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VPRS Administrative Updates

November 29, 2022

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

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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*

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Advance Account Policy

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

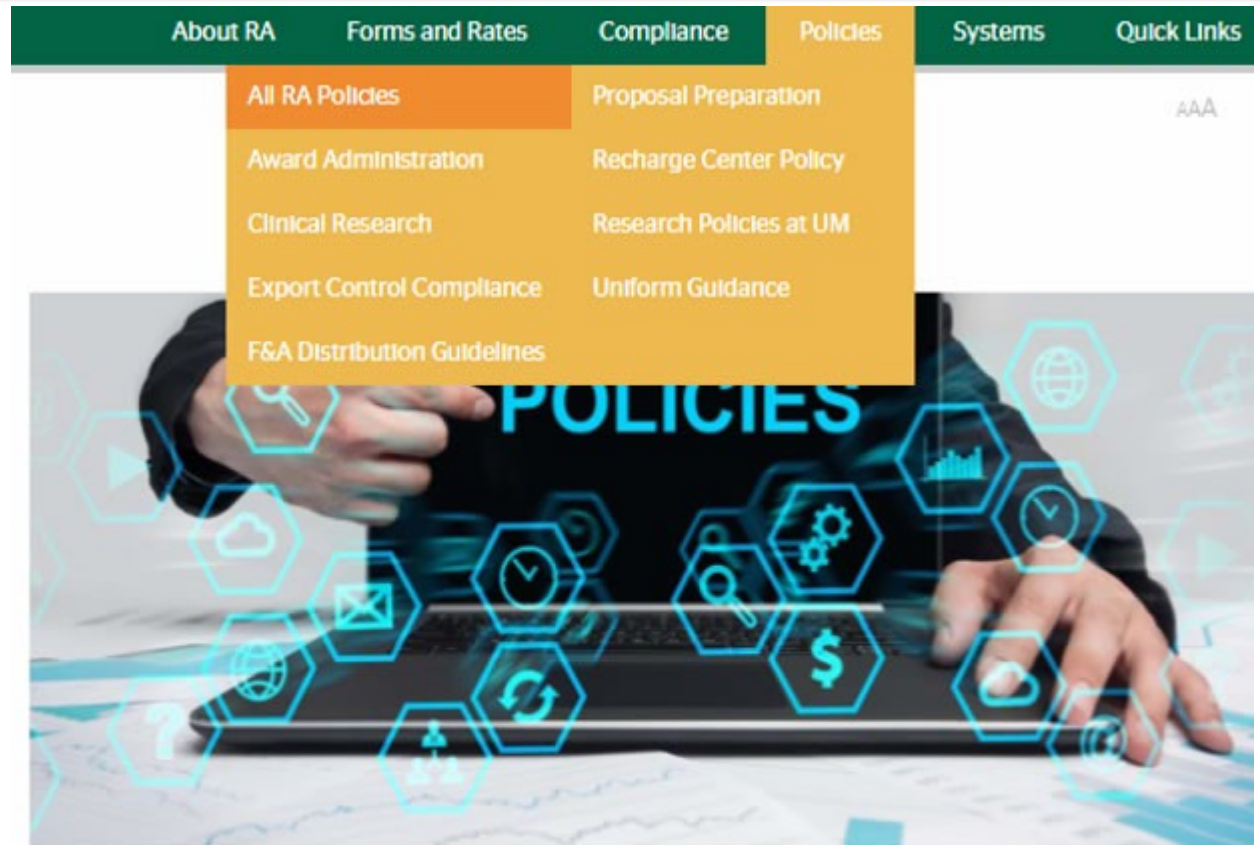
You can (and should) control what is actually charged to advance accounts!

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

Laura Kozma

*Associate Vice President
Research Administration*

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Updated Closeout Process

Deadline Timeline

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

Financial Reporting and Invoice Due Date:	Department close out:	ORA submission deadline date:
120 days after award/budget end date	60 days after award	90 days after award/budget end date

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

Financial Reporting and Invoice Due Date:	Department close out:	ORA submission deadline date:
>60 days after award/budget end date	30 days after award/budget date	60 days after award/budget end date
60 days after award/budget end date	30 days after award/budget date	45 days after award/budget end date
45 days after award/budget end date	15 days after award/budget date	30 days after award/budget end date
30 days after award/budget end date	15 days after award/budget date	21 days after award/budget end date



Updated Closeout Process

Research Administration 1st Email

- At or close to time of award end date
- Reminder to complete all closeout documents
- Deadline for when documents are due to Research Administration

