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 or at least once a year 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.
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 WEBeffort 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.

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.miami.edu/ora
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.mi.miami.edu

RESEARCH EDUCATION AND INNOVATIVE MEDICINE
Omaida Velazquez—Executive Dean for Research
(305) 243-0802—http://research.med.mi.miami.edu

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

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

INSTITUTIONAL BIOSAFETY COMMITTEE (IBC)
(305) 243-2311—http://uresearch.mi.miami.edu/regulatory-compliance-services/ibc

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

CITIPROGRAM
(305) 243-7970—https://citiprogram.org/

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

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

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

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

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

For more information about educational offerings in research administration, please contact:
Office of Research Administration (ORA)
Training Team
305-284-3866
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