

Cooperative Institute for Marine and Atmospheric Studies Handbook



UNIVERSITY OF MIAMI
ROSENSTIEL
SCHOOL of MARINE &
ATMOSPHERIC SCIENCE



Revised: October 15, 2020

TABLE OF CONTENTS

Section 1

- ▶ LETTER FROM THE DIRECTOR

Section 2

- ▶ TASK ORGANIZATION

Section 3

- ▶ CIMAS RESEARCH THEMES
 1. Tropical Weather Observations, Analysis
 2. Ocean and Climate Observation, Analysis and Prediction
 3. Ecosystem Observations, Modeling, Forecasting and Management
 4. Protection and Restoration of Marine Resources

Section 4

- ▶ INFORMATION FOR CIMAS RESEARCH PERSONNEL
 1. Working Hours
 2. Payroll
 3. Benefits
 4. Vacation Sick Leave
 5. Salaries
 6. Support Services/Travel
 7. Parking
 8. Submission of Proposals Through CIMAS
 9. CIMAS Activities
 10. Scientific Publications
 11. Reports
 12. Use of University Stationery and Electronic Communications
 13. CIMAS Off-Campus Consulting Advisors
 14. CIMAS Staff and Research Personnel

Section 5

- ▶ SUBMISSION OF PROPOSALS THROUGH CIMAS
 - Proposal Process for CIMAS Employees
 - Identifying CIMAS Links in Proposals
 - Identifying Links to the NOAA Strategic Plan
 - Identifying the Appropriate Task in your Proposal
 - Example Formats

Section 6

- ▶ EMPLOYMENT STATUS AND CLASSIFICATION
 - Track I
 - Job Titles in Track I
 - RA I, II, and II
 - Sr. RA I, II, and III
 - Assistant Scientist
 - Associate Scientist
 - Scientist
 - Track II
 - Job Titles in Track II
 - Visiting Researchers
 - Postdoctoral Associates
 - Visiting Scientist

- Employment Status

Section 7

- ▶ PROCEDURES FOR PROMOTIONS AND RAISES AT RSMAS

Section 8

- ▶ SEXUAL MISCONDUCT POLICY
- ▶ CONSENTING ADULTS POLICY
- ▶ RISK MANGEMENT/DRIVING NON-UM VEHICLES

SECTION I

UNIVERSITY OF MIAMI

**COOPERATIVE INSTITUTE for
MARINE & ATMOSPHERIC STUDIES**



LETTER FROM THE DIRECTOR

At the University of Miami's Rosenstiel School for Marine and Atmospheric Science, we are very proud of our 40+ year collaboration with the National Oceanic and Atmospheric Administration (NOAA). This collaboration started in 1977 with the founding of the Cooperative Institute for Marine and Atmospheric Studies (CIMAS). CIMAS serves as a mechanism to bring together research resources and personnel of the University of Miami Rosenstiel School with those of NOAA for a Center of Excellence focused on understanding the Earth's oceans and atmosphere within the context of NOAA's mission of Science, Service, and Stewardship. The Rosenstiel School and CIMAS are uniquely positioned at the gateway of tropical meteorology and climatically important oceanographic processes including marine ecosystems. In addition, we are situated in close proximity to NOAA Atlantic Oceanographic and Meteorological Laboratory, NOAA National Hurricane Center and NOAA South Eastern Fisheries Science Center. This co-location in terms of scientific and laboratory geography enables scientific progress that underpins NOAA's efforts to save lives and property, and ensure economic opportunity in the face of environmental challenges.

During our 40+ years of collaboration, we have expanded our scientific interactions so that nearly 50% of the workforce embedded in the NOAA labs are University of Miami employees. We have also expanded our collaboration to include nine partner Universities (FAU, FIT, FIU, FSU, NOVA, UF, UPRM, USF, and USVI). All of these collaborations are organized around seven CIMAS research themes: Climate Research and Impact, Tropical Weather, Sustained Ocean and Coastal Observation, Ocean Modeling, Ecosystem Modeling and Forecasting, Ecosystem Management, and Protection and Restoration of Resources—all of which inform and guide NOAA in meeting its mission. Additional details are provided on this website.

Finally, we are also very pleased with the expansion of our partnership in graduate education. A large number of Rosenstiel School Master of Professional Science students prepare for their professional career with internships at the NOAA laboratories, which often turn into permanent employment. More recently, we have established CIMAS PhD graduate assistantships which are specifically focused on enhancing research collaborations between scientists working in the NOAA laboratories and University of Miami-RSMAS faculty. All of these educational efforts help NOAA have the best and brightest future workforce, and allow Rosenstiel School faculty to work side-by-side with NOAA scientists to meet their mission.