Research Administration 2nd Email

- After the deadline date
- Final reconciliation and other relevant information

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*

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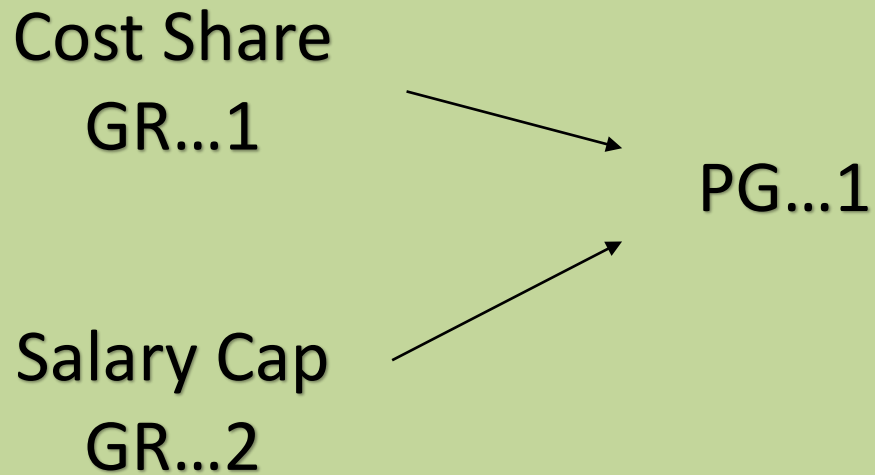
Cost Sharing & Salary Over the Cap (post MSOM conversion process)

Lionel Vera

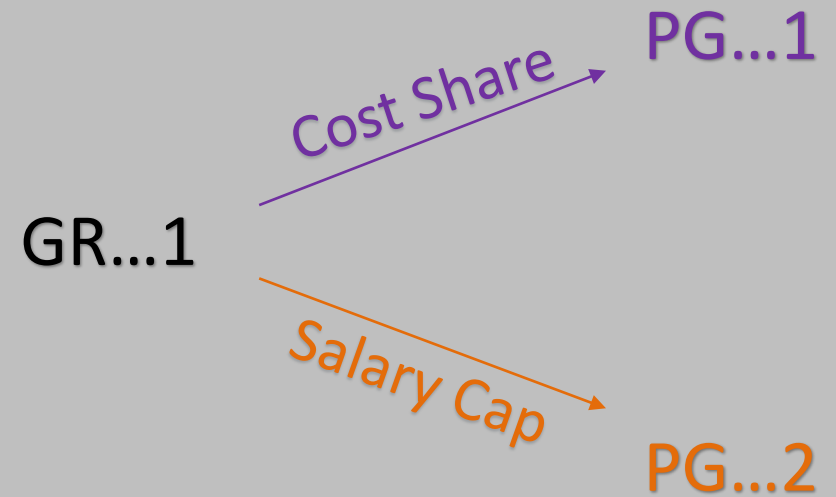
*Executive Director, Research
Administration*

Tracking Cost Share vs Salary Over the Cap

Before



Current



Required Post Award Forms

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90 Day Rule Justification Memo Form

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 [FS](#)). 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

Previous / Next /

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

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OFFICE OF RESEARCH ADMINISTRATION

GENERAL PURPOSE COSTS - DIRECT CHARGING (August 2021)

To: Office of Research Administration

- If Continuation page(s) are attached, please check box and include account number in the attachment.

Principal Investigator: _____

Award #/Grant # (if pending, insert N/A) _____

Project Start Date: _____

Project End Date: _____

Agency Name: (Complete only if Award/Grant # has not been assigned) _____

IBISResearch FP# (Assigned by the Office of Research Administration- complete only if Award/Grant # has not been assigned) _____

I. Is this a Major Project?

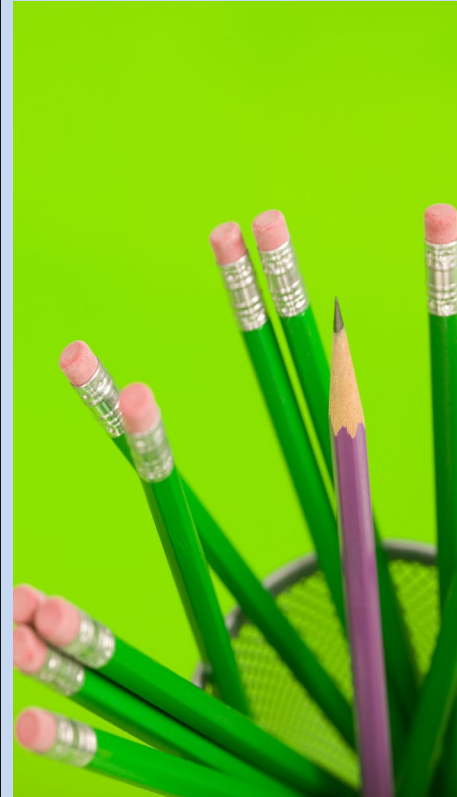
Yes No If yes, please provide a narrative below. Please be specific, as external auditors will review this documentation.

