



Division of Research
Quarterly Research Administration Meeting



October 25, 2011



Division of Research
Quarterly Research Administration Meeting

AGENDA



- **Welcome and Introductions**
- **Controller's Office Update**
- **Human Resources Update**
- **Subcontracting Procedures Update**
- **Technology Update**
- **Pre Award Update**
- **Post Award Update**
- **Budget & Cost Analysis 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**
 - January 31, 2012
 - April 24, 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
Controller's Office

Controller's Office Update

Betty Sanchez-Agramonte

Human Resources Update

Carlos Flores & Carolyn Jackson

Division of Research
Subcontracting Procedures Update

- **NSF Inspector General Office has Performed an Audit of Subcontract / Sub-Award**

- **Primary Recommendations from the Audit:**
 - **Sub Award Monitoring Program**

 - **Risk Assessment**

 - **Risk-Based Monitoring**

Division of Research
Technology Update - FIU Research Clearance Initiative

▪ **FIU Research Clearance Initiative - Project Status**

Anticipated completion of core project deliverables by **November 30th**.

- Finish deployment across entire research community of Electronic Internal Clearance Form (eICF).
- Stop dual data entry into InfoEd.
- Finalize reporting deliverables.
 - Pre-Award reporting to come from PeopleSoft for proposals and awards after 7/1/2011. InfoEd will continue to be available for historical reporting.
 - Focus group reporting sessions will be held during month of November.

Division of Research
Technology Update – FIU Research Clearance Initiative

▪ **eICF - Deployment Schedule**

eICF Deployment Timeline		
College/School/Center/Division	Area	Date
College Arts & Science	SEAS	Apr/2011
School of Hospitality & Tourism Management	SEAS	Apr/2011
School of Journalism & Mass Communication	SEAS	Apr/2011
College Arts & Science	SIPA	Aug/2011
College Arts & Science	SISH	Jul/2011
College of Nursing & Health Sciences	AHC	Jun/2011
Herbert Wertheim College of Medicine	AHC	May/2011
Robert Stempel College of Public Health & Social Work	AHC	Jun/2011
College of Engineering & Computing	ENG	Oct/2011
Applied Research Center (ARC)	ARC	Oct/2011
Academic Affairs	AA/Others	Nov/2011
College of Business Administration	AA/Others	Nov/2011
College of Education	AA/Others	Nov/2011
College of Law	AA/Others	Nov/2011
Division of Student Affairs	AA/Others	Nov/2011
<i>*** Rollout Dates Above Assume Support Staff Hiring Goals Are Achieved ***</i>		

Division of Research
Technology Update – Commitment Data in ecr

- **Commitment Data in ecr**
- Commitment Data will be available within ecr for the Fall 2011 Certification period.
- Commitment Data is being captured by the Division of Research according to the following dates:
 - Proposed Commitments - Proposals submitted after 6/30/2009.
 - Awarded Commitments – All commitments for awards with Project IDs having an end date after 7/31/2011.

