



Division of Research
Quarterly Research Administration Meeting



April 24, 2012



Division of Research
Quarterly Research Administration Meeting

AGENDA



- **Welcome and Introductions**
- **Research Administrator Certificate Course (RACC) Update**
- **Pre Award Update**
- **Post Award Update**
- **Budget & Cost Analysis Update**
- **Technology Update**

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 2012**
 - July 31, 2012 (if needed)
 - October 30, 2012
 - 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**

Division of Research
Research Administrator Certificate Course (RACC) Update

- **Research Administrator Certificate Course (RACC) Update**
 - Research Administrators Certificate Course, a comprehensive course designed to assist with the administration of sponsored projects by providing up-to-date information on all aspects of the sponsored project administration function from proposal development through project administration and close-out.
 - Attendance is mandatory for administrative job duties in research.
 - Essential compliance presentations will be given in areas including human subject and animal research, recombinant DNA research, privacy in research and IT security, ethics, export control and more.
 - Presenters include Division of Research personnel as well as presenters from the Office of the General Counsel, the University Compliance Office and the Division of Information Technology.

Division of Research
Research Administrator Certificate Course (RACC) Update

- **Research Administrator Certificate Course (RACC) Update**
 - Registration for the upcoming Course is limited to 25 persons as the training will be given in a computer room with that maximum capacity.
 - Those of you who are unable to attend this upcoming Course may register for future courses which will be advertised.
 - The Course will be held on seven consecutive Fridays beginning May 18, 2012 through June 29, 2012 from 9 am to noon.
 - To register for this Course please visit:
<https://professionaldevelopment.fiu.edu>
 - Persons attending all sessions will receive FIU professional development credits and a certificate which may be used for continuing education units for persons who are Florida Certified Public Accountants.

Division of Research *Pre Award Update*

- **Revised Agreement Request Form**

- The form should be used for all non-proposal and non-award agreement requests such as material transfer agreements, nondisclosure agreements, teaming agreements and memorandum of understanding.

- The form was revised to incorporate the provision of the applicable IRB, IBC or IACUC Protocol title and approval number as related to the agreement being requested for review; the type and quantity of animals related to MTAs (if any); and clarification as to the purpose of a confidentiality agreement.

- The revised form is available in the forms section of the Division of Research website at <http://research.fiu.edu/forms/forms.html>.

Division of Research *Pre Award Update*

- **electronic internal clearance form (eICF) is live for all units**
 - the paper internal clearance form (ICF) will no longer be accepted past April 30th, 2012.
 - all units have been transitioned to the electronic internal clearance form (eICF) via PeopleSoft.
 - eICF support has been added (list in next slide) to provide assistance throughout the university with the new process including
 - Filling out the eICF online
 - Developing budgets
 - Filling out agency forms
 - Assisting with electronic routing of proposals
 - Enhancements for a Version 2 of the eICF are currently under review and will be announced in future Quarterly Meetings

Division of Research *Pre Award Update*

▪ **electronic internal clearance form (eICF) support**

College/School/Center/Division	eICF Representative	Location
College Arts & Science – SEAS MMC	Natalie R. Sanchez	MARC 430
College Arts & Science – SEAS BBC	Virginia Gary	AC I – 324 (BBC) ¹
School of Journalism & Mass Communication	Virginia Gary	AC I – 324 (BBC) ¹
College Arts & Science - SISH	Daviane Lastra	DM 441B
College of Nursing & Health Sciences	Maria Marin	AHC II- 398
Herbert Wertheim College of Medicine	Maria Marin	AHC II- 398
Robert Stempel College of Public Health & Social Work	Maria Marin	AHC II- 398
College Arts & Science - SIPA	Kathryn Snider	SIPA 511
College of Engineering & Computing	Nathalie Sarmiento	EC 2468
Applied Research Center	Nathalie Sarmiento	EC 2468
School of Hospitality & Tourism Management	Virginia Gary	AC I – 324 (BBC) ¹
Academic Affairs – Museums & Library	Natalie R. Sanchez	MARC 430
College of Architecture & the Arts	Natalie R. Sanchez	MARC 430
College of Business Administration	Natalie R. Sanchez	MARC 430
College of Education	Natalie R. Sanchez	MARC 430
College of Law	Natalie R. Sanchez	MARC 430
Division of Student Affairs	Natalie R. Sanchez	MARC 430
All Other Units	Natalie R. Sanchez	MARC 430