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 \$ _____ Membership Dues \$ _____
- General Purpose Equipment \$ _____ Postage \$ _____
- Subscriptions Books/Periodicals \$ _____ Cellular \$ _____
- Telephone instrument \$ _____ Local phone calls \$ _____
- Computer/network connections \$ _____ Pager/Beeper \$ _____
- Other \$ _____ Please specify other: _____

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

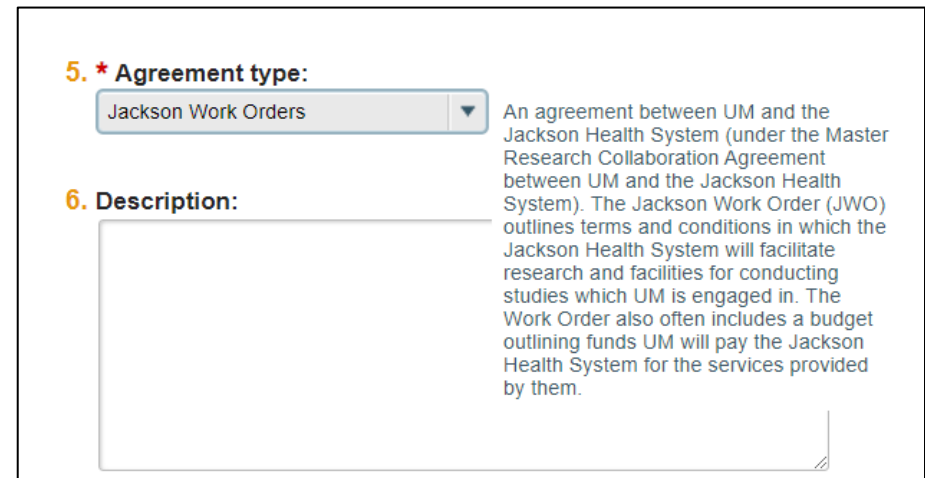
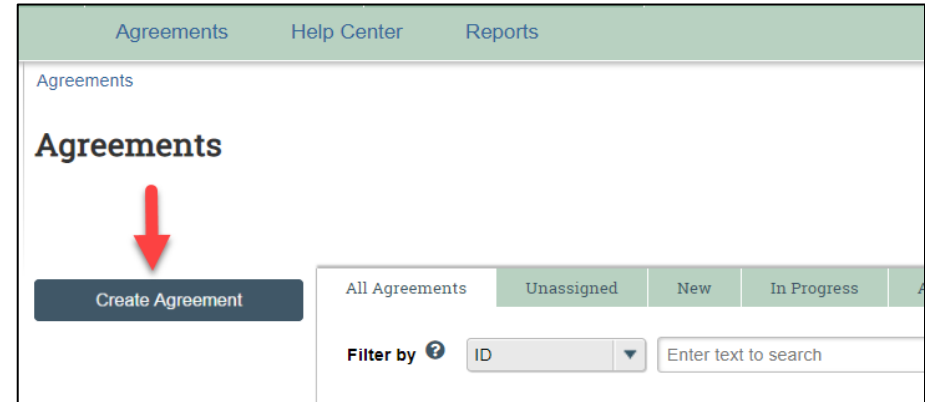
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K. Brandon Strickland, J.D.
*Executive Director, Research
Administration*

Jackson Workorder Submission

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


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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

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 OFFICE OF RESEARCH ADMINISTRATION

OUTBOUND SUBAWARD/JACKSON WORK ORDER REQUEST FORM
10/17/2022

UM Project Requesting Subaward/Work Order	
UM PI Information:	UM Project Information
Name: <input type="text"/>	Award Number: <input type="text"/>
Academic Unit: <input type="text"/>	Grant ID: <input type="text"/>
Please establish a: <input type="text"/>	
<input type="text"/>	

Outbound Subaward
Jackson Work Order

IBISResearch: <https://www.research.miami.edu/systems/index.html>



Updated Subrecipient Commitment Form

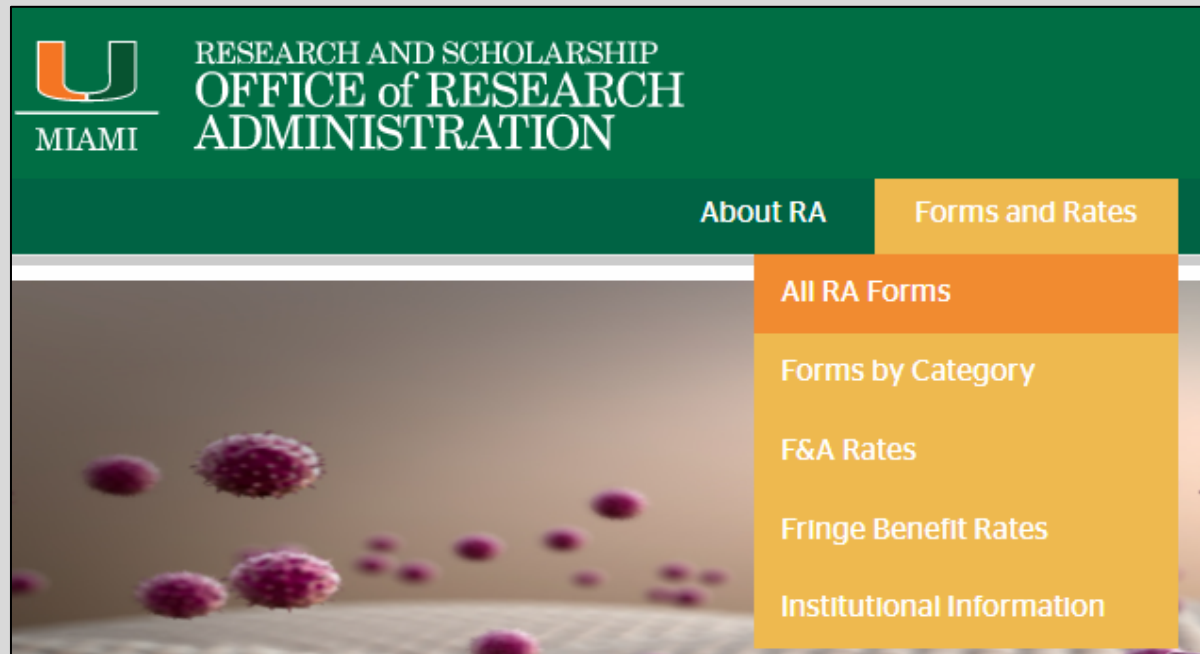
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K. Brandon Strickland, J.D.
*Executive Director, Research
Administration*


Updated Subrecipient Commitment Form

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>



Updated Subrecipient Commitment Form

The Subrecipient Commitment Form must be completed and routed with ALL new subaward requests in IBISResearch


OFFICE OF RESEARCH ADMINISTRATION
SUBRECIPIENT COMMITMENT FORM Revised: 11/29/22

Please complete and return this form to the sender.

PROPOSAL INFORMATION

University of Miami Principal Investigator:

Awarding Agency:

Proposal Title:

Proposed Period of Performance: Start Date: End Date:

SUBRECIPIENT INFORMATION

Subrecipient Legal Name: Select Country:

Subrecipient Address: Zip Code:

State: City: EIN#: UEI#:

Subrecipient Principal Investigator Name: Congressional District:

Email: Phone:

Amount of Funding Requested by Subrecipient: \$ Cost Sharing Provided by Subrecipient (if applicable): \$

PROPOSAL DOCUMENTS AND INFORMATION (Please attach a copy)

The following documents are included in our proposal submission and included in the below certifications:

Statement of work Budget and Budget Justification Other

Human Subjects: IRB Approval Date: Animal Subjects: IACUC Approval Date:

rDNA: rDNA Approval Date: IBC: IBC Approval Date:

HUMAN SUBJECTS DATA

Human Subjects Data will be exchanged between the parties: If Yes, will Human Subjects Data be exchanged?
 From Subrecipient to Miami: From Miami to Subrecipient:

Please identify the type of Human Subjects data to be shared:

ADDITIONAL PROPOSAL SPECIFIC INFORMATION

Does this project contain a potential Conflict of Interest? Yes No

Is this project considered Basic/Fundamental Research? Yes No

CONFLICT OF INTEREST

Financial Conflict of Interest (FCOI) policy complies with PHS, DOE, and/or NSF requirements.

If the subrecipient **does not** have an active and/or enforced conflict of interest policy, the Investigator(s) involved in the design, conduct or reporting of this work hereby needs to comply with the University of Miami's (UM) policies and procedures relating to financial conflicts of interest. In accordance with this commitment, each investigator as defined in UM's policy has to complete UM's conflict of interest training and the disclosure process prior to submission of the proposal for funding. No funds will be disbursed until the subrecipient has satisfactorily completed UM's training and disclosure process and all COI concerns have been resolved. Questions about the COI policy or procedures should be directed to UM's Disclosures & Scholarly Activities Management (DSAM) at 305-243-0877.



Updated Subrecipient Commitment Form

UNIVERSITY OF MIAMI
OFFICE OF RESEARCH ADMINISTRATION

SUBRECIPIENT COMMITMENT FORM Page 2

FDP MEMBERSHIP

FDP Member? Yes No

The Federal Demonstration Partnership (FDP) is a cooperative initiative among federal agencies and institutional recipients of federal funds. FDP Members maintain a public organizational profile containing entity-based information in the FDP Expanded Clearinghouse: <https://fdpclearinghouse.org/>.

AUTHORIZED REPRESENTATIVE APPROVAL

In signing below and offering to participate in this research program, the Subrecipient certifies that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from receiving funds from any federal department or agency and are not delinquent on any federal debt.

The information, certifications and representations above have been read, signed and made by an authorized official of the Subrecipient named herein.

The appropriate programmatic and administrative personnel involved in this application are aware of agency policy in regard to subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies.

Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the Subrecipient's own risk.

Signature of Subrecipient's Authorized Official	Date	Email
Name and Title of Authorized Official		Phone

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OFFICE OF RESEARCH ADMINISTRATION

SUBRECIPIENT COMMITMENT FORM Page 2

FDP MEMBERSHIP

FDP Member? Yes No

The Federal Demonstration Partnership (FDP) is a cooperative initiative among federal agencies and institutional recipients of federal funds. FDP Members maintain a public organizational profile containing entity-based information in the FDP Expanded Clearinghouse: <https://fdpclearinghouse.org/>.

