



QUICK REFERENCE GUIDE FOR SPONSORED PROJECTS

OFFICE OF RESEARCH ADMINISTRATION

The Office of Research Administration provides an integrated network of administrative support and educational opportunities to facilitate scholarly activity, scientific discovery and the responsible conduct of research.

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.

Conflict of Interest

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 [UDisclose system](#).

Your Success Is Our Success!



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 effect 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 UDisclose.

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.

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 an online effort reporting system (ECRT) to better comply with the federal government mandate that after-the-fact effort certifications must be completed by the Principal Investigator for themselves and staff on the project. All faculty whose salary is charged to a federal or federal pass-through sponsored grants and/or contracts must certify their effort.
- **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

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.

Export Control Compliance Website: www.miami.edu/exportcontrol

For questions please email: exportcontrol@miami.edu.

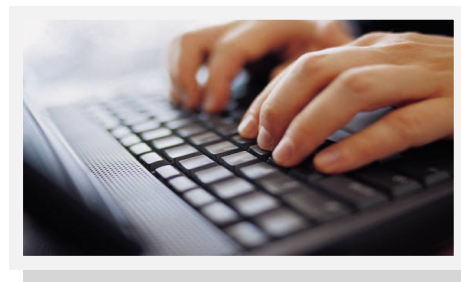
Prepare your budget carefully! Consider the following:

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:

Must be specifically identified with a particular project and must be:

- ✓ *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.

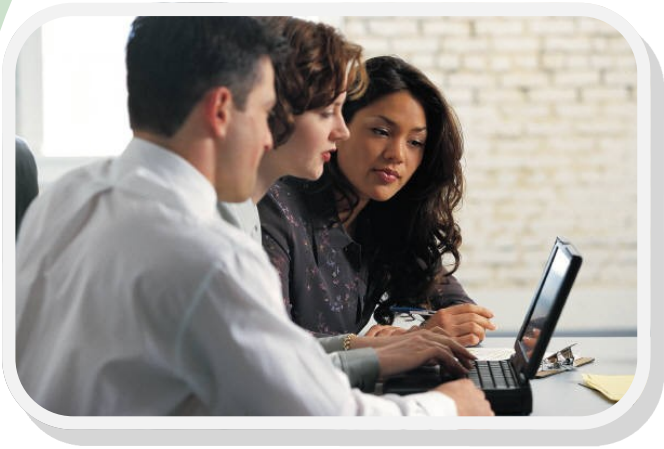
Under unique circumstances costs generally considered indirect costs may be allowed on Federal Grants if all of the following conditions are met:

- 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:

Contact the Office of Research Administration (ORA) Training Team **305-284-3866**

OR

Visit the ULearn at: www.miami.edu/ulearn

Keywords- Research Administration

Who is my
ORA Contact Person?

To locate your ORA Pre and Post Award Contact Person, go to www.ora.miami.edu and click on



OFFICE OF RESEARCH ADMINISTRATION

Laura Kozma - Associate Vice President for Research Administration

(305) 284-3956—www.ora.miami.edu

Pre-Award <https://www.ora.miami.edu/about-ora/contact-us/pre-award-contact-information/index.html>

Coral Gables/Medical Campus - (305) 284-3871

RSMAS Campus - (305) 421-4800

Post-Award <https://www.ora.miami.edu/about-ora/contact-us/pre-award-contact-information/index.html>

Coral Gables/ Medical Campus - (305) 284-3871

RSMAS Campus—(305) 421-4800

Research Reporting System (RRS)

<https://my.ora.miami.edu/myora/reporting/index.html>

All Campuses—(305) 284-3906

OFFICE OF THE VICE PROVOST FOR RESEARCH

Erin Kobetz—Vice Provost for Research

(305) 243-7587 —<https://www.uresearch.miami.edu/about-uresearch/vice-provost-for-research/index.html>

RESEARCH DEVELOPMENT & SUPPORT (RDS)

Carl Schulman, M.D., Ph.D.— Executive Dean for Research

(305) 243-9614 — <https://med.miami.edu/research/research-development-and-support>

HUMAN SUBJECTS RESEARCH OFFICE (HSRO) / INSTITUTIONAL REVIEW BOARDS (IRB)

(305) 243-3195 - <https://hsro.uresearch.miami.edu/>

INSTITUTIONAL ANIMAL CARE AND USE (IACUC)

(305) 243-2311- <https://www.uresearch.miami.edu/uresearch-services/iacuc/index.html>

INSTITUTIONAL BIOSAFETY COMMITTEE (IBC)

(305) 243-2311- <https://www.uresearch.miami.edu/uresearch-services/ibc/index.html>

ENVIRONMENTAL HEALTH & SAFETY

(305) 243-3400 - <https://ehs.miami.edu/index.html>

OFFICE OF RESEARCH RADIATION CONTROL

(305) 243-6369 - <http://facilities.med.miami.edu/divisions/radiation-cont>

RESEARCH COMPLIANCE & QUALITY ASSURANCE (RCQA)

(305) 243-9740 - <https://www.uresearch.miami.edu/contact-us/rcqa/index.html>

INNOVATION (OFFICE OF TECHNOLOGY TRANSFER)

(305) 243-5689 - <https://innovation.miami.edu/index.html>

CONFLICT OF INTEREST (COI)

(305) 243- 0877- <https://www.uresearch.miami.edu/uresearch-services/coi/index.html>