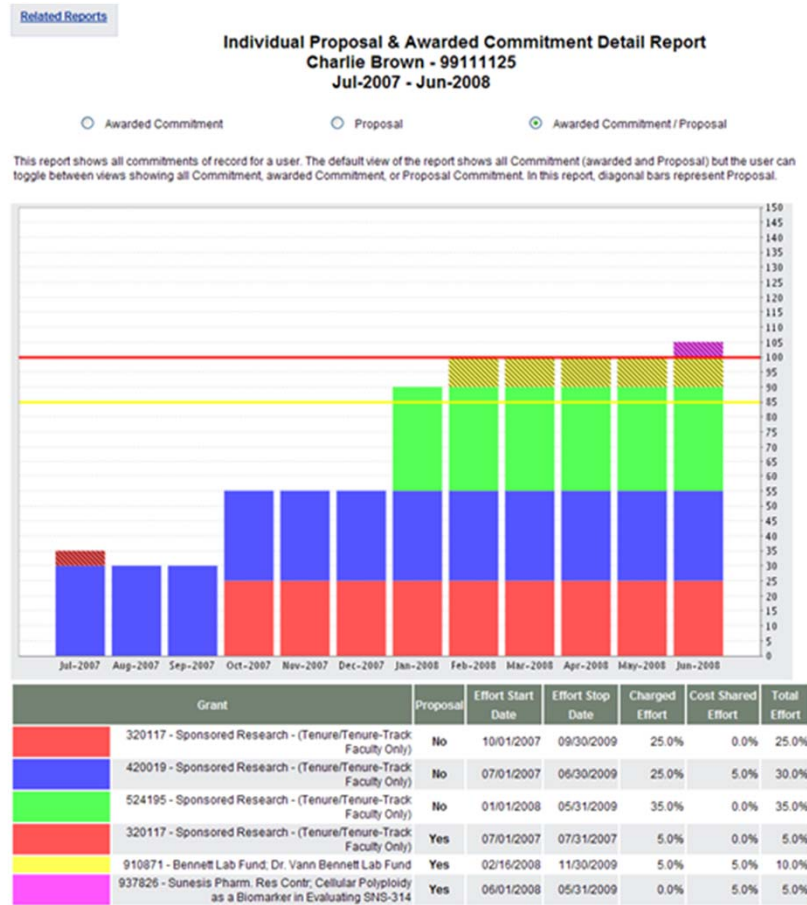
Division of Research Technology Update – Commitment Data in ecrt

■ Screenshot of Effort Card with Commitment Data

Refresh Statement Related Reports	Show Dollar Value Create Cost Transfer Effort Calculator					
Accounts [-]	Commitment	Payroll	Cost Share	Computed Effort	Certified Effort	Certify Checkboxes
Sponsored						
Grant 1 Heart Grant 1 Heart	35.00%					
A1-Heart Heart Failure Studies		14.88%	0.00%	14.88%	\$ 14.88%	<input type="checkbox"/>
A9-Valve Valve Replacement		7.44%	0.00%	7.44%	\$ 7.44%	<input type="checkbox"/>
<i>Award Total:</i>	35.00%	22.32%	0.00%	22.32%	22.32%	
Grant 2 Lung Grant 2 Lung	20.00%					
A2-Lung Development of Artificial Lung		16.08%	0.00%	16.08%	\$ 16.08%	<input type="checkbox"/>
<i>Award Total:</i>	20.00%	16.08%	0.00%	16.08%	16.08%	
Grant 3 Eye Grant 3 Eye	20.00%					
A6-Retina Retina Rebuilding		10.45%	0.00%	10.45%	\$ 10.45%	<input type="checkbox"/>
<i>Award Total:</i>	20.00%	10.45%	0.00%	10.45%	10.45%	
Grant 4 Athletics Grant 4 Athletics	25.00%					
A4-Stimulant Toxic Stimulant Research		3.62%	0.00%	3.62%	\$ 3.62%	<input type="checkbox"/>
A7-Steroid Steroid Effects		10.45%	0.00%	10.45%	\$ 10.45%	<input type="checkbox"/>
<i>Award Total:</i>	25.00%	14.07%	0.00%	14.07%	14.07%	
Grant 5 Hair Grant 5 Hair	0.00%					
A5-Hair Hair Regeneration		3.62%	0.00%	3.62%	\$ 3.62%	<input type="checkbox"/>
<i>Award Total:</i>	0.00%	3.62%	0.00%	3.62%	3.62%	
Grant 7 Speed Grant 7 Speed Improvement	20.00%					
A11-Agility Agility Studies		0.00%	0.00%	0.00%	\$ 0.00%	<input type="checkbox"/>
A12-Muscle Muscle Enhancement		0.00%	0.00%	0.00%	\$ 0.00%	<input type="checkbox"/>
<i>Award Total:</i>	20.00%	0.00%	0.00%	0.00%	0.00%	
Sponsored Total:	120.00%	66.54%	0.00%	66.54%	66.54%	
Non Sponsored						
DS1-Payroll DEMO SCHOOL 1 Payroll		16.73%	0.00%	16.73%	\$ 16.73%	<input type="checkbox"/>
DS2-Payroll DEMO SCHOOL 2 Payroll		16.73%	0.00%	16.73%	\$ 16.73%	<input type="checkbox"/>
Non Sponsored Total:	0.00%	33.46%	0.00%	33.46%	33.46%	
Grand Total:	120.00%	100.00%	0.00%	100.00%	100.00%	All None
Need Assistance					Save to Complete Later Do Nothing	