AUDIT STATUS

Subrecipient conducts an annual audit in accordance with the Uniform Guidance (UG).
(Please provide the URL link to a complete copy of your most recent audit report or attach a complete copy.)
URL: _____

Most recent fiscal year completed: FY _____ Were any audit findings reported? Yes No
(If "Yes," attach an explanation using Comments below.)

Subrecipient has not conducted an annual audit in accordance with the UG.
Subrecipient is a:

- Non-profit entity (under federal funding threshold)
- Foreign entity
- For profit entity
- Government entity

NOTE: Subrecipient will be required to confirm that it is not subject to the UG audit requirements and would be subject to an audit if a Subaward is issued.

FACILITIES AND ADMINISTRATION RATE AND FRINGE BENEFIT RATE

Facilities and Administrative Rate: _____ This rate is included in this proposal and has been calculated based on:

- Our federally-negotiated F&A rates for this type of work, or a reduced F&A rate that we hereby agree to accept, the link to which is provided below.
URL: _____
- Our federally-negotiated F&A rates for this type of work, or a reduced F&A rate that we hereby agree to accept, the agreement for which is attached herein.
- Uniform Guidance requirement the use of a 10% de minimis rate (or an 8% de minimis in the case of foreign institutions) in the absence of a federally-negotiated rate agreement for indirect costs.

Fringe Benefit Rates

- Our federally-negotiated fringe rates for this type of work, or a reduced fringe rate that we hereby agree to accept, the link to which is provided below.
URL: _____
- Our federally-negotiated fringe rates for this type of work, or a reduced fringe rate that we hereby agree to accept, the agreement for which is attached herein.
- Our fringe rates established by policy or statute for this type of work, or a reduced fringe rate that we hereby agree to accept, the link to which is provided below.
URL: _____

AUTHORIZED REPRESENTATIVE APPROVAL

In signing below and offering to participate in this research program, the Subrecipient certifies that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from receiving funds from any federal department or agency and are not delinquent on any federal debt.

The information, certifications and representations above have been read, signed and made by an authorized official of the Subrecipient named herein.

The appropriate programmatic and administrative personnel involved in this application are aware of agency policy in regard to subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies.

Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the Subrecipient's own risk.

Signature of Subrecipient's Authorized Official	Date	Email
Name and Title of Authorized Official		Phone



Subaward Submission Instructions

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K. Brandon Strickland, J.D.
*Executive Director, Research
Administration*

Subaward Submission Instructions

When UM anticipates subcontracting to another entity, the following processes apply to our Principal Investigators/Departmental Personnel.

Proposal Stage	<ol style="list-style-type: none">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. <ul style="list-style-type: none">▪ 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	<ol style="list-style-type: none">1. Confirm notice of award or agreement funding subaward is received or executed.2. Verify subrecipient is an approved UM vendor by contacting UM Purchasing3. 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. <ul style="list-style-type: none">▪ All subrecipients receiving federal funding must be registered at SAM.gov prior to subaward issuance.
Award Management Stage	<ol style="list-style-type: none">1. Monitor subrecipient's 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	<ol style="list-style-type: none">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>



Property Inventory

Kimberly Croft

*Executive Director, Research
Accounting and Cost Analysis*

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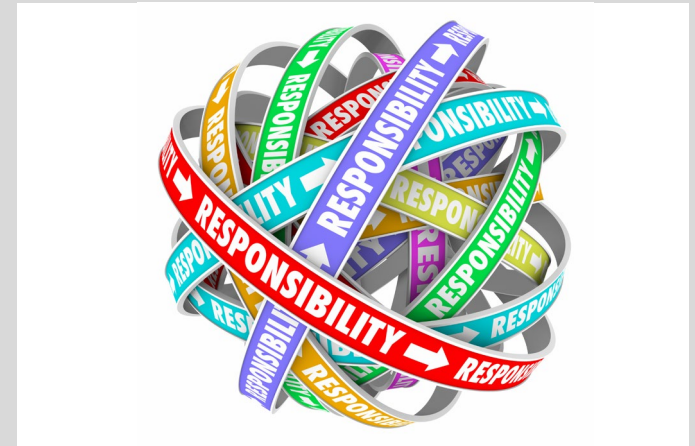


Property Inventory

Tagging and Certification



SBM Responsibility



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ClinCard-Participant Payments Mailbox

