Division of Research
Quarterly Research Administration Meeting

AGENDA

- Welcome and Introductions
- Vice President’s Office
- Pre Award Update
- Post Award Update
- Budget & Cost Analysis Update
- Research Systems Update
- Office of Laboratory Animal Research
Division of Research
Vice President’s Office Update

- Welcoming Remarks
- Introduction of Division of Research Team
- Introduction of New Attendees
- Future Quarterly Research Administrators Meeting for 2015
  - January 27, 2015
  - April 28, 2015
  - October 27, 2015
    - All meetings are from 10:00 am – 12:00 pm in the MARC Pavilion
- Slides will be posted on the Division of Research website after meeting
Uniform Guidance: Primary Changes

- Administrative and Clerical Salaries
- Computing Devices
- Visa Charges
- Sub awards: 10% F & A rate
- Faculty Disengagement
- Participant Support
- Cost Sharing
- Publication Costs
- **Uniform Guidance: Primary Changes - continued**

  - Dependent Care
  - 90 Day Close Out
  - Compensation Personal Services
  - Terminal Leave
  - Procurement
  - Terms and Conditions for Federal Awards
  - DS2
  - Fixed Price Sub Awards
  - Review of Risk of Applicants
- **Research Administrator Certificate Course (RACC) Update**

  - RACC courses have been recorded and will be placed on Moodle to be taken online.
  - Announcement will be made on the research-admin listserv once course is available.
- **NIH Individual Development Plans**
  - NIH Research Performance Progress Reports (RPPR) received on/after October 1, 2014 must include a section to describe how individual development plans (IDPs) are used to identify and promote the career goals of graduate students and postdoctoral researchers associated with the respective award.
  - PIs preparing RPPRs must report on the use of IDPs in Section B. Accomplishments. Question B.4.
  - DOR has prepared a guide of suggested responses to this new requirement which is available at [http://research.fiu.edu/proposal-preparation/templates/rprr-idp.html](http://research.fiu.edu/proposal-preparation/templates/rprr-idp.html).
  - The NIH Assurance Form has been updated to collect certification from the PI in adhering to this requirement.
NIH eRA Commons User Names

- Effective October 17th, 2014 the NIH is requiring an NIH eRA Commons ID for all undergraduate and graduate students with one person month of effort or more listed in the RPPR.
- The RPPR will not be accepted for submission by the NIH without the eRA Commons ID for all undergraduate and graduate students that meet this criteria.
- **NSF Compliance Checks**
  - NSF is going to implement this Fall enhancements to their automated compliance checking to include enforcing page count rules for the following proposal sections:
    - Project Description
    - Budget Justification
    - Mentoring Plan
    - Data Management Plan
  - Budget Checks: implement duration and requested amount compliance checks (i.e. maximum requested amount cannot exceed $200,000 for a RAPID proposal)

- **Funding Mechanism/Proposal Section auto-compliance checks anticipated January 26, 2015:**
  - Enforce proposal sections depending on the funding mechanism type
- **Research.gov Single Sign On**
  - DOR is working with research.gov on functionality of using FIU Active Directory credentials to log into research.gov
  - Further details and demonstration will held at the January 2015 QRAM Meeting

- **Limited Submissions Reminder**
  - Sponsor restricts the number of proposals we can submit to the agency.
  - DOR tracks limited submission programs and posts them online with their corresponding internal competition deadline dates at [http://research.fiu.edu/funding/pages/limited-submissions.html](http://research.fiu.edu/funding/pages/limited-submissions.html)
  - DOR makes every effort to track limited submission solicitations. However if you come across a limited solicitation that is not on our site, please contact Maureen Pelham, Director for Research Development at [mpelham@fiu.edu](mailto:mpelham@fiu.edu)
**F&A Split and Departmental Credit**

- The determination of F&A split amongst colleges for the F&A that would be returned to the colleges by the Vice President for Research is one that needs to be made amongst the collaborating colleges at proposal stage.

- The agreement should be documented in the comment box next to the question in percentage format (i.e. A&S 50% & COM 50%).

- DOR does not get involved in this process.

- TBD at Award Stage is not an acceptable response.
F&A Split and Departmental Credit – Continued

Examples of common arrangements include:

- Equal distribution amongst all colleges/centers
- Proportionate distribution based on salaries and wages charged to the project by the respective units

Please note that distribution of F&A is at the discretion of the Vice President for Research and any percentages stated in the ePRAF refer only to instances when F&A is returned to the colleges.