¹ Ms. Gary will be at the BBC starting in Fall 2012

Division of Research Pre Award Update

- Departmental Credit on the eICF

The screenshot shows a web browser window titled "Smart Proposal Entry - Windows Internet Explorer". The address bar displays the URL: https://psprod.fiu.edu:8700/psp/psfsprd_1/EMPLOY. The browser's address bar also shows "Google" and "Sign In" options. The page header includes the FIU logo, the user name "Hello Roberto", and navigation links for "Home", "Worklist", "Add to Favorites", and "Sign out". A search bar is also present. Below the header, there are navigation tabs: "Favorites", "Main Menu", "Smart Solutions", "Smart Documents", and "Smart Proposal Entry". A toolbar contains icons for "Save", "Collaborate", "Attach", "Copy", "Workflow", and "Help".

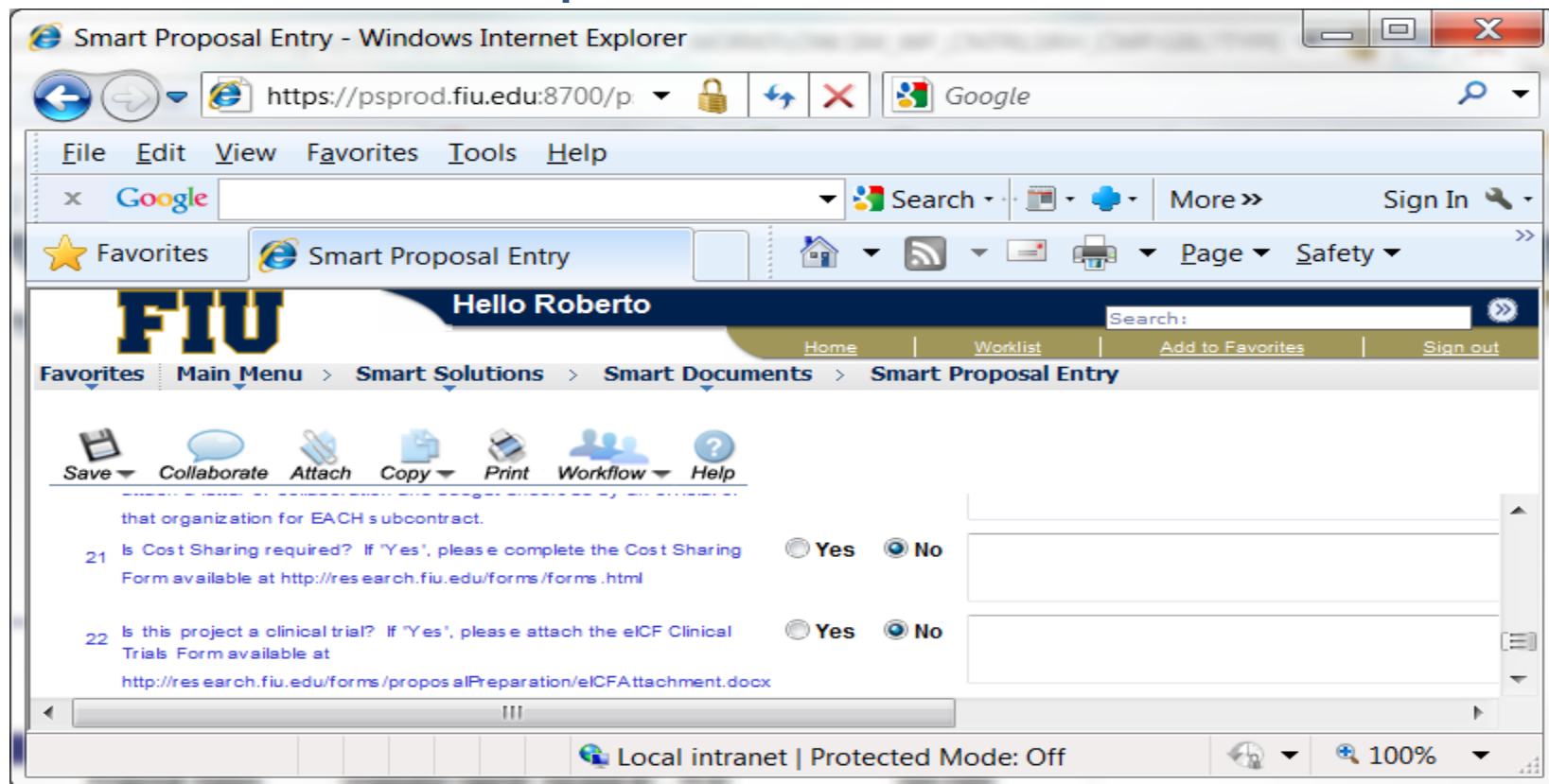
The main content area is titled "Departmental Credit" and includes a table with the following data:

Primary	*Department	Description		
1 <input checked="" type="checkbox"/>	202060000	Center for Children and Fam	<input type="button" value="+"/>	<input type="button" value="-"/>
2 <input type="checkbox"/>	202057000	Psychology	<input type="button" value="+"/>	<input type="button" value="-"/>

Below the table, there is a section titled "Space Required" with the following text: "IMPORTANT: Please identify all the space required to perform the project. When an Application is submitted, the space that is required to perform the project must be identified and available for the project, if funded." Below this text, there is a form with the following fields: "University Location(s)", "Campus", "Building", "Room", and "Location Code". A "Find" button and navigation controls (First, 1 of 1, Last) are also present.

Division of Research Pre Award Update

- **Clinical Trials Updates to the eICF**
 - **Question # 22 updated to include a link to the eICF Clinical Trials form that needs to be uploaded as an attachment**



Division of Research Pre Award Update

■ Clinical Trials Updates to the eICF

eICF Attachment for Clinical Trials

Check all that apply:

Initiator of Study:

- Investigator
- Sponsor
- Cooperative group
- Other_____

Author of protocol:

- Investigator
- Sponsor
- Cooperative group
- Other_____

Type of Study:

- Drug study
- Device study
- Chart review
- Observational
- Specimen study
- Other_____

Funding Source(s):

- Industry
- Government
- Cooperative group
- Foundation
- Other_____

- Not funded
- Internally supported by FIU Foundation, Division of Research, HWCOM, etc.

Proposal ID#: _____

1. Protocol Title:
2. Drug/Device Name:
3. Drug/device FDA-approved for indication: Yes
4. IND/IDE # (If Applicable):
5. Is IND held by the investigator? Yes
6. If yes, initial FDA IND date:
7. FDA Phase: Phase I
8. Publish study to FIU website for informational/recruitment purposes: Yes
9. Clinical trials.gov ID (if available):
10. If cooperative group, name group and provide protocol number:
11. Investigational drug or device will be:
 - Provided by sponsor free of charge
 - Sponsor funds will be used to purchase of drug or device
 - Other: _____
12. Study Sites:

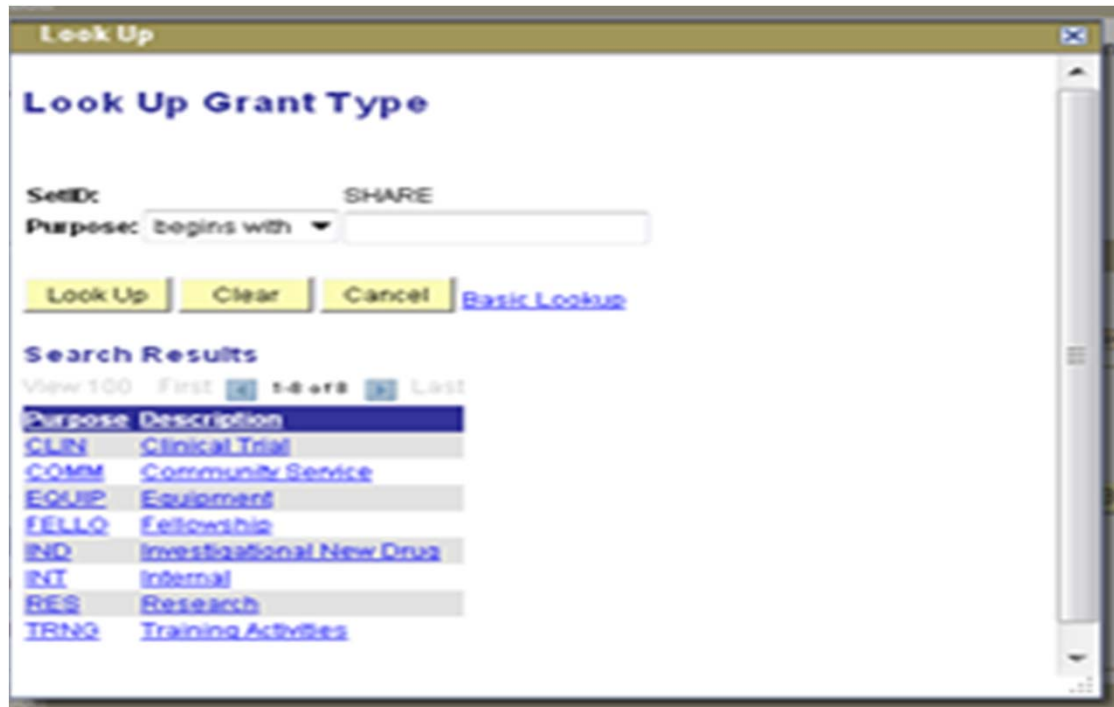
<input type="checkbox"/> FIU Campus: HCN, Stempel, etc.	<input type="checkbox"/> Jackson North	<input type="checkbox"/> Other
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13. Documents: Please attach all documents related to this study:

Protocol
 Informed Consent Draft
 Sponsor Contract Template
 Sponsor Draft Budget
 Other Pertinent Information (Treatment Manuals, IND/IDE letter, etc.)
 Billing Grid

Division of Research *Pre Award Update*

- **New Grant Types on the eICF**
 - **New grant types added to include**
 - **Clinical Trial**
 - **Investigational New Drug**



The screenshot shows a web application window titled "Look Up Grant Type". It features a search interface with a "SetID:" field containing "SHARE" and a "Purpose:" dropdown menu set to "begins with". Below the search fields are buttons for "Look Up", "Clear", and "Cancel", along with a "Basic Lookup" link. The "Search Results" section displays a table with two columns: "Purpose" and "Description". The results are as follows:

Purpose	Description
CLIN	Clinical Trial
COMM	Community Service
EQUIP	Equipment
FELLO	Fellowship
IND	Investigational New Drug
INT	Internal
RES	Research
TRNG	Training Activities

Division of Research *Pre Award Update*

■ After the Fact Proposals

- The Division of Research would like to remind the University Research Community that all proposals to external sponsors for projects that will involve University faculty and/or staff must be reviewed and approved by the Division of Research (DOR) for compliance with federal and state statutes and regulations as well as sponsor and FIU guidelines, policies and procedures **prior** to submitting the proposal to a prospective sponsor.
- Vice President for Research or his designee may determine that an award resulting from a proposal that was not reviewed by DOR prior to submission to the sponsor will not be accepted if the same is not in furtherance of the University's mission or if the project may not viably be performed at the University

Division of Research *Pre Award Update*

▪ After the Fact Proposals

- Approval from DOR prior to the PI's submission of a "white paper" proposal to the sponsor is not required provided the white paper or preliminary proposal does NOT contain any of the following:
 - (1) a budget;
 - (2) commitment of University cost sharing;
 - (3) commitment of space additional to that already available to the PI; or
 - (4) an authorized University signature.

- If any of the foregoing items is included or required in the white paper or preliminary proposal, then the normal proposal clearance process must be followed by the PI via the electronic internal clearance process.

Division of Research *Pre Award Update*

▪Updated Fringe Benefits

▪The University has revised the fringe benefit rates for the 2012-2013 fiscal year, therefore the fringe benefit rates used at proposal stage have been revised as follows:

Employee Group	Pooled Fringe Benefit Rate
Faculty / Administrative (formerly A&P)	29.73%
Staff (formerly USPS)	40.41%
Other OPS and Temporary Faculty (except students)	2.75%
Student OPS	0.43%

▪The internal budget sheet used at proposal stage has been revised to reflect these changes in the fringe benefit rates.

Division of Research *Pre Award Update*

▪ **NIH Salary Cap**

▪ For FY 2012 the Consolidated Appropriations Act, 2012 (Public Law 112-74) signed into law on December 23, 2011, restricts the amount of direct salary to Executive Level II of the Federal Executive Pay scale. The Executive Level II salary is \$179,700.

▪ This is the first time in recent years that the NIH salary limitation has been reduced, therefore the NIH 12 month appointment salary cap for applications submitted has been adjusted to \$179,700. The NIH salary cap for nine month appointments has been prorated to \$134,259.