Kimberly Croft

*Executive Director, Research
Accounting and Cost Analysis*

ClinCard – Participant Payments Mailbox

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

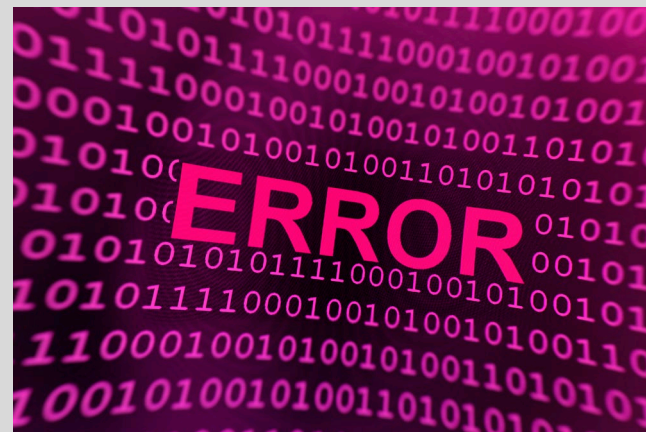
*Executive Director, Research
Accounting and Cost Analysis*

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PAAs Crossing Companies

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*

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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

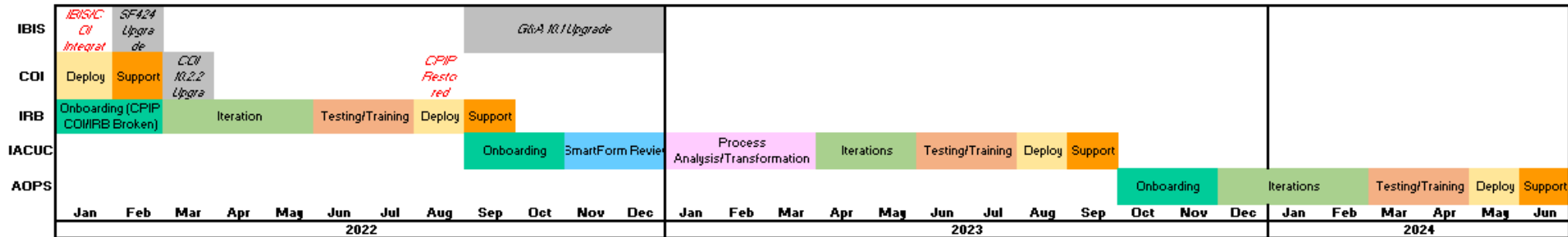
*Sr. Manager, IT, Research
Intelligence and Data
Infrastructure (RIDI)*

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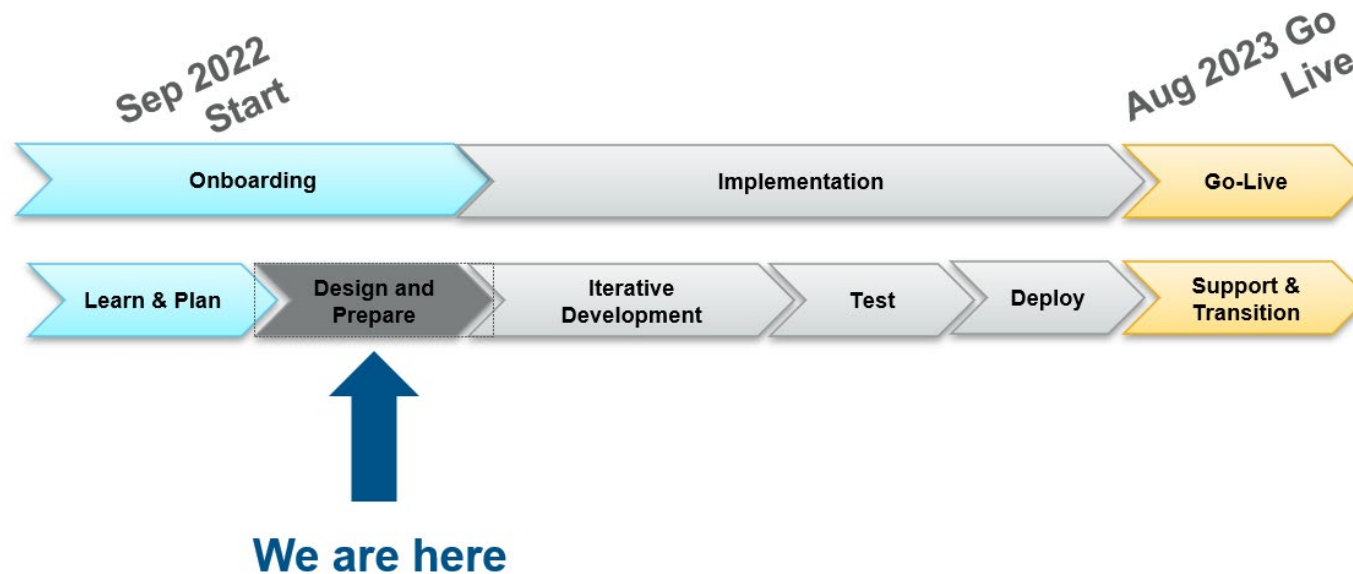
Huron Solutions Roadmap

HURON RESEARCH SUITE TIMELINE



- IACUC Implementation, target go live August '23
- Animal Operations Implementation likely to start Fall '23