Dr. Ben Kirtman, Director

SECTION 2

TASK ORGANIZATION

Task 1 provides the administrative structure for the Institute and includes support for graduate students and limited-term collaborating research scientists from outside of Miami. It also includes funding NOAA provides for access to research infrastructure (e.g. shiptime, super computing, Internet access etc.), education and outreach. The University contributes to the administrative support of CIMAS in its role as a Division in the School. Task 1 also provides travel expenses and honoraria for short-term visits by scientists. CIMAS has an active Visiting Scientist program. During a typical year, CIMAS hosts about five scientists who reside in CIMAS for periods of a week to several months. A few visiting scientists have multiyear appointments

Task 2 provides support for highly specialized researchers who are employed by CIMAS to complement existing expertise at NOAA and the University in the collaborative research themes of the Institute. The University of Miami employment policy incorporates a well-delineated series of employment categories that allow for professional advancement in the research. All Task 2 employees are University of Miami employees working off-campus at NOAA facilities.

Task 3 encompass the individual research projects of CIMAS. These provide support for research on CIMAS themes by University faculty, scientists and students. We also have projects submitted by our Partner Institutions (CARICOOS, FAU, FIT, FIU, FSU, NOVA, UF, USF and UVI). Support for specific projects under these tasks is based both upon competitive proposals submitted to NOAA programs offices such as the Climate Program Office or Center for Sponsored Coastal Ocean Research or solicited proposals requested by NOAA research (e.g. OAR/AOML or NMFS/SEFSC) or operational (NOAA/NWS or NOAA/NESD/C) entities. All Task 3 projects are funded by NOAA. CIMAS “scientists” and faculty at any member University in the CIMAS consortium may write either competitive or solicited Task 3 proposals to NOAA.

SECTION 3

CIMAS RESEARCH THEMES

CIMAS conducts research, support research and education and provides outreach services with respect to the following scientific topics. These Research Themes were defined by NOAA in the request for proposals (RFP) to which we responded in the recompetition process.

- Tropical Weather Observations, Analysis
- Ocean and Climate Observation, Analysis and Prediction
- Ecosystem Observations, Modeling, Forecasting and Management
- Protection and Restoration of Marine Resources

For more information regarding each theme, please visit <https://cimas.rsmas.miami.edu/>

SECTION 4

INFORMATION FOR CIMAS RESEARCH PERSONNEL

Operations and Procedures in CIMAS

This document outlines many of the terms and conditions of your employment at The University of Miami. Additional information is available in the University of Miami's *Policies and Procedures*, which can be found on the University's website www.HR.miami.edu. On the website, you will find benefits, pay and other workplace requirements and policies.

1. Working Hours

Full-time employees are expected to work 8 hours per day. Those working at the AOML/SEFSC location should conform to AOML/SEFSC business hours or to a schedule that is worked out in agreement with the AOML/SEFSC advisor. In some cases, CIMAS employees are supported with funds from two or more sources and they may be responsible to more than one advisor; in such cases, working hours must be apportioned according to the level of salary support provided. Where more than one advisor is involved, it is the responsibility of the employee to work out a suitable working schedule with the advisors and to keep the advisors informed of any changes in the employee's working schedule.

2. Payroll

All salary payments are direct deposited electronically to a checking or savings account designated by the employee. Payment is deposited on the last working day of each month for exempt employees and bi-weekly for non-exempt employees. If you wish to increase or decrease withholding you must login into Workday, click on "Pay", and under "Actions" click on the "Withholding Elections" tab. For additional information relating to taxes, deductions, or other payroll matters, call the University of Miami Payroll Office directly, at 305-284-3004.

Payroll information can be viewed by logging into Workday at <http://workday.miami.edu>

3. Benefits

Full time CIMAS employees are eligible for medical insurance through the University. Faculty and staff are eligible for medical, vision, and dental benefits as of their start date. Enrollment must be completed within the first 15 working days via Workday.

Open Enrollment is the annual opportunity for employees to make changes to medical, vision, dental, flexible spending, short-term disability, and accidental death and dismemberment benefits. Open Enrollment occurs in October. During this time, all regular full time and part time employees working more than 20 hours per week can go online to Workday to make benefits changes. The effective date for Open Enrollment benefit changes is January 1 of the following year.

Part-time employees who work at least at 50% (20 hours or more) effort are entitled to pro-rated health insurance. Please contact Benefits Administration at 305-284-3004 for more details.

Please visit the Human Resources website at www.HR.miami.edu for additional information regarding health benefits.

TOTAL REWARDS

Benefits Beyond Expectations

- Paid Parental Leave Program for Staff, which includes two weeks of paid time off for a birth or adoption of a child
- Voluntary excess life insurance equal to one to six times your base annual salary, up to a maximum of \$1.5 million
- \$5 visits to the UHealth Clinic at Walgreens for UM/Aetna members

Benefits dates and deadlines

BENEFIT	ELIGIBILITY/EFFECTIVE DATE	ENROLLMENT DEADLINES
Medical/Dental Insurance	Start date	Enroll in Workday within 15 days from start date
Flexible Spending Accounts	1st of the month following date of hire	Enroll in Workday within 15 days from start date
Voluntary Retirement Savings Plan 403(b)	Eligible upon hire	Enroll today at netbenefits.com/um
Retirement Savings Plan	After one year of employment	Automatically enrolