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VPRS Administrative Updates

February 10, 2023

Agenda

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

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New Post Award Director

Laura Kozma

*Associate Vice President
Research Administration*

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New Post Award Director



Stephane Malebranche

Director, Post Award

Email: smalebranche@miami.edu

Telephone: 305-284-3223

F&A Costs on Sponsored Awards

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Lionel Vera

*Executive Director
Research Administration*

F&A Disguised as Interdepartmental Charges



UG Language

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.

Source: <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200>.

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.



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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

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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



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Research Administration Curriculum Deadline

Laura Kozma

*Associate Vice President
Research Administration*

Research Administration at the U

- 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!

**DEADLINE
*EXTENDED***

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NSF Safe and Inclusive Working Environment for Off-Campus Research

Brandon Strickland

*Executive Director
Research Administration*

NSF Safe Working Environment

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".

Developing a Plan

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

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*

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NIH Data Management Plan

NIH Data Management and Sharing (DMS) Policy - Effective for New and Competing Applications due on/after January 25, 2023.

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.

DMS Policy Applies*	DMS Policy Does Not Apply
<ul style="list-style-type: none">• Research Projects	<ul style="list-style-type: none">• Training (T)
<ul style="list-style-type: none">• Some Career Development Awards (Ks)	<ul style="list-style-type: none">• Fellowships (F)
<ul style="list-style-type: none">• Small Business (SBIR/STTR)	<ul style="list-style-type: none">• Construction(CO6)
<ul style="list-style-type: none">• Research Centers	<ul style="list-style-type: none">• Resources (Gs)
	<ul style="list-style-type: none">• Research Related Infrastructure Programs (SO6)

NIH Data Management Plan

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](#)

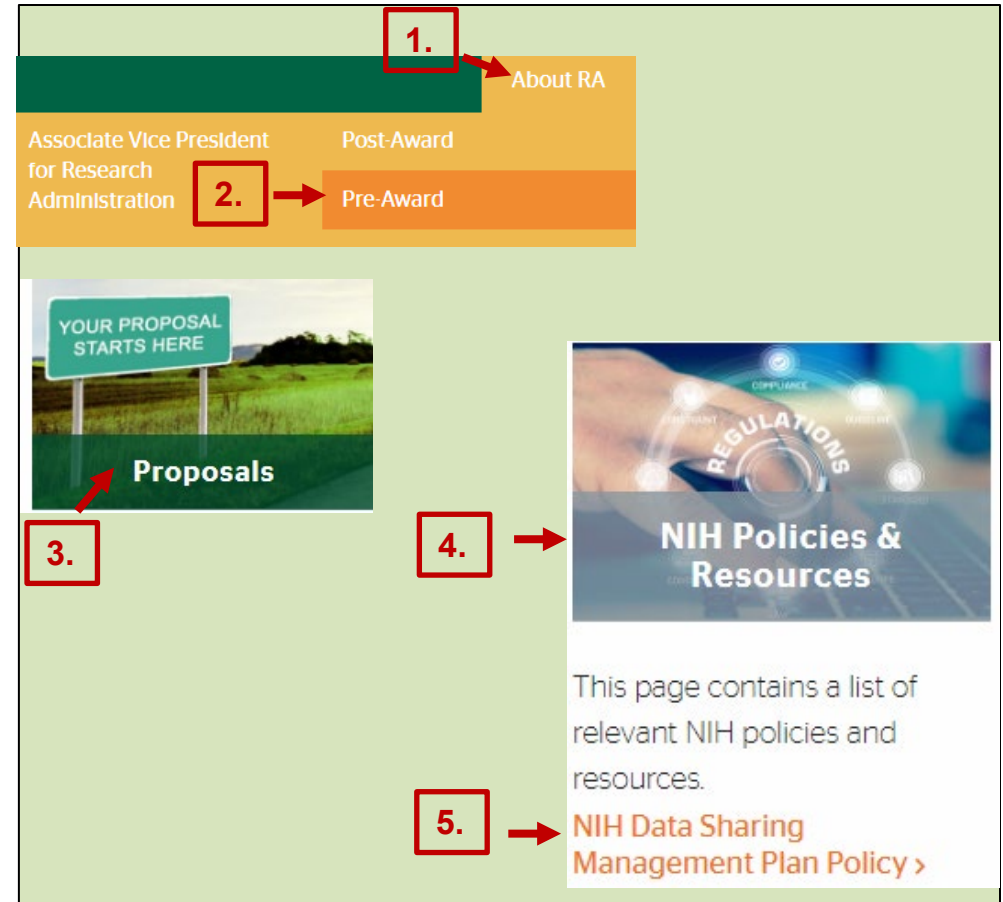
Why is there a new policy?

- 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*

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Form H live in the system

U.S. Department of Health & Human Services | National Institutes of Health


 National Institutes of Health
Office of Extramural Research

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NEXUS**

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 **FORMS-H: Instructions, Forms, and a Handy Checklist**

Clinical Trial Fee Changes

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

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Clinical Trial Fee Changes

Changes to fees on Clinical Trials coming February 15.

- Cris Fee Increase by \$1000
- Amendment \$750
- \$250 Feasibility Fee and F&A to 36%



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Effort Certification & Cross Company PAA's

Kimberly Croft

*Executive Director, Research
Accounting and Cost Analysis*

Effort Certification

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>



Period of Performance	Certification Period
June 1, 2022 – November 30, 2022	December 12, 2022 – February 10, 2023
December 1, 2022 – May 31, 2023	July 10, 2023 – September 8, 2023
June 1, 2023 – November 30, 2023	December 11, 2023 – February 9, 2024

Effort reporting is a process mandated by the federal government to verify that direct labor charges to, or cost shared on, sponsored projects are accurate, timely, and reflect the actual level of work performed.

Effort reporting is the method of certifying to federal branching 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 ECRT), 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 that 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.



ECC System

In the Employee Compensation Compliance (ECC) system Principal Investigators are required to complete Project Confirmation, a process which requires they certify his/her effort and the effort of staff on each project. If there are other faculty members on the project, each will certify their own effort.
[ECC: Project Confirmation >](#)



Effort Reporting Policy

This page contains the University of Miami's Effort Reporting Policy. This policy ensures that effort reporting of externally sponsored activities is managed in a manner consistent with requirements set forth in the Uniform Guidance.
[Read More >](#)



Effort Certification Tip Sheet

Effort reporting is the method of certifying to federal branching agencies that the effort required as a condition of the award has actually been completed. Effort reporting is required by the [Uniform Guidance](#).
[Effort Certification Tip Sheet >](#)



Effort Reporting Training

Training for the Employee Compensation Compliance (ECC) system is required. CBLs and live offerings are available through [ULearn](#).
[ECC: Project Confirmation for Effort Coordinators >](#)
[ECC: Project Confirmation for Principal Investigators >](#)
[Read More >](#)



Managing Salary

Sponsored Effort, or salary charged to a sponsored project is one of the main components of cost on a sponsored project.
[Read More >](#)



Effort Reporting Questions

This page contains frequently asked questions concerning Effort Reporting. For example, what is effort reporting, what is meant by the term effort, who is subject to effort reporting, etc.
[Read More >](#)

Effort Certification Questions

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>

RESEARCH AND SCHOLARSHIP
OFFICE of RESEARCH
ADMINISTRATION

Search Office of Research | Q | OVP/RS Websites

About RA | Forms and Rates | Compliance | **Policies** | Systems | Quick Links

HOME > POLICIES > ALL RA POLICIES

All RA Policies

- All RA Policies
- Proposal Preparation Policies
- Award Administration Policies
- Clinical Research Policies
- F&A Distribution Guidelines for Inter-school Research
- Research Policies at UM
- Uniform Guidance

Please view the [glossary](#) to see a list of research administration terms.

- [Advance Accounts Policy](#)
- [Application Deadline Policy](#)
- [Capital Equipment Policy](#)
- [Clinical Research Policies](#)
- [Close-out Policy](#)
- [Cost Principles Policy](#)
- [Cost Sharing Policy](#)
- [Cost Transfer Policy](#)
- [Effort on Sponsored Awards](#)
- [Effort Reporting Policy](#)**
- [Export Control Compliance Policy](#)
- [F&A Waivers Policy](#)

Cross Company PAA's


Step-by-step [guide](#) for PAA's with multi-driver worktags:

<https://my.it.miami.edu/assets/pdf/workday-payroll-accounting-adjustment-guide.pdf>

Highlights of this guide include:

- Troubleshooting Workday PAAs with Multi-Driver worktags
- Selecting the correct related worktags
- Selecting the correct Company for the PAA

Workday Payroll Accounting Adjustment Guide

Last Updated: 12/14/2022 Transform your workday 

This document is intended to guide users on how to properly submit a *Payroll Accounting Adjustment (PAA)* with Multi-Driver worktags. Two scenarios with stepwise instructions are included that will address the following:

- Troubleshooting Workday PAAs with Multi-Driver worktags
- Selecting the correct related worktags
- Selecting the correct Company for the PAA

Scenario 1 – Grant and Program Belong to the Same Company
Sebastian needs to adjust the payroll expense using a Grant that is being funded by a Program from the same Company. How would Sebastian submit this PAA?

