Understanding Roles and Concepts

Funding Announcement - A publicly available document by which a funding source makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds.

Key Personnel - (NIH) individuals identified by the PI who contribute to the scientific development or execution of a project in a substantive, measurable way. “Zero percent” effort or “as needed” is not an acceptable level of involvement for key personnel.

Co-Investigator - an individual involved with the PI on the scientific development or execution of a project. A Co-Investigator typically devotes a specified percentage of time to the project and is considered “key personnel”. He/She does not affect the PI’s responsibilities.

Program Official - the sponsor official responsible for the programmatic, scientific, and/or technical aspects of a grant. Get to know this person: he/she is your advocate within the sponsor organization. However, they are not allowed to approve changes in the budget.

Grants Management Officer or Contracting Officer - the individual at the sponsoring agency authorized to make awards and award changes. This person is the focal point for all business or administrative matters.

Notice of Award - a sponsor’s written notification of acceptance and intention to fund a grant application or proposal. It includes legal requirements imposed on a grant by the sponsor.

Conflict of Interest - a significant interest that could directly and significantly affect the design, conduct, or reporting of the research or educational activities funded by a governmental or other external agency. UM policy faculty and staff that will be involved in research to complete disclosures prior to submission using DPS.

Cost Sharing - specific portion of the project or program costs which are not funded by the sponsor and are borne by the University. Cost Sharing is strongly discouraged by the University unless it is mandatory.

Overview

Research awards are made to the University of Miami on behalf of the Principal Investigator (PI).

The PI is the individual designated by UM to direct the project or activity being supported by the grant. He/she is accountable to UM for the proper conduct of the project/activity. The PI is responsible for:

⇒ Providing the scientific direction of the research program.
⇒ Ensuring research is conducted ethically and in accordance with the award terms and conditions.
⇒ Ensuring the proper financial stewardship of the research program, including the allowability, allocability, and reasonableness of all expenditures.
⇒ Ensuring there is oversight of sub-recipients in:
  a) conducting their scope of work
  b) charging the grant

All proposals must be signed by a UM Authorized Organizational Representative prior to submission.

The University of Miami Authorized Organizational Representative (AOR) along with the PI:

⇒ Certifies that UM will comply with all applicable assurances and certifications referenced in the application.
⇒ Assures that UM will be accountable both for the appropriate use of funds awarded and for the performance of the grant-supported project or activities resulting from the application.
⇒ Attests that all information contained in the application (including the budget) is true and complete and is in conformance with Federal and organizational requirements.

FEDERALLY MANDATED PROGRAMS

Animals: All investigators and staff who use laboratory animals in their research and teaching are required to complete animal training.

Humans: All key personnel must fulfill educational certification requirements before they can perform research involving human subjects.

Recombinant DNA: All research protocols that propose the use of Recombinant DNA must receive prior approval from the Institutional Biosafety Committee.

In order to comply with the University’s Conflict of Interest Policy, all investigators are required to complete the following components:

⇒ Must fulfill Conflict of Interest training requirements.
⇒ Disclose their interests to UM. Each investigator must disclose activities and financial interests related to his/her institutional responsibilities through the Disclosure Profile System (DPS).
What First-Time Researchers Really Need to Know About Compliance

COMPLIANCE CHECK

- All Federal State and Local grants are awarded using public funds. Have I taken advantage of the departmental resources available at the University to ensure that:
  - I have properly exercised my responsibility for the scientific aspects of the grant and for the day-to-day management of the project, including research performed by sub-recipient participating organizations?
  - I have lived up to my fiscal stewardship responsibilities through diligent oversight of my sponsored research?
  - Finally, have I considered how a transaction or action would be perceived if it were reported in the newspaper?

- Federal regulations require certification of effort expended on sponsored projects for anyone whose salary is charged to a sponsored award. The University implemented a W2 Effort reporting system (ECRT) to better comply with the federal government mandate that after-the-fact effort certifications must be completed by all employees whose salary is charged to a federal or federal pass-through sponsored grants and/or contracts. Investigators must sign the certifications.