Division of Research Technology Update – Commitment Data in ecrt

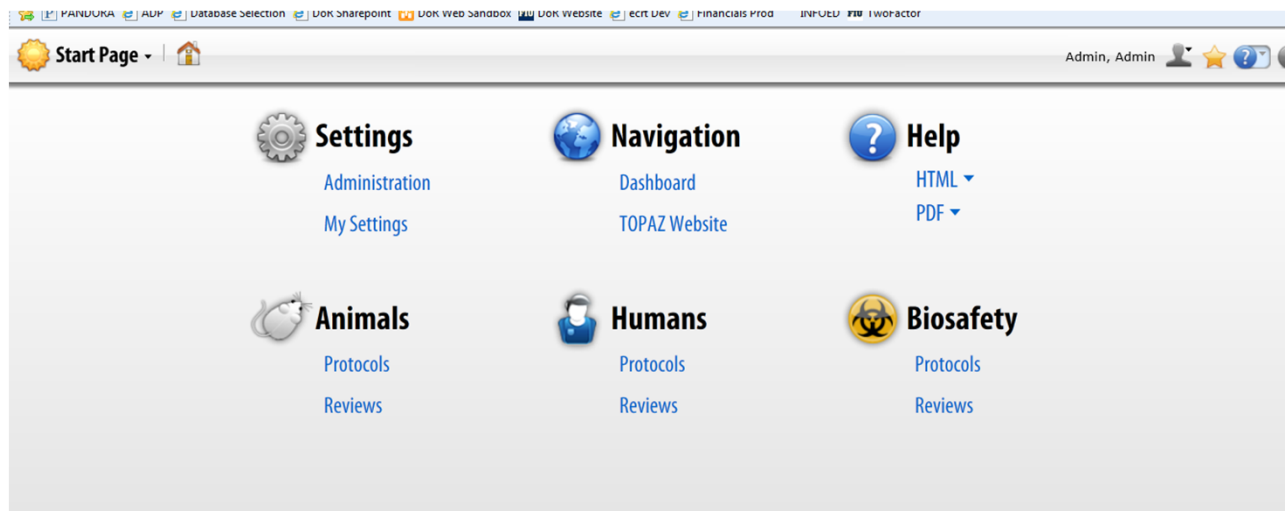
- Sample Commitment Report from ecrt



Figure

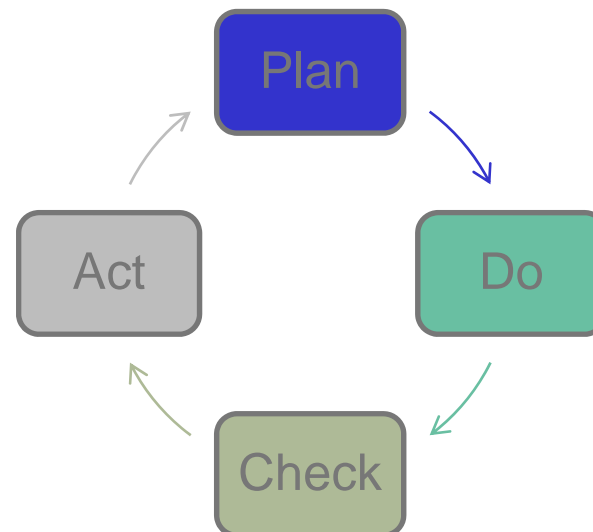
Division of Research *Technology Update – Topaz Implementation*

- **Topaz Implementation – Project Status**
- Completed 2nd phase of 3 phase project plan.
 - FIU Topaz environments created.
 - Configuration activities have started.
- Implementation date is TBD. Estimated between February and May 2012.