1. Type "create payroll accounting" in the Workday Search field, and select **Create Payroll Accounting Adjustment**
2. Enter the employee's name in the Employee field
Note: Pay Groups and Company fields will auto-populate

Create Payroll Accounting Adjustments

Payroll Accounting Adjustments (PAA) may be used for both sponsored and non-sponsored worktags.

- PAA's should not be initiated after the effort certification process has begun
- PAA's initiated after the certification period has closed will not change a pay group
- PAA's involving Grant Worktags require the approval of the Office of Research and Sponsored Programs

Employee: Sebastian Ibia

Pay Groups: Monthly: 9 Over: 12 Faculty

Company: 200 Academy

For inquiries contact:

- The EBS team, at workday@miami.edu
- Gloria Gari at ggari@miami.edu

New Research IT Director

Mikki O'Neal

*Associate Vice President, Research
Operations & Infrastructure (ROI)*

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Research IT Director



Joshua Rivera

Director, Research Information Technology

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UM's COI policy, Annual Training and Disclosure Process in the UDisclose System

Lory Hayes

*Director, Disclosures & Scholarly
Activities Management*

(DSAM)



UM's Comprehensive COI Policy


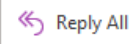



- *Conflict of Interest, Conflict of Commitment, Foreign Influence, and Institutional Conflict of Interest Policy*
- Promulgated January, 2022
- Policy articulates all Covered Persons must:
 - Complete training on the policy, annually
 - Submit a Disclosure Profile, annually
 - Changes and new interests must be submitted within **30** days

UDisclose System


- Annual training and disclosures are coming due
- Training reminder notifications will be sent ~30 days before expiration

UDisclose System training materials require reacknowledgement

 OVPRShelpdesk@miami.edu
To:  Lory Hayes, Ph.D.

 Reply  Reply All  Forward  

Mon 1/23/2023 5:50 PM

 If there are problems with how this message is displayed, click here to view it in a web browser.

UDisclose

Note: Please review the details of the notification below, this has been sent to you either to provide information on the referenced activity or to indicate you are expected to take action.

To:	Lory Hayes
Link:	Disclosure Profile for Lory Hayes (DP00004434)

The University of Miami's conflict of interest (COI) policy requires that you complete COI training and disclose your outside interests to the university, on an annual basis. In addition, you must update your disclosures with any changes or newly acquired interests within 30 days.

This notification is to inform you that your annual training is due soon. Please follow the link above to access your Disclosure Profile in the UDisclose System.

NOTE: Your Disclosure Profile page will indicate that your training has expired/is out of date. While the expiration alert might not be accurate at this time, it is displayed because of a system limitation and is the only way to allow you to recertify before your actual training due date – 365 days after you last completed the training. Please follow the steps below to complete this action item:

1. Click the "Edit Disclosure Profile" button.
2. Navigate to the "Instructions and Policies" page (click the link in the upper left corner of the smart form).
3. Review and acknowledge the training (populate the checkbox at the bottom of the page).
4. Click Continue.

While in the system, you are welcome to resubmit your Disclosure Profile to ensure that you do not have to re-access the system again until next year:



UDisclose System

COI > Disclosures > Disclosure Profile for Lory Hayes

Action Required

Disclosure Profile for Lory Hayes

Disclosure profile last completed:
1/23/2023
Training last completed:
11/11/2022
Your training has expired

Assign Proxy

Action Required

1. Click "Edit Disclosure Profile"
2. Navigate to the "Instructions and Policies"
3. Click the checkbox to certify to the training document above.
4. Update disclosures, institutional responsibilities as necessary. If you have no disclosures, click on the "Add Disclosures" link on the last page of the DP and click on "Add Disclosures".

Note: If you don't execute this activity, your profile will remain in an incomplete state.