▪ For FY2012 awards issued on or before December 22, 2011 (competing and non-competing continuations), the effective salary limitation remains at Executive Level 1, \$199,700 for the current budget period. Effective with grant awards (competing and non-competing continuations) with an initial Issue Date on or after December 23, 2011, the salary limitation is limited to Executive Level II of the Federal Pay Scale, \$179,700.

Division of Research *Post Award Update*

- **NIH Salary Cap**

- An Individual's base salary is not constrained by the legislative provision, it only limits the amount that may be charged to NIH grants and contracts.
- Salary cap is based on the individuals institutional base salary and excludes any income that an individual may be permitted to earn in addition to his regular pay. (Administrative Increment, ESC...)
- PIs could potentially have two salary limits on two NIH awards depending on when the award was issued

Division of Research *Post Award Update*

- **NIH Salary Cap**



RESEARCH CONTINUANCE AWARD
Department of Health and Human Services
National Institutes of Health
NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

Notice of Award

Issue Date: 12/30/2011



Grant Number: 5R01GM078910-02

Principal Investigator(s):
JOHN A. DOE, PHD

Project Title: The distribution of revised NoAs for the quarterly meeting

ROBERTO GUTIERREZ
DIRECTOR/PRE-AWARD
OFFICE OF SPONSORED RESEARCH
FLORIDA INTERNATIONAL UNIVERSITY
11200 SW 8TH STREET, MARC 430
MIAMI, FL 33199

Award e-mailed to: gutierrez@fiu.edu

Budget Period: 01/01/2012 – 12/31/2012

Project Period: 01/01/2009 – 12/31/2012

Dear Business Official:

Division of Research
Post Award Update

- **NIH Salary Cap Helpful Links:**

- For a historical record of the NIH salary cap

- http://grants.nih.gov/grants/policy/salcap_summary.htm

- Additional Information regarding FAQ

- http://grants.nih.gov/grants/policy/fy2012_salary_cap_faqs.htm

Division of Research
Post Award Update

- **Payroll Transfer's Three Questions:**

- Must include a detail explanation of why the error occurred, why it took 90 days to discover the error, & what is being done so it will not happen again
- The explanation should be able to stand alone, and be clear for anyone to understand what happened
- Should not include initials or abbreviations
- Will be the official record of the University
- The initiator will be able to attach additional documents to justify the transfer when ever necessary

Division of Research
Post Award Update

- **Payroll Transfer's Three Questions (continued):**
 - All transfers should reflect the effort being certified
 - A transfer of a transfer will be approved in rare circumstances & when strongly justified

Division of Research *Post Award Update*

- **Updated Division of Research Policy:**

- Budget Modifications on Sponsored Projects. Policy #2350.001

- The Procedures have been updated to emphasize the importance of a clear and complete justification for a budget transfer request. The following sentence has been added to explain Post-Award's review of a budget transfer request: "Such review will include, among other items, whether the justification provided for the budget modification is appropriate. Therefore, PIs should ensure that the justification stated for the budget modification request is clear and complete".

- The Procedures have also been updated to clarify that budget modifications that reduce F&A require the prior approval of the PI's Dean or Center Director, as applicable, and the AVP for Research

- The updated policy may be viewed at:
http://policies.fiu.edu/record_profile.php?id=243

Division of Research *Post Award Update*

- **Updated Division of Research Policy (continued):**

- Only Allowable direct Costs May be Charged on Federally Sponsored Project Proposals. Policy #2320.065

- The procedures have been updated to detail requirements for computer and software purchases. The updated policy may be viewed at http://policies.fiu.edu/record_profile.php?id=260

- Charging General Administrative and Clerical Costs on Federally Sponsored Projects. Policy #2320.005

- The Procedures have been updated to reflect current processes, particularly in reference to the PantherSoft Grants Module. The updated policy may be viewed at: http://policies.fiu.edu/record_profile.php?id=244

Division of Research Post Award Update

- **New Up-coming Cost Share Process:**

- Proposed to begin July 1, 2012. Communication and training will be conducted at time of award setup for those departments with cost sharing.
- Allows one project ID to be created with multiple funds.
- Eliminates paper process