IACUC Implementation

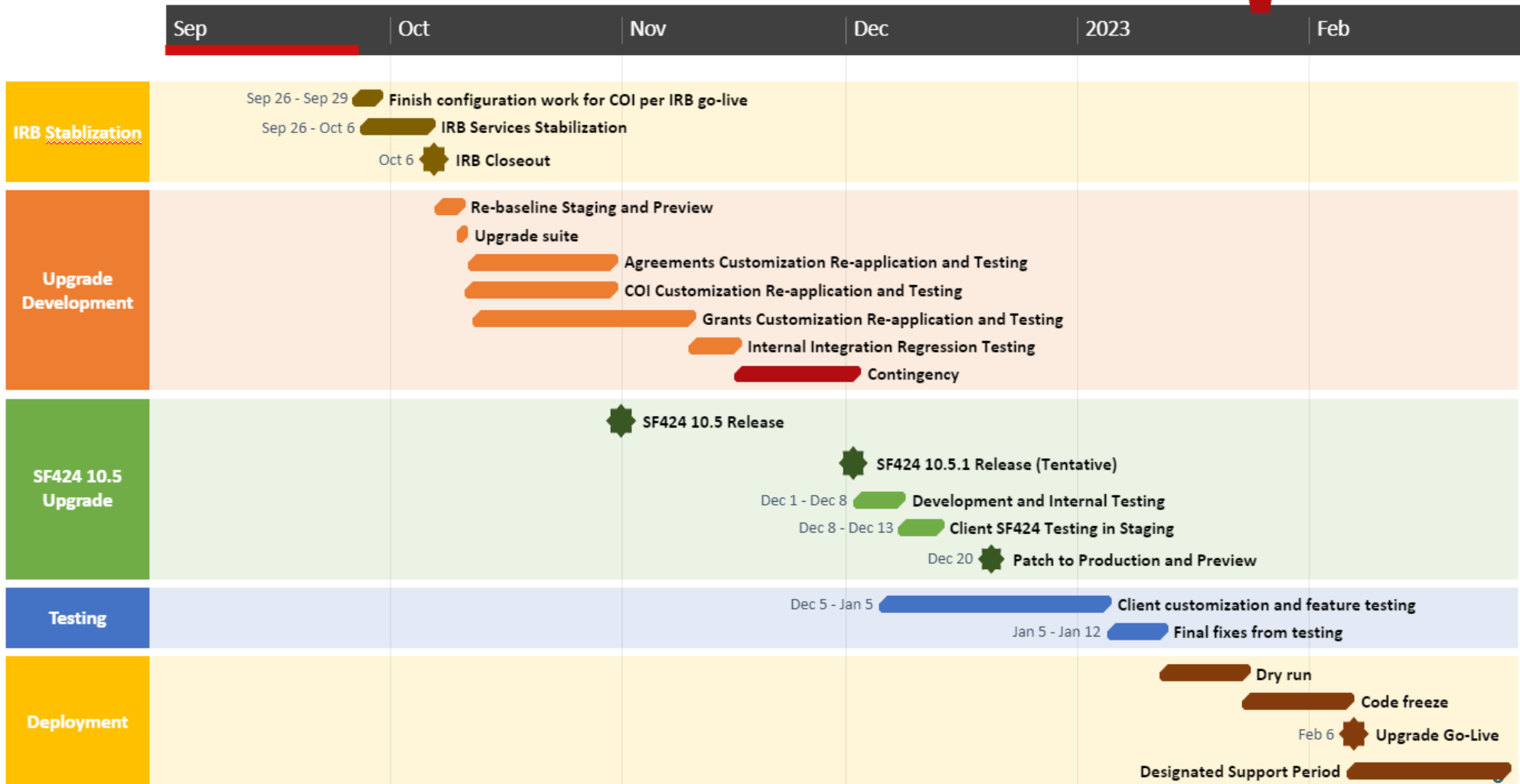


In progress:

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

IBSResearch Upgrades

Grant Deadline
2023/Jan



IBISResearch Upgrades

Solution	Highlights
SF424 v10.5	<ul style="list-style-type: none">• 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



IBISResearch Upgrades

Solution	Highlights
Grants v10.1	<ul style="list-style-type: none">• Online budgeting tools for sponsor, sub-recipient, and cost-sharing• Proposal and award workflows that support reviews, notifications, and milestone triggers• Regulatory compliance checks• Grants.gov and NIH validation checks• Data mapping to SF424 forms• Proposal submission, including system-to-system via grants.gov• New export control and foreign activity monitoring questions on the Compliance Review SmartForm view• Award budget reconciliation• Complex projects improvements• “Certify” activity available for PIs on funding proposals• Sub-recipient monitoring