The agreement in the ePRAF between the parties does not mandate the Division of Research to return F&A to any unit if it is determined that there will be no F&A distribution by the Vice President for Research.
Division of Research
Pre Award Update

- F&A Split and Departmental Credit – Continued
Pre-Award Staffing Update
- Currently short staffed
- Priorities are proposals received on time
- Last minute or rush proposals may not get accepted or submitted

Proposal Submissions During the Holidays
- Pre-Award staffing will be limited during 12/22/14 – 1/4/15
- ePRAF functionalities will become limited due to PeopleSoft 9.2 upgrade
- Any proposals to external sponsors due between 12/22/14 – 1/4/15 should be submitted by 12/18/14
Policy # 2350.065

Records Retention Schedule for sponsored Project Documents was Updated

General Retention Period for Sponsored Project Documents;
- Regardless of the project sponsor and unless the award document contains a longer period for retention of records, the sponsored project records must be maintained for five (5) years after the expiration or termination of the sponsored projects so long as there is not pending audit or litigation relating to the sponsored project. If there is any pending audit or litigation, then the records must be maintained until the audit and/or litigation are finalized and closed.
Policy # 2350.065 (continued)

- If a type of record fall under more than one retention period set forth below, the record must be maintained for the longer retention period that is applicable.

- See more specific guidelines on the policy for sponsored projects involving human subjects.

- All our policies are located on our website:
  - [http://research.fiu.edu/](http://research.fiu.edu/)
  - [http://policies.fiu.edu/](http://policies.fiu.edu/)
Controller’s Newsletter, ‘PANTHER POST’

- Good source of information

- Newsletter 2014-2015 Volume 4 topics include:
  - Monthly closing Calendars
  - Scanning Solution
  - Purchasing 101 Training
  - Unrelated Business Income Tax (Form 990-T)
  - Procedure Reminders for Merchant Departments
  - Student Travel Reminders
  - Departmental Deposit Form Reminders
  - PantherSoft Financials 9.2 Upgrade
  - Personalize Your Own Navigation Within PantherSoft
  - Reminders and Deadlines
Controller’s Newsletter, ‘PANTHER POST’ (continued)

Purchasing 101 Training

- Purchasing Services is offering Purchasing 101, a training session that covers all of the FIU Purchasing basics and business processes, intended for University departments.

- Individuals may view available training dates and register on the Training Registration site. (seating is limited)

  - [https://auth.fiu.edu/cas/login?service=https%3A%2F%2Fprofessionaldevelopment.fiu.edu%2Flogin](https://auth.fiu.edu/cas/login?service=https%3A%2F%2Fprofessionaldevelopment.fiu.edu%2Flogin)
Controller’s Newsletter, ‘PANTHER POST’ (continued)

- Student Travel Reminders
  - Student travel related costs are, in many instances handled in the same manner as for faculty and staff;
    - A Travel Authorization (TA) is entered in PeopleSoft under the student’s name and (TA) approval is required before expenses are incurred
    - An Expense Report (ER) is created after returning from the trip (no later than 30 days after completion) and submitted along with the receipts and any additional documentation
  - Departments can also choose to pay for travel expenses directly, using a Department Travel Card, T&E Card or an Unencumbered Payment Form (These expenses also need to be included on the Expense Report)
\textbf{Student Travel Reminders (continued)}

- There are substantial differences when a student is receiving a cash payment;
  - This payment must be requested through the Office of Financial Aid
  - This payment will be treated as a travel stipend (scholarship) to the student and the student is not required to provide receipts to support the travel expenses

- Travel Manual link

- Financial Aid link
  - [http://onestop.fiu.edu/financial-aid/contact-information/index.html#MMC](http://onestop.fiu.edu/financial-aid/contact-information/index.html#MMC)
Controller’s Newsletter, ‘PANTHER POST’ (continued)

To sign up for the Panther Post Newsletter, send an email to

controller@fiu.edu
Salary costs on Grants:

- We encourage everyone to review personnel working on grants in order to properly allocate their effort on projects.

Advantages:
- No Payroll transfers
- No exceptions
- No effort re-certifications (Effort Card matches effort committed)
- Grant funds awarded are maximized
- College/Department/Center save salary dollars
Salary costs on Grants: (continued)

- We are committed to help by:
  - Working with PI & Department to release Pre Award Funding when possible
  - Providing to the PI, Administrator(s), HR Liaison, or Budget Manager the award budget sheet
  - Including language in award email when Salary or Wages are included in the proposal
  - Communicating reminders
    - To review personnel nearing end dates
    - To review effort cards
  - Posting monthly ledgers on SharePoint
External Award Page:

- We are currently reviewing the page and related processes in order to streamline & improve wherever possible. Some items identified will take time and cooperation from various areas, while others are more immediate.