Screenshot from budget overview in Peoplesoft

Budget Overview Results															Customize Find View All First 1-7 of 7
	Ledger Group	Account Fund	Dept	Program	Class	Bud Ref	Project	PC Bus Unit	Activity	Budget Period	Budget	Expense	Encumbrance	Pre-Encumbrance	Available Budget*
1	CC_PG	P71190 215	212701000	22	1		800001359	FSR01	SPN	ALLPER	200,000.00	0.00	25.00	0.00	199,975.00
2	CC_PG	P71190 641	212701000	22	1		800001359	FSR01	SPN	ALLPER	200,000.00	0.00	25.00	0.00	199,975.00
3	CC_PG	P71190 661	212701000	22	1		800001359	FSR01	SPN	ALLPER	500,000.00	0.00	50.00	0.00	499,950.00
4	CC_PG	P75700 661	212701000	22	1		800001359	FSR01	SPN	ALLPER	250,000.00	0.00	0.00	0.00	250,000.00
5	CC_PG	P77100 215	212701000	22	1		800001359	FSR01	SPN	ALLPER	200,000.00	10.00	0.00	0.00	199,990.00
6	CC_PG	P77100 641	212701000	22	1		800001359	FSR01	SPN	ALLPER	200,000.00	0.00	0.00	0.00	200,000.00
7	CC_PG	P77100 661	212701000	22	1		800001359	FSR01	SPN	ALLPER	500,000.00	0.00	0.00	0.00	500,000.00

Multiple Funds
1 Project ID

Division of Research
Budget & Cost Analysis Update

- **Effort Reporting Update**
 - Fall 2010, Spring & Summer 2011 100% Certified
 - Effort Cards Pending to be Processed by Effort Coordinators
 - Fall 2011 Pre-Review Kickoff & Certification

- **Payroll Exceptions / New Business Process**
 - PAY Journals Post “As Is”
 - Exception Communications
 - Colleges/Departments/Centers to Initiate Payroll Transfers
 - Payroll Transfers to Resolve Exceptions to Post before Next Payroll
 - Transfers of Transfers May Not Be Allowed

Division of Research
Technology Update - Effort Reporting Commitment Data Training

▪ **Commitment Data in ecrt – Project Overview**

- Proposed and awarded commitment data entered into ecrt based on the following criteria:
 - Proposed Commitments: Proposals submitted since 7/1/2011
 - Awarded Commitments: For all active Project IDs with end dates since 8/2011.
- The Division of Research will be working closely with the departmental administrators to validate the data in ecrt.
 - For questions about proposed commitment data, please contact your Pre Award representative.
 - For questions about awarded commitment data, please contact your Post Award representative.

Division of Research

Technology Update - Effort Reporting Commitment Data Training

- Commitment Data in ecrt – How to Access

- Option 1: From the certifier's effort card by hovering over the project description.

The screenshot shows the ecrt system interface. At the top, there are links for 'Refresh Statement', 'Related Reports', 'Override Status', 'Effort Calculator', 'Show Dollar Value', and 'Add Cost Center'. Below this is a table with columns: 'Cost Center [-]', 'Payroll', 'Cost Share', 'Computed Effort', 'Certified Effort', and 'Certify Checkboxes'. The table is divided into 'Sponsored' and 'Non Sponsored' sections. A 'Commitment' popup window is overlaid on the table, showing details for a commitment between 08/17/2011 and 05/15/2012. The popup includes a red arrow pointing to the 'Total: 10.0%' line. Below the commitment details is a 'PI Contact' button. A 'Need Assistance' button is visible at the bottom left of the screenshot.

Cost Center [-]	Payroll	Cost Share	Computed Effort	Certified Effort	Certify Checkboxes
Sponsored					
Marine & estuarine goal setting for South Florida AWD000000000849 (MARES)					
800000009 Marine & estuarine goal settin	1.33%	0.00%	1.33%	0%	<input type="checkbox"/>
Sponsored Total:			1.33%	0%	
Non Sponsored					
205000101 SOUTHEA RESEAR			73.67%	74%	<input checked="" type="checkbox"/>
205000405 SERC OVE			0.00%	0%	<input checked="" type="checkbox"/>
205000413 MISC ACC			25.00%	25%	<input checked="" type="checkbox"/>
Non Sponsored Total:			98.67%	99%	
Grand Total:			100.00%	99%	

Division of Research

Technology Update - Effort Reporting Commitment Data Training

▪ Commitment Data in ecrt – How to Access (cont'd.)

- Option 2: From the certifier's effort card by clicking 'Related Reports' and selecting 'Commitment Listing Report'

all certification data must be entered as a whole number (i.e. 10).