IBISResearch Upgrades

Solution	Highlights
Agreements v10.1	<p data-bbox="401 301 1377 354">Organization Based Access Management</p> <ul data-bbox="495 362 1913 629" style="list-style-type: none"><li data-bbox="495 362 1913 462">• A new Responsible department/division/institute field appears in SmartForms<li data-bbox="495 476 1913 525">• Record Agreements administrative editors on each Organization<li data-bbox="495 534 1913 629">• Read and Edit access is granted to agreements for administrative editors <p data-bbox="401 648 995 701">Mass Personnel Updates</p> <ul data-bbox="495 709 2011 929" style="list-style-type: none"><li data-bbox="495 709 2011 815">• Adjust owner, collaborators, and primary contacts on many agreements at once<li data-bbox="495 823 2011 929">• Accessible by Agreements Data Managers on the new Central Actions page <p data-bbox="401 938 1514 991">Primary Contact and Collaborator Management</p> <ul data-bbox="495 999 1839 1280" style="list-style-type: none"><li data-bbox="495 999 1839 1105">• A new Manage Access activity allows changes to personnel assignments outside of the amendment process<li data-bbox="495 1113 1472 1162">• Creator has been renamed Primary Contact<li data-bbox="495 1170 1839 1280">• Changes in security, inbox rules, and amendment handling for personnel assignments

IBISResearch Upgrades

Solution	Highlights
COI v10.3	<ul style="list-style-type: none">• New workflow templates allow definition of sequential review workflow steps for certifications and Pre-Approval Requests• Review workflow displayed in workspace for certifications and PARs• When a certification is withdrawn, a clarification request for the certification is now removed from the discloser's Disclosure Profile• COI Admins can discard their own PARs in the Pre-Submission state• 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.



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UM's COI policy, Disclosure Process, & UDisclose System

Lory Hayes

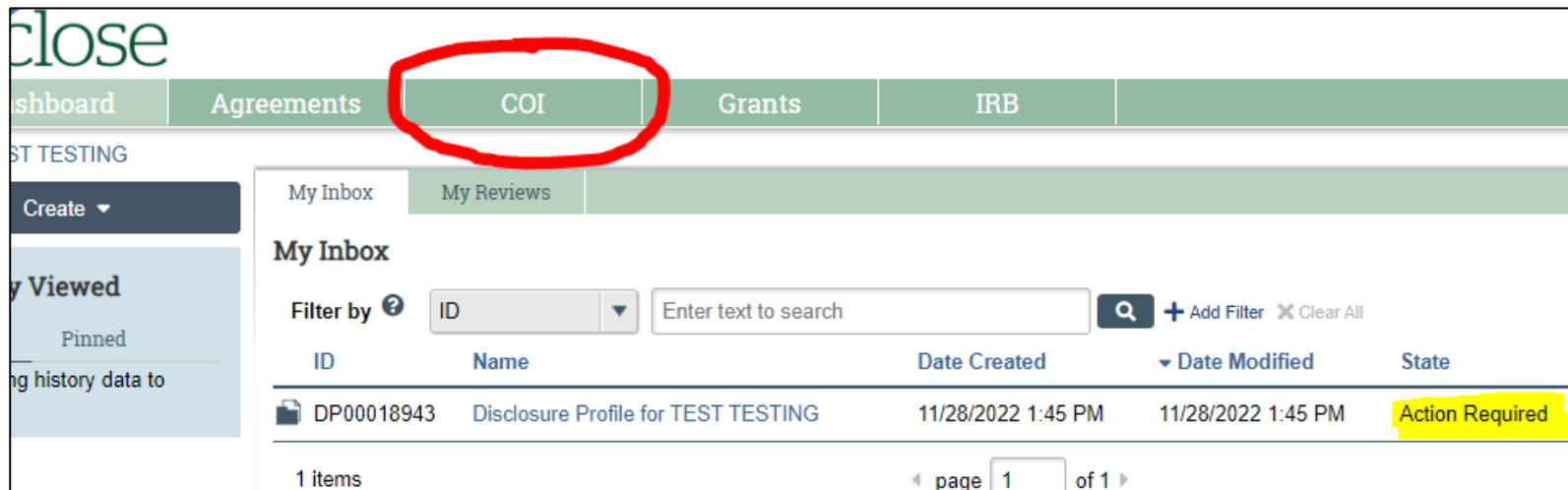
*Director, Disclosures & Scholarly
Activities Management
(DSAM)*

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

UDisclose System

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



The screenshot shows the UDisclose system interface. The top navigation bar includes 'Dashboard', 'Agreements', 'COI', 'Grants', and 'IRB'. The 'COI' tab is highlighted with a red circle. Below the navigation bar, there are tabs for 'My Inbox' and 'My Reviews'. The 'My Inbox' section is active, showing a table with one item. The table has columns for 'ID', 'Name', 'Date Created', 'Date Modified', and 'State'. The item in the table is 'DP00018943 Disclosure Profile for TEST TESTING', created on 11/28/2022 at 1:45 PM, and its state is 'Action Required', which is highlighted in yellow. The bottom of the table shows '1 items' and 'page 1 of 1'.

ID	Name	Date Created	Date Modified	State
DP00018943	Disclosure Profile for TEST TESTING	11/28/2022 1:45 PM	11/28/2022 1:45 PM	Action Required

Resources (require CaneID):

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

Open Forum Questions

