Effort Certification

Kimberly Croft
Executive Director, Research Accounting and Cost Analysis
Effort Certification

Reporting period: June 1 – November 30

Certification period: December 12 – February 10

Exemptions: Must be requested no later than February 10

Non-compliance: Salaries/wages will be charged back to the department
Upcoming Huron Upgrades and Implementation

Raquel Zamora
Sr. Manager, IT, Research Intelligence and Data Infrastructure (RIDi)
• IACUC Implementation, target go live August ‘23
• Animal Operations Implementation likely to start Fall ‘23
In progress:

- Process analysis, design specifications, reporting needs, system integrations (finalize “Fit Gap”)
- Prepare for Champions meeting Jan/early Feb ‘23
## IBISResearch Upgrades

### IRB Stabilization
- **Sep 26 - Sep 29**: Finish configuration work for COI per IRB go-live
- **Sep 26 - Oct 6**: IRB Services Stabilization
- **Oct 6**: IRB Closeout

### Upgrade Development
- **Re-baseline Staging and Preview**
  - Upgrade suite
  - Agreements Customization Re-application and Testing
  - COI Customization Re-application and Testing
  - Grants Customization Re-application and Testing
  - Internal Integration Regression Testing
  - Contingency

### SF424 10.5 Upgrade
- **Dec 1 - Dec 8**: SF424 10.5 Release
- **Dec 8 - Dec 13**: Development and Internal Testing
- **Dec 20**: Client SF424 Testing in Staging

### SF424 10.5.1 Release (Tentative)
- **Dec 1 - Dec 8**: Development and Internal Testing
- **Dec 20**: Patch to Production and Preview

### Testing
- **Dec 5 - Jan 5**: Client customization and feature testing
- **Jan 5 - Jan 12**: Final fixes from testing

### Deployment
- **Feb 6**: Upgrade Go-Live
- **Designated Support Period**

### Grant Deadline
- 2023/Jan
<table>
<thead>
<tr>
<th>Solution</th>
<th>Highlights</th>
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| SF424 v10.5   | • Standard and custom data mapping from the Huron Grants solution to SF424 forms  
• Continuously updated form support for NIH and other agencies  
• Subaward budget import  
• Validation checks based on Grants.Gov requirements and submission protocols  
• Web service validation for applications covered by the NIH validation service  
• Support for multi-project proposals  
• Proposal transmission with all science attachments to Grants.gov  
• Feedback from Grants.gov on submission success  
• New versions of Forms H  
• OMB updates |
<table>
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<tr>
<th>Solution</th>
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<tr>
<td>Grants v10.1</td>
<td>• Online budgeting tools for sponsor, sub-recipient, and cost-sharing&lt;br&gt;• Proposal and award workflows that support reviews, notifications, and milestone triggers&lt;br&gt;• Regulatory compliance checks&lt;br&gt;• Grants.gov and NIH validation checks&lt;br&gt;• Data mapping to SF424 forms&lt;br&gt;• Proposal submission, including system-to-system via grants.gov&lt;br&gt;• New export control and foreign activity monitoring questions on the Compliance Review SmartForm view&lt;br&gt;• Award budget reconciliation&lt;br&gt;• Complex projects improvements&lt;br&gt;• “Certify” activity available for PIs on funding proposals&lt;br&gt;• Sub-recipient monitoring</td>
</tr>
<tr>
<td>Solution</td>
<td>Highlights</td>
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| Agreements v10.1 | **Organization Based Access Management**  
• A new Responsible department/division/institute field appears in SmartForms  
• Record Agreements administrative editors on each Organization  
• Read and Edit access is granted to agreements for administrative editors  
**Mass Personnel Updates**  
• Adjust owner, collaborators, and primary contacts on many agreements at once  
• Accessible by Agreements Data Managers on the new Central Actions page  
**Primary Contact and Collaborator Management**  
• A new Manage Access activity allows changes to personnel assignments outside of the amendment process  
• Creator has been renamed Primary Contact  
• Changes in security, inbox rules, and amendment handling for personnel assignments |
<table>
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<tr>
<td>COI v10.3</td>
<td>• New workflow templates allow definition of sequential review workflow steps for certifications and Pre-Approval Requests</td>
</tr>
<tr>
<td></td>
<td>• Review workflow displayed in workspace for certifications and PARs</td>
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<td></td>
<td>• When a certification is withdrawn, a clarification request for the certification is now removed from the discloser’s Disclosure Profile</td>
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<td></td>
<td>• COI Admins can discard their own PARs in the Pre-Submission state</td>
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<td></td>
<td>• Disclosure Profile update reminders are reconfigured so that they are not dependent on the previous reminder send date and, rather, are calculated from the date the DP went into the Action Required state.</td>
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UM’s COI policy, Disclosure Process, & UDisclose System

Lory Hayes
Director, Disclosures & Scholarly Activities Management (DSAM)
UM’s Comprehensive COI Policy

- **Conflict of Interest, Conflict of Commitment, Foreign Influence, and Institutional Conflict of Interest Policy**

- Approved by the UM Faculty Senate and Board of Trustees

- 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**

- Separate UHealth and Scholarly Activities (includes research) sections

- Promulgated January, 2022
96% of full-time faculty have completed the disclosure process.
Reminder notifications will be sent to those in “Action Required” state.

Resources (require CaneID):
- UDisclose User Guides & Job Aids (Box folder)
- Discloser Compliance Status Job Aid (PDF)
- Discloser Compliance Status Report (PowerBI)
Open Forum Questions