Division of Research
Technology Update – Quality Assurance Initiative

- **Quality Assurance Initiative**
- What is Quality Assurance(QA)?
 - *Systematic, structured & continuous attention to quality maintenance and quality improvement.*
- Currently identifying Research Administration business processes for initial phase of Quality Assurance initiative.



Division of Research *Pre Award Update*

- **NIH Update**

- The Department of Health and Human Services (HHS) including the NIH is operating under a Continuing Resolution (CR) that was enacted on October 4, 2011. The CR continues government operations through November 18, 2011 at the FY 2011 level minus 1.5 percent.
- Until FY 2012 appropriations are enacted, NIH will issue non-competing research grant awards at a level below that indicated on the most recent Notice of Award (generally up to 90% of the previously committed level). This is consistent with the NIH's practice during the CRs of FY 2006 - 2011.
- It is expected that upward adjustments to awarded levels will be considered after the FY 2012 appropriations are enacted.
- NIH is only allowing for 2% cost of living increases in applications being submitted.

Division of Research *Pre Award Update*

- **NIH Update - Continued**

- The NIH announced the publication of the revised NIH Grants Policy Statement (NIHGPS, rev. 10/1/2011) on Friday, October 21st.
- The revised NIHGPS is applicable to all NIH grants and cooperative agreements with budget periods beginning on or after October 1, 2011.
- This revision supersedes, in its entirety, the NIH Grants Policy Statement (10/2010) as a standard term and condition of award. However, the October 2010 NIHGPS continues to be the standard term and condition for all NIH grants and cooperative agreements with budget periods that began between October 1, 2010 and September 30, 2011.
- DoR will be sending a detailed memo regarding major updates or revisions via the DoR Research Listserv in the near future
- Additional details are available at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-003.html>

Division of Research *Pre Award Update*

- **Application Deadline Procedures**

- The Division of Research has seen an increase in applications submitted with an 40% increase in requested amounts for the current fiscal year compared to the last fiscal year through September 30th.

- There has also been an increase in the number of applications that do not adhere to the five working day deadline that the institution has adopted.