Immediate changes:
- Discrepancies between award budget and the external award page are currently being addressed by Post Award.
- Beginning Spring 2015, Financial Aid will begin disbursements of stipends for students on the 27th of the month in order to ensure the stipends are paid by the 1st.
Division of Research

Budget & Cost Analysis Update

- **Personnel Introduction**
  - Ciara Perez – Assistant Director, Budget & Cost Analysis Office
  - BCA Personnel
    - Sara Abraham – Budget Exceptions, F&A Returns, COA
    - Cristina Loreto – Chart of Accounts Redesign
    - Desiree Mesa – Effort Reporting
    - Alejandra Salas – Recharge Centers

- **Effort Reporting – System Upgrade Next Calendar Year**

- **Effort Reporting Compliance Risks**
  - Faculty Charging 100% Effort on Grants – Not in compliance if the faculty member is also teaching, serving on a committee(s), working on new proposals, etc.
  - Certifying After Deadline – Summer 2014’s Certification Deadline was 10/15/14
  - Sanctions Will Be Imposed by The Division of Research:
    - All F&A Will Be Held/Reversed from Colleges, Centers and PIs Not In Compliance
    - PI With Delinquent Effort Cards May Be Prevented from Submitting New Proposals
    - Existing Award Expenses May Be Frozen On Grants with Delinquent Effort Cards
  - Non-Compliance Could Mean Audit Findings, Federal Fines, etc.
  - For Questions – email ecrt@fiu.edu
Separation from Employment/Transfer Clearance Form

Notify ecrt@fiu.edu before employees with effort on grants leave FIU so manual certifications can be obtained from employee up thru their last day.

If an employee has left FIU and no contact information is available, notify ecrt@fiu.edu and provide a Proxy Certifier who has first hand knowledge of the work performed and can certify on the individuals behalf.
Importance of Capturing Organizational Department IDs Accurately
- Department IDs (former Organizational Dept IDs) Drive Many Processes
- F&A Return Calculations to Colleges/Centers Driven by Department ID of Grant
- Incorrect Department ID Can Impact Center’s F&A Return
- Once Grant is Setup Department ID Can’t be Changed
- No Retroactive Corrections to F&A if Department is Incorrectly Setup
- Important that Centers and Deans Initially Review Department IDs for New Awards
- For Questions – email f-and-a@fiu.edu

Chart of Accounts Redesign
- Activity IDs Funds 651/652 Converted to Non-Sponsored Project IDs funds 653, 654, 655
- Crosswalk Lists Sent
- IDs No Longer Shared Between Cost PIDs
- Balances at Account Level Converted to Allow for FY15 YTD Reporting
- Available Balances Rollover at Fiscal Year-End
- Not Subject to Year-End Deadlines
- Reporting Simplified – Can Use GrantP Report
- For Questions – email f-and-a@fiu.edu

Recharge Center Related Costs
- Recharge Center Expenses & Revenue are to Post to Recharge Center ID
- Essential for True Costs Analysis & Accurate Rates
- For Questions – email recharge@fiu.edu
Financials 9.2 Upgrade – Why Upgrade?

- Strategic Purpose
  - Allows FIU to stay current and on track to maintain the latest version of our enterprise applications
  - Align technology with FIU’s strategic plan
  - Take advantage of enhancements to the application to improve and streamline processes

- Management benefits
  - Staying current more easily and at a lower cost
  - Tailored software maintenance addresses your unique needs
  - Reduced need for customizations through functionally-robust solutions
  - Simplified operation using PeopleSoft Upgrade Manager
Financials 9.2 Upgrade – Project Update

- Phases completed
  - Planning and Oracle Lab upgrade
  - Analysis & Customization Retrofits
  - Unit Test

- Current Phase
  - System Test started on 10/6/14

- Future Phases
  - User Acceptance Testing involving user community starts on 12/01/14
  - Training will start in December 2014
  - Preparations for the Go-Live
  - Go-Live January 1 thru 4, 2015
### Financials 9.2 Upgrade – Training Strategy – Delivery Methods

