

This policy is adapted from the operational principles of the UM Development Office. It refers to reimbursement of expenses related to fundraising.

Travel involving donor cultivation or fundraising event trips outside of Miami-Dade County must have prior written approval from the College's Assistant Dean of Development or the Dean of the College and a pre-approved donor strategy.

Reimbursements for travel and expenses relating to donor cultivations and solicitations will only be reimbursed if documentation in writing is provided as part of the eBERF with the approval of the Assistant Dean of Development or the Dean of the College with respect to donor strategy.

Approved items for reimbursement for the donor-related portion of the trips include but are not limited to mid-size rental cars, moderately priced restaurants, moderately priced hotels, parking, and tolls.

If there is a need for exceptions to this policy, email the Dean of the College prior to the trip.

UNIVERSITY OF MIAMI
COLLEGE of
ARTS & SCIENCES



CONFIDENTIAL

Program Director Name Here
Program Name Here

EVALUATION PERIOD

Date Range Here (e.g., January 1st, 2015 – December 31, 2015)

DEADLINE

Date Here

Please complete this form, sign and submit it to Arts and Sciences,
Dean's Office (Ashe Building, Room 201)

METRICS PROVIDED BY THE OFFICE OF THE DEAN

FISCAL YEAR FINANCIAL STARTING POSITION

(Add below the table provided by Hector with the consolidated budget for operations)

PROGRAM PROVIDED INFORMATION

MEMBERS OF THE PROGRAM'S STEERING COMMITTEE

Enter Names Here

OTHER PROGRAM INFORMATION

- Number of active graduate students based on the most recent Fall [Factbook](#):

Number of Graduate Students: [Enter # Here](#)

Use space below to provide notes or comments to figures above

- Use the space below to provide highlights of graduate student's achievements and external student recognition awards:
- Use the space below to provide data on the diversity of graduate students (ethnicity and gender) and describe the efforts you have taken to improve graduate student diversity:
- Use the space below to summarize any Online and Global initiatives you have undertaken in the calendar year and describe any new initiatives you plan to take in the upcoming calendar year. Also, provide a listing of collaborations with other units either in existence or under development:

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(Ashe Building, Room 201). Provide a copy to your Chair.

PROGRAM PROVIDED INFORMATION

MEMBERS OF THE PROGRAM'S STEERING COMMITTEE

Enter Names Here

OTHER PROGRAM INFORMATION

- Number of Majors and Minors based on the most recent Fall [Factbook](#):

Majors (if applicable) Enter # Here

Minors (if applicable) Enter # Here

Use space below to provide notes or comments to figures above

- Use the space below to provide highlights of undergraduate student's achievements and external student recognition awards:
- Use the space below to summarize any Online and Global initiatives you have undertaken in the calendar year and describe any new initiatives you plan to take in the upcoming calendar year. Also, provide a listing of collaborations with other units either in existence or under development:
- As you are aware, there is a University-wide emphasis on our core values and on how we can further contribute to building a better University. Use the space below to describe any initiatives you have undertaken this calendar year to help build a better U and articulate any new plans you may have for the upcoming calendar year:



DRAFT

Educational Leave Vs Public Service Leave

Suggested criteria would be based on:

- 1) Competitiveness of the award
- 2) Does the award involve significant teaching at another institution?

"Public Service" leave will be recommended for those receiving major awards that allow the faculty member to concentrate on their research or conduct important public service (i.e., working as an adviser to a government agency for a limited period) and that involve little to no teaching.

If someone receives a fellowship at another university that requires teaching and mentoring of students at that university, we would typically recommend an "educational" leave. Similarly, if a faculty member requests an unpaid leave to pursue training or a degree program at another institution, we would recommend an "educational" leave.

Faculty who are applying for awards need to speak with a Benefits Specialist (Ms. Jennifer Cohen) prior to submitting an application to understand how the leave and award may impact their benefits.

TO: Tenured and Tenure-Track Faculty

FROM: Angel Kaifer, Senior Associate Dean, Research & Graduate Education

To meet the submission deadlines established by the UM Office of Research Administration Application Deadline Policy (attached), PIs need to coordinate with the CAS Research Support Services office *at least one month in advance of the agency deadline.*

Note that this University policy requires proposals for sponsored funding be submitted in final format, ready to submit to the agency, several business days prior to the agency deadline. **PIs should no longer submit revisions on the day of the agency deadline.**

Ten business days* prior to the agency deadline:

Preliminary Review Deadline submission of CAS approved documents to the central Office of Research Administration:

- detailed budget,
- budget justification,
- abstract/summary,
- **NEW All proposal documents** (excluding the Project Description/Research Plan).
- **Proposal routing form**, signed by the PI, coPIs, and their department chairpersons. (RSSA staff will prepare this form and will handle Dean-level approval and submission to ORA.)

AND

Three business days* prior to the agency deadline:

Final Review Submission Deadline submission to the central Office of Research Administration:

- **NEW The full final proposal, including the research narrative—in final—is due in its final form; ready to submit to the agency.**

All revisions must be completed several days prior to the agency deadline. You are asked to abide by this University policy to provide adequate time for Office of Research Administration's review and approvals of funding proposals to ensure successful submissions.

If the 10-day Preliminary Review Deadline is not met, the policy requires the full proposal be submitted:

Five business days* prior to the agency deadline

- **NEW Single Comprehensive Review** requires submission of **the proposal, including the Project Description/Research Plan—all documents—in final, ready to submit to the agency** at least **five business days** in advance of the agency deadline.