Refresh Statement		Related Reports		Override Status		Effort Calculator	
				Show Dollar Value		Add Cost Center	
Cost Center [-]		Payroll	Cost Share	Computed Effort	Certified Effort	Certify Checkboxes	
Sponsored							
	Certification Payroll Report						
	Certifier Payroll Summary Report						
	Commitment Listing Report						
	Cost Share Report						
AWD0000000000	Payroll and Cost Share Report						
800000009	Marine & estuarine goal settin	1.33%	0.00%	1.33%	\$ 0%		<input type="checkbox"/>
<i>Award Total:</i>		1.33%	0.00%	1.33%	0%		
Sponsored Total:		1.33%	0.00%	1.33%	0%		
Non Sponsored							
205000101	SOUTHEAST ENVIRONMENTAL RESEAR	73.67%	0.00%	73.67%	\$ 74%		<input checked="" type="checkbox"/>
205000405	SERC OVERHEAD	0.00%	0.00%	0.00%	\$ 0%		<input checked="" type="checkbox"/>
205000413	MISC ACCOUNT FOR JOE BOYER	25.00%	0.00%	25.00%	\$ 25%		<input checked="" type="checkbox"/>
Non Sponsored Total:		98.67%	0.00%	98.67%	99%		
Grand Total:		100.00%	0.00%	100.00%	99%		

Need Assistance

Division of Research

Technology Update - Effort Reporting Commitment Data Training

■ Commitment Data in ecrt – How to Access (cont'd.)

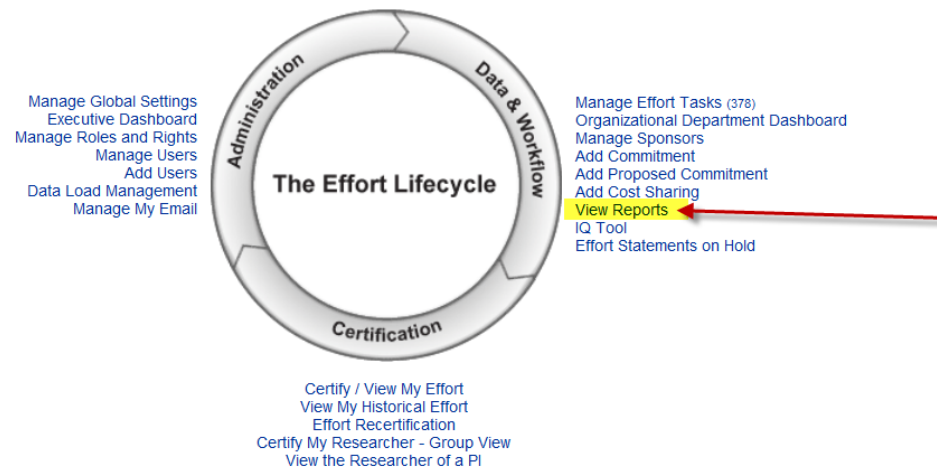
- Option 3: From the home page, click View Reports and select 'Commitment Listing Report' on the next page.

Home Page

Current Certification Period

No Current Period

You are now viewing the effort lifecycle home page. This interactive diagram provides a visual representation of the effort lifecycle, as well as an additional method of navigating the system. If you do not have any options available for a portion of the lifecycle, then you are not responsible for that portion of the lifecycle.