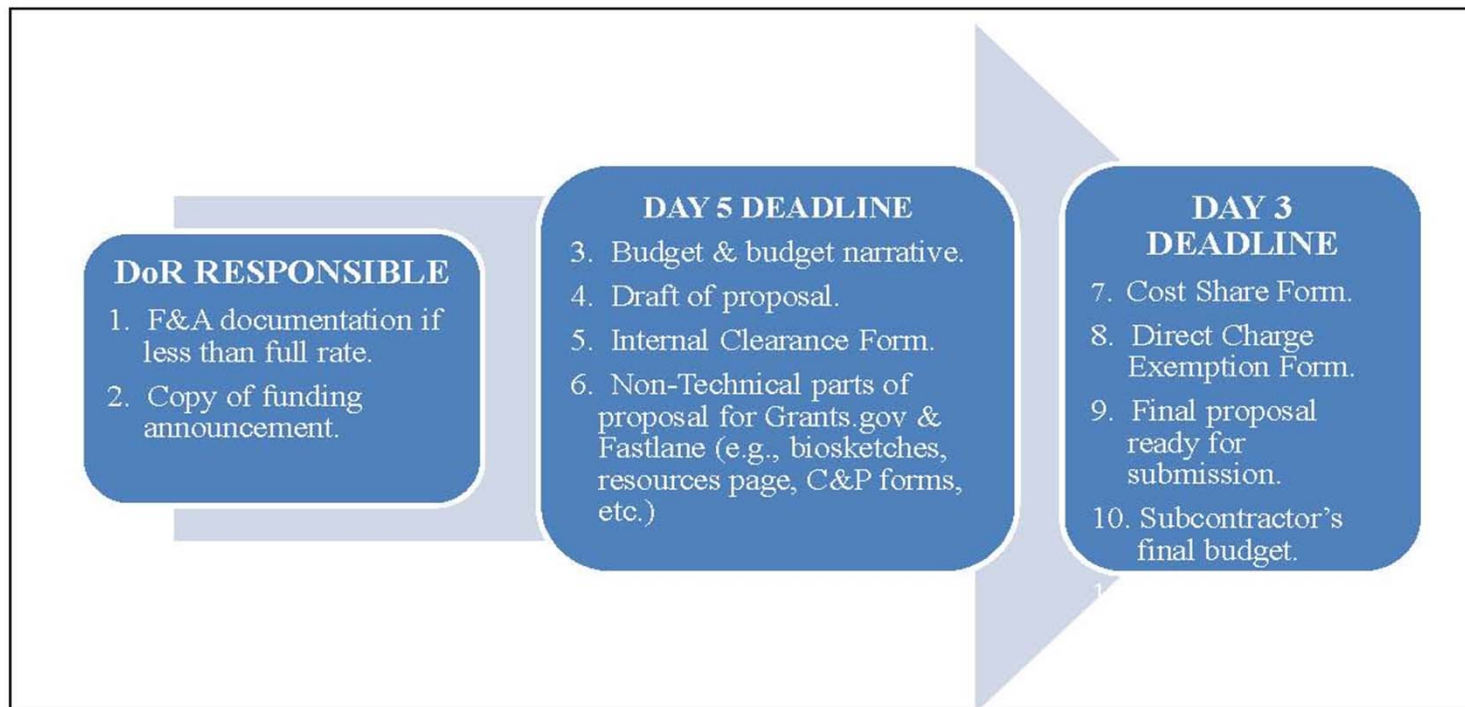
- A reminder that the Vice President for Research has instituted revised procedures that require the internal clearance (paper or eICF), budget, budget narrative, rough draft of proposal and non technical to be received by the Division of Research five business days before the sponsor's deadline.

- Items such as the finalized proposal, cost share form and DCEF can be submitted three business days before the deadline. (Please see figure 1).

Division of Research *Pre Award Update*

Application Deadline Procedures - Continued

Figure 1 – New (June 1, 2011) Timeline of Required Documents Due to DoR for Grant Submissions



Division of Research
Pre Award Update

▪ **Application Deadline Procedures – continued**

- Center and large research team applications require three additional days to those listed on Figure 1.
- Applications that do not meet the deadlines listed on Figure 1 will not be processed unless **the Dean provides a written request to the Vice President for Research delineating the reasons for missing the deadlines.**
- Based on the explanation provided by the Dean, the Vice President for Research will determine whether an exemption is warranted.

Division of Research *Pre Award Update*

- **Investigators on Sponsored Projects**

- Minimum Level of Effort Required for Designation as Principal Investigator on Sponsored Research Proposals, DOR Policy #2320.050, has been combined into DOR policy #2320.035 (previously named “Eligibility to Submit Proposal as Principal Investigator” and now renamed “Investigators on Sponsored Project Proposals”).
- The policies have been combined into one policy because they are interrelated.
- Key points to remember include:
 - Only FIU faculty in tenure or non tenure track positions can be PIs.
 - Personnel in exempt positions can be PIs only with Division of Research approval.
 - Individuals employed by the University as adjunct, courtesy or visiting faculty, lecturers, research assistants, postdoctoral employees, temporary personnel or graduate students are NOT eligible to submit proposals as principal investigators.