If you are unable to meet the policy deadlines, your proposal may not receive an appropriate administrative review prior to submission.

CAS Research Support Services Contacts:

- Tracy Ehrlich, Senior Sponsored Programs Manager tehrlich@miami.edu
- Monica Leon, Sponsored Programs Specialist, monica.leon@miami.edu
- Ashe Building, Suite 327 | 305-284-4797

Upcoming NSF Deadlines: https://www.nsf.gov/funding/pgm_list.jsp?org=NSF&ord=date

- NSF CAREER (15-555) July 20, 21, 22

*Note that business days are Monday through Friday excluding UM holidays.

**Policy**

Sections: <input type="checkbox"/> Purpose <input type="checkbox"/> Policy <input type="checkbox"/> Definitions <input type="checkbox"/> Responsibility <input type="checkbox"/> Procedure <input type="checkbox"/> Training <input type="checkbox"/> Signature <input type="checkbox"/> History	Effective Date: 09/01/2015 Revision History: Noted Below Responsible University Officer: Associate Vice President Responsible Office(s): Office of Research Administration (ORA)
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Purpose

The purpose of this policy is to ensure all UM sponsored applications are submitted, reviewed and approved by ORA prior to submission to our sponsors in accordance with 2 CFR 200, Federal and State regulations, as well as sponsor terms and conditions.

Failure to comply with UM's policies and procedures may result in unfavorable review, denial of funding, request for clarification/documentation, additional terms and conditions, and/or other enforcement actions imposed by the sponsor. This policy applies to all Federal and non-Federal sponsored activities, including all externally funded clinical trials.

This policy applies to all UM personnel, including:

- All faculty, including voluntary faculty and courtesy appointments.
- Faculty emeriti engaged as active researchers on UM research activities.
- Researchers, including research staff, postdoctoral fellows, and research associates.
- Graduate students, undergraduate students, and interns involved in research programs.
- Staff in departments, centers, institutes, and administrative offices charged with responsibilities under this policy.
- Consultants, agents, and volunteers associated with research and scholarly activities, as well as in departments and offices charged with responsibilities under this policy.

Policy

It is the policy of the University of Miami that all sponsored applications/proposals will be received by ORA in advance of the agency's deadline to meet review and approval requirements in accordance with 2 CFR 200 and other agency specific requirements. This timing will also allow ORA to obtain any additional required approvals, including but not limited to: Facilities & Administration Waivers, Cost Share, and Familial Relationships as identified on the Proposal / Contract Routing Form (PCRF-L).

ORA provides two options when submitting all applications in advance of the application deadline:

- **OPTION 1 — Single Comprehensive Review – 5 DAYS**
Entire application, including PCRF-L, must be received at ORA in final form and ready for submission a minimum of five business days prior to the agency deadline. This is critical to allow sufficient time for review, editing, submission, and confirmation of an "error-free" application prior to the deadline.
- **OPTION 2 — Two-Tiered Review – 10 and 3 DAYS**
Applications must be submitted to ORA for a Preliminary Review and a Final Review.
 - **Preliminary Review:** Entire application including PCRF-L, Abstract, Budget and Budget Justification and all other required documentation (excluding the Research Plan) must be sent to ORA in final form and ready for submission ten business days prior to the agency deadline AND
 - **Final Review:** The Research Plan must be provided to ORA in final form and ready for submission a minimum of three business days prior to the agency deadline.



Definitions

Please refer to UM's Office of Research Administration (ORA) website for a list of acronyms and terms commonly used in sponsored/ research administration grants, contracts, and cooperative agreements: (<https://umshare.miami.edu/web/wda/researchadministration/Policies/glossary.pdf>)

Responsibility

All UM personnel must be aware of the complex and detailed rules provided under Federal and non-Federal regulations as well as the terms and conditions of the individual sponsored activity. While compliance with all applicable requirements is essential, it is equally important to maintain an open research environment that welcomes the participation of researchers from around the world as part of UM's mission. To maintain this balance, UM personnel must be familiar with this policy in addition to the Federal and non-Federal regulations on sponsored activities.

It is the responsibility of all UM personnel to be aware of UM policies and exercise reasonableness in managing all sponsored activities appropriately.

The Office of Research Administration is responsible for providing information to sponsoring agencies that demonstrate the University has fulfilled the terms and conditions of receiving the award.

The Office of Research Administration is responsible for helping UM personnel understand and comply with this policy.

Procedure

UM personnel are to use [UM's ORA website](#) for guidance on matters pertaining to sponsored activities.

UM personnel are to follow the Standard Operating Procedures (SOP) outlined, as well as utilize the various required forms and templates that have been implemented for the activities related to this policy.

UM personnel should contact the Pre Award staff for consultation if additional information is needed. Contact information can be found on [UM's ORA Contacts Webpage](#).

Training

Training sessions on different sponsored topics are offered throughout the year. The Office of Research Administration is also available for training sessions via http://www.miami.edu/finance/index.php/ora_homepage/training/.



Signature

Print Name:	Barbara Cole	
Title:	Associate Vice President for Research Administration	
		03/31/2016
Signature	Date	

History

Effective Date	Revision Date	Description
2015-Sept-01		Formal Policy Issued: 09/01/2015