Edit Disclosure Profile

Instruction Center

Reason

UDisclose

Validate Compare

Instructions and Policies

Entity Disclosure Information

Institutional Responsibilities

Foreign Engagement & Influence

Complete Disclosure Profile

Hello, Lory Hayes

Editing: DP00004434

Go to forms menu Print Help

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 gen.pdf(0.03)
- COI10 training v 2022_02v3 res supp.pdf(0.03)

Your training has lapsed. The date on which you last completed your training is:
1/23/2023

1. * I certify that I have read and understand the training document above:

Exit

Save

Continue



UDisclose System

COI > Disclosures > Disclosure Profile for Lory Hayes

No Action Required ✓

Disclosure Profile for Lory Hayes

Disclosure profile last completed: 1/23/2023
Training last completed: 1/23/2023
Training expiration date: 12/19/2023

Assign Proxy

Instruction Center	
Action Required	Reason
No actions need to be taken at this time	Discloser's disclosure profile is up-to-date and requires no action

Edit Disclosure Profile

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



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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

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Designating Investigators for COI Review in the IBISResearch Grants Module

Laura Kozma

*Associate Vice President
Research Administration*

Reminder: Responsible Investigators

- 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



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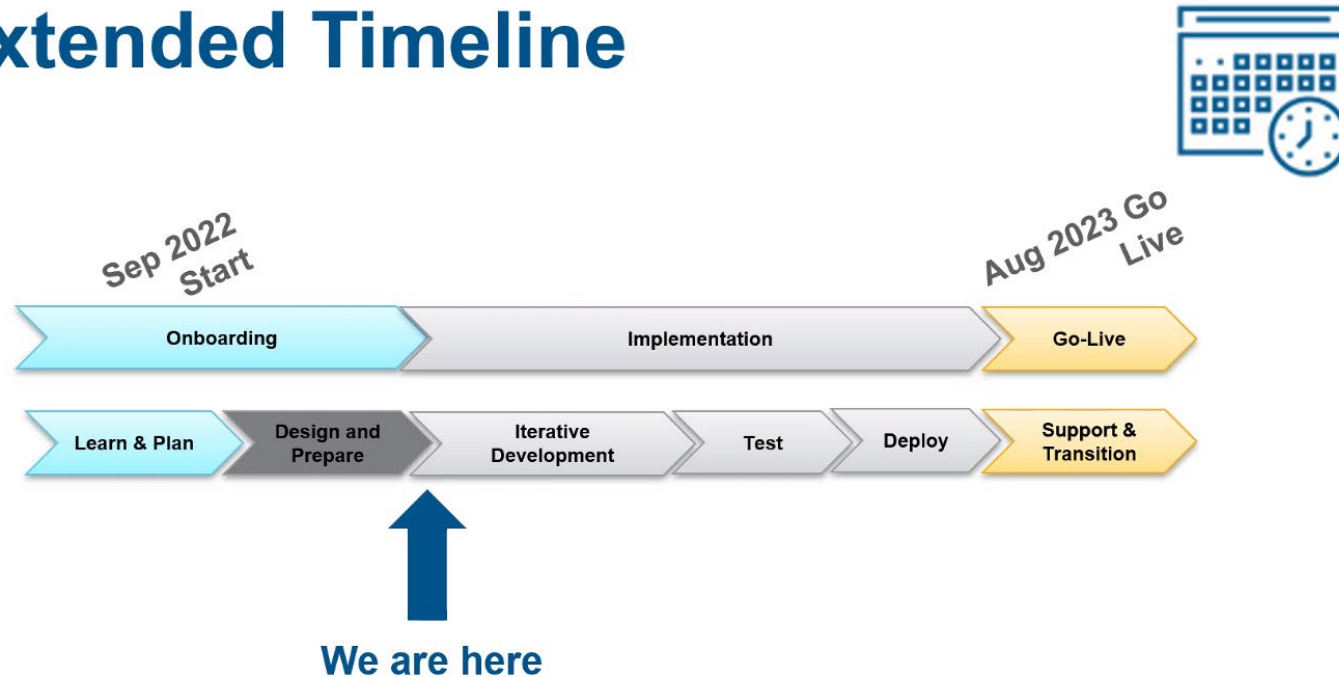
Upcoming Huron Upgrades and Implementation