- Be careful with Cost Transfers! A cost transfer occurs when an expense is transferred from one account to another when an error has occurred. Cost transfers must comply with principles of direct costs. Transfers are a means of correcting errors, NOT managing project funds. They must be supported with full, detailed explanation, not just what was done, but why it was necessary. Cost transfers for personnel costs are now called Payroll Accounting Adjustments and are processed in Workday.

Export Control Compliance

ORA maintains an export compliance program to assist the University in the appropriate transfer of information and/or equipment out of the U.S., or to foreign nationals within U.S. territory.

For questions please email exportcontrol@miami.edu

Prepare your budget carefully!
Consider the following:

DIRECT COSTS
Costs that have a direct benefit and that can be specifically identified with a particular project with a high degree of accuracy. These costs:

- Allowable
- Allocable
- Reasonable
- Consistently applied

Charge it where you use it!

FACILITIES AND ADMINISTRATIVE COSTS (F&A, INDIRECT OR OVERHEAD)
Costs that are incurred by a grantee for common or joint objectives and that, therefore, cannot be identified specifically with a particular project or program. Examples include costs such as lab space, housekeeping, utilities, libraries, departmental and general administration.

Under unique circumstances costs generally considered indirect costs may be allowed on Federal Grants if all of the following conditions are met:

1) The requirement that the cost is “integral” to the project or activity. Integral means the service are essential, vital or fundamental to the project or activity.
2) Are specifically identified to the project.
3) Included in the budget/budget justification.
4) The costs are not also recovered as F&A.

To find the University of Miami Rates & Information for submitting grant applications or to locate forms for submitting or managing grants, please visit the Office of Research Administration website at:

www.ora.miami.edu
Contact Information

For more information about educational offerings in research administration, please contact:

Office of Research Administration (ORA)
Training Team
305-284-3866
OR
Visit the ULearn at: www.ulearn.miami.edu

Who is my ORA Contact Person?
Locate your ORA Contact Person for Pre- and Post-Award by clicking on “Contact US” on the ORA website.

OFFICE OF RESEARCH ADMINISTRATION
Barbara Cole - Assoc. Vice President for Research Administration
(305) 284-3956 — http://miami.edu/ora

Pre-Award
Coral Gables/Medical Campus - (305) 284-3871
RSMAS Campus - (305) 421-4800

Post-Award
Coral Gables/ Medical Campus - (305) 284-3871
RSMAS Campus—(305) 421-4800

Research Reporting Systems
All Campuses—(305) 284-3906

OFFICE OF THE VICE PROVOST FOR RESEARCH
John Bixby—Vice Provost for Research
(305) 243-7587 — www.ursearch.miami.edu

RESEARCH EDUCATION AND INNOVATIVE MEDICINE
Dr. Kushandra Jayaweera—Interim Executive Dean for Research
(305) 243-9614 — http://research.med.miami.edu

HUMAN SUBJECTS RESEARCH OFFICE (HSRO) /
INSTITUTIONAL REVIEW BOARDS (IRB)
(305) 243-3195 — http://hsro.med.miami.edu

INSTITUTIONAL ANIMAL CARE AND USE (IACUC)
(305) 243-2311 — http://uresearch.miami.edu/regulatory-compliance-services/iacuc

INSTITUTIONAL BIOSAFETY COMMITTEE (IBC)
(305) 243-2340 - http://uresearch.miami.edu/regulatory-compliance-services/IBC

ENVIRONMENTAL HEALTH & SAFETY
(305) 243-3400 — http://www.miami.edu/EHS

OFFICE OF RESEARCH RADIATION CONTROL
(305) 243-6369 — http://facilities.med.miami.edu

RESEARCH COMPLIANCE & QUALITY ASSURANCE (RCQA)
(305) 243-9740 - http://uresearch.miami.edu/regulatory-compliance-services/rcqa

UNIVERSITY INNOVATION (OFFICE OF TECHNOLOGY TRANSFER)
(305) 243-5689 — www.miami.edu/techtransfer

OFFICE OF DISCLOSURES & CONFLICT OF INTEREST MANAGEMENT (DCM)
(305) 243-0877 — http://uresearch.miami.edu/regulatory-compliance-services/disclosures-conflict-of-interest

DISCLOSURE PROFILE SYSTEM (DPS) HELP LINE
(305) 243-0877