Division of Research
Pre Award Update

▪ **Investigators on Sponsored Projects – Continued**

- Only one principal investigator may be listed on a proposal unless the sponsor allows additional principal investigators in which case the number of principal investigators permitted by the sponsor shall be allowed.
- If multiple PIs are permitted by the sponsor then the first PI listed on the application and Internal Clearance Form will serve as the contact PI.
- The contact PI will be responsible for technical / programmatic communication between the sponsor and the rest of the PI leadership team as well as serve as the fiscal and administrative contact with the Division of Research.

Division of Research *Pre Award Update*

- **Salary and Wage Charges on Sponsored Projects**
 - Policy #2320.080 procedures have been updated to clarify that all sponsored project proposal budgets must include the full fringe benefit rate applicable to each FIU employee on the budget.

 - The policy indicates that all sponsored project proposal budgets must include the full fringe benefit rate applicable to each FIU employee on the budget. If the sponsor refuses to fund any fringe benefit costs, the PI's College or Department will be responsible for providing a funding source to the Division of Research for payment of the fringe benefits costs not paid for by the sponsor if the proposal is awarded.

 - Additionally, a DOR Associate Vice President must approve any PI request to **exclude full fringe benefits costs in a sponsored project proposal budget for any post-doctoral position with a six month or greater appointment.**

Division of Research *Pre Award Update*

- **Pre-Award Personnel Updates**

- eICF Personnel Updates

- Courtney Casci, Manager Pre-Award Programs is overseeing the eICF group and will become the programmatic contact for eICF issues once fully deployed

- Trial eICF Deployment approach with Engineering and ARC has an embedded eICF Coordinator (Nathalie Sarmiento) full time at the Engineering Campus and a Senior Pre-Award Coordinator (Reyna Hernandez) on site three days a week.

- Proposals will be submitted on site after being approved by DoR

- BBC/SEAS eICF position is currently vacant and posted position is open through 10/27/11

- Two new eICF Coordinators will be joining the DoR team 11/1/11

Division of Research *Pre Award Update*

- **Pre-Award Personnel Updates**
 - Pre-Award Coordinator Updates
 - Stephanie Mitjans has transitioned to the Research Development team in DoR.
 - A new Coordinator will be joining DoR to replace Stephanie on 10/28/11.

Division of Research *Post Award Update*

- **New Post Award Managers**
 - Diana Caraballo
 - Monica Rodrigo
- **Audits**
 - The Children's Trust (TCT)
 - Environmental Protection Agency (EPA)
 - Inter-American Institute for Global Change Research (Flow Thru from NSF)
 - American Council on Education (ACE)/ Higher Education for Development (HED) (Flow Thru from USAID)
- **US Department of Justice (DOI) Memorandum**
 - Newly Enacted Conference Costs & Reporting Requirements

Division of Research *Post Award Update*

- **New Equipment (OCO) Threshold**
 - July 1, 2011 the equipment threshold was revised to \$5,000
- **Payroll & Non Payroll Transfers**
 - Reasons why we should not be transferring costs
 - Timeliness of cost transfers
- **General Administrative & Clerical Costs should not be directly charged on Sponsored Projects**
 - Examples of Administrative & Clerical Costs: secretarial staff, receptionists, accountants, bookkeepers
 - Examples of General Administrative Costs: office supplies, postage, toner, copy paper, local telephone charges, subscriptions & memberships

Division of Research
Budget & Cost Analysis Update

- **Effort Reporting Update**
 - Updated Policy 2350.020
 - http://policies.fiu.edu/record_profile.php?id=350
 - <http://policies.fiu.edu/files/350.pdf>
 - Status Update – Fall 2010 & Spring 2011
 - Summer 2011 Certification
 - FAQ's

- **5% F&A Return to PIs**
 - Jul-Dec 2010 - posted in Mar 2011
 - Jan-Jun 2011 - posted in Sep 2011
 - <http://policies.fiu.edu/files/725.pdf>

- **F&A Cost Proposal**
 - Working out of office on this proposal
 - Contact David Snider 305-348-7687

- **No Foundation Deposits on miscellaneous funds 651 & 652**

Division of Research
Questions

Questions?