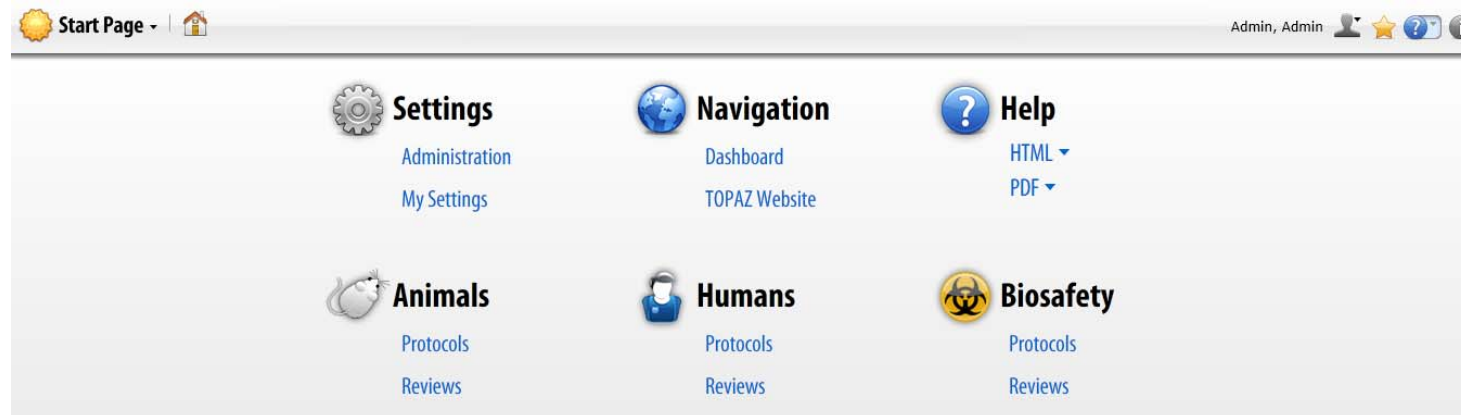


Division of Research

Technology Update - Topaz Implementation

▪ Topaz Implementation – Project Update

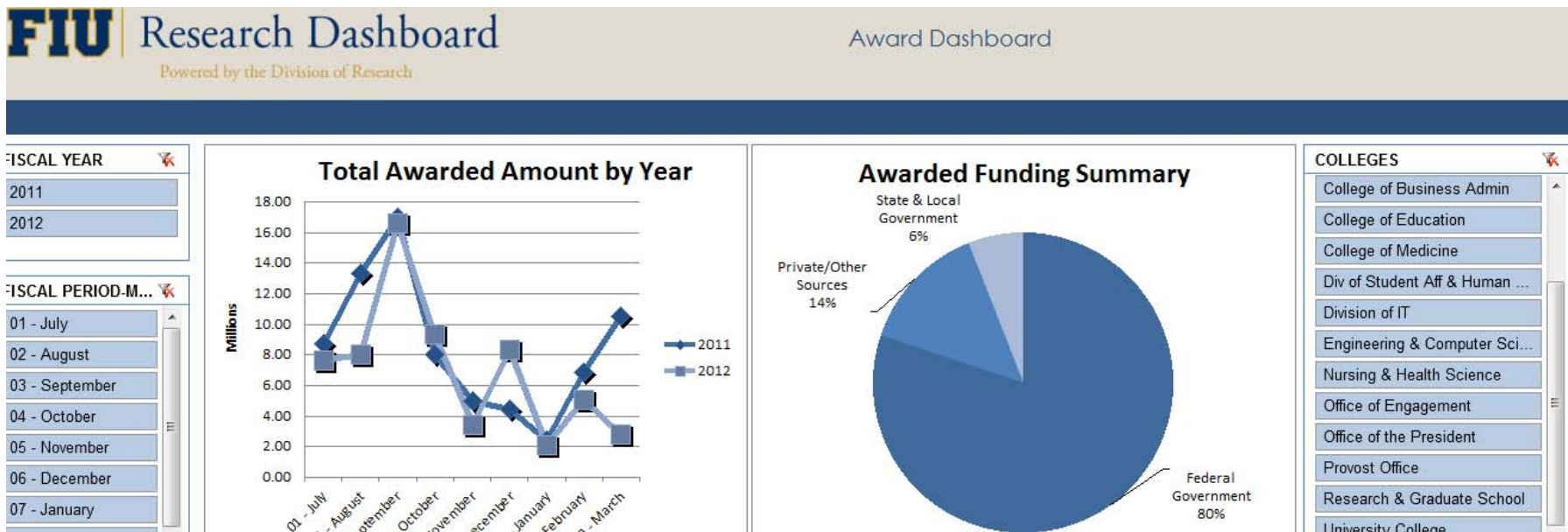
- Completed core testing activities and initiated first set of training sessions.
- Finalizing deployment plans during the month of April. Implementation to begin prior to end of fiscal year.
- Brief Demo



Division of Research Technology Update – Research Reporting Focus Group

Reporting Focus Group

- Initial meeting conducted in February to solicit feedback on reporting needs at the departmental level.
- Initial wave of enhancements to existing Grant Activity reports to be completed this fiscal year. (Demo)
- Developing initial prototypes of research dashboard reporting tools. (Demo)



Purchasing Office Update

Jimmy Carmenate

Division of Research
Questions

Questions?