Raquel Zamora

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

IACUC Implementation

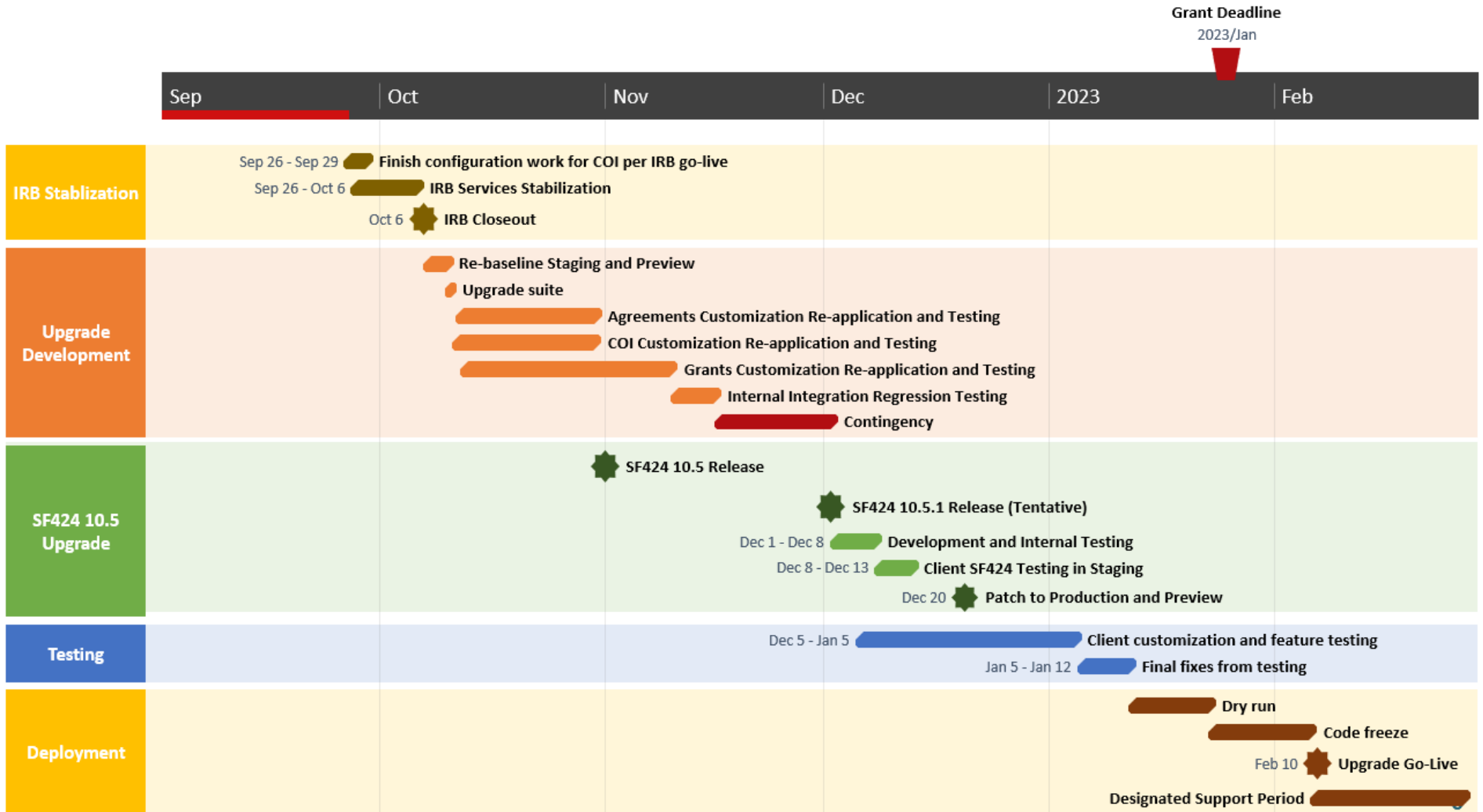
Extended Timeline



In progress:

- Presentation to Champions January 2023
- Process analysis
- Data transformation

IBSResearch Upgrades



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)*

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New Initiative to Implement ORCiD UM-Wide

Kick Off: Feb 9th

Sponsored by:



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

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

ORCID

Connecting Research
and Researchers

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AAHRPP Reaccreditation Site Visit

Kenia Viamonte

*Director, Human Subject Research
(HSRO)*

AAHRPP Reaccreditation Update

Association for the Accreditation of Human Research Protection Programs (AAHRPP)

Scheduled for:

- Thursday, March 2nd and Friday, March 3rd
- Fully remote
- 2 site visitors
- 85+ interviewees
- Records review

AAHRPP Reaccreditation Update

General information everyone may be asked

- Who is the Institutional Official?
- Training requirements
- Reporting requirements
- Conflict of Interest
- Workflow
- Communication
- Systems
- Who to contact

Upcoming Site Visit

- **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:

Authority	Undue Influence
Suspensions/ Terminations	Reporting
Review Criteria/ Intervals	Expedited, Exempt, Full Board, Non Human Subject
Serious/ continuing noncompliance	Waivers/ Alterations of consent
FDA regulated research	Vulnerable Populations
Onboarding/ evaluations	Meeting operations/ preparations
Participant complaints	Adequacy of resources

Upcoming Site Visit

- **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](#)

Open Forum Questions