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| **Webinars**                    | • Highlighting the differences (between 9.0 and 9.2) in system functionality and business processes  
• Delivered by Financial Systems Trainers throughout the month of December  
• Webinars will be recorded |
| **Instructor Led / Hands-On Training** | • Delivered by Subject Matter Experts (SMEs) and Financial Systems Trainers  
• SMEs will deliver the training on the Business Process  
• Classes to be held at MMC in the PantherSoft Training Room (W6); at the Hubert Library at BBC  
• 9.2 Training will begin on December 8, 2014  
  • *Exact Schedule To Be Determined and Announced at later Date* |
| **User Productivity Kit (UPK) (Online Training)** | • Step by Step Online Guides that display every action that needs to be undertaken to complete a PeopleSoft transaction(s)  
• Will be available on the PantherSoft Project Website |
| **Open Labs**                   | • Users can show up to the Open Lab to ask questions and to practice transactions in a Training environment  
• 3 Sessions at MMC January 5\(^{th}\) 9:00 to noon, 8\(^{th}\) 1:30 to 3:30 P.M. and 13\(^{th}\) 9:00 to noon  
• 1 Session at BBC January 16\(^{th}\) from 9:30 to noon |
Financials 9.2 Upgrade – Training Strategy – Summary

- Training Schedule will be communicated via:
  - The Panther Post
  - Office of the Controller website
  - Using the 9.2 Project website

- Functional Leads and Subject Matter Experts (SME’s) are involved in the development, will participate in System and User Acceptance Testing (UAT)

- All Users will have the ability to register for training on the Professional Development website

- Encourage your staff to register and attend training

- All questions regarding 9.2 training should be sent to the Office of the Controller mailbox
Financials 9.2 Upgrade – Project Website

- Project Website had been established and accessible at the following link: http://panthersoft.fiu.edu/projects-2/financials-9-2-upgrade/
Research Information Systems Update – Other Items

- Salary Encumbrances for Grants
  - Currently validating test data centrally
  - Later stages of testing will include validation at departmental level
  - Assuming testing is successful, encumbrance data will be loaded in January 2015
  - Future communications will be made as testing progresses

- Linking to Scanned Award Documents from PeopleSoft
  - Currently testing the creation of new hyperlink in PeopleSoft that will take authorized project team members to scanned award information in ImageNow
  - Go-live date to be determined and communicated
Research Information Systems Update – Other Items

- SmartBilling ‘View Only’ Access
  - Currently no ‘View Only’ role in PeopleSoft Financials
  - If you need the ability to view only Smart Internal Billing detail within PeopleSoft, please send an email to Saudie Feliz at saudie.feliz@fiu.edu
  - After 9.2, UTS will pursue an automated solution to grant all Financials users ‘View Only’ access to Smart Internal Billing
  - For access to enter or approve Smartbills, please complete Financials Access Request form

- ecrt Upgrade
  - Currently in planning phase of project to upgrade ecrt from current version 3.0.3 to version 5 in calendar year 2015
  - New version provides many end user experience enhancements
  - More details to be provided in next Quarterly Research Administrator’s meeting
Office of Laboratory Animal Research

Horatiu V. Vinerean DVM, DACLAM
Director, Laboratory Animal Research
Attending Veterinarian
The Animal facility is committed to compliance and adherence with our Animal Welfare Assurance Statement.
Closing of Old Animal facilities

Expansion of new animal facility
The combined square footage of all the animal facilities is approximately 25,000 square feet within secure perimeters (one animal facility and two aquatic facilities) as well as satellite laboratories.

The main vivarium is approximately 19,000 square feet, divided as a transgenic facility (3,550 square feet), SPF vivarium (3,000 square feet), auxiliary facility (6,910 square feet) and core facilities / surgical suites (5,540 square feet).
A surgical core and procedure rooms are also available in the vivarium in order to facilitate surgeries and for training of personnel in different surgical procedures by the Veterinarian.

Animal care is available on an emergency basis 24/7 by the OLAR. Animal care staff observes animals on a daily basis, including weekends and holidays.
The animal care and use program at FIU has:

1. PHS Animal Welfare Assurance (A3096-01)

2. Registered as a research facility with the USDA No. 58-R-0136,

3. Holds Full accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC).

Review of all research and teaching protocols involving animal use is performed by the Institutional Animal Care and Use Committee (IACUC).
Pre-clinical Services Offered

1. PK/PD studies
2. Surgical services
3. Drug Dose response relationship
4. Clinical Pathology Evaluation
5. Necropsy
   a. Gross Necropsy: To examine the organs for potential abnormalities and lesions
   b. Detailed: To examine all the organs and harvest tissue for histopathological examination
Division of Research
Closing Remarks / Adjournment

- Closing Remarks
  - Questions
  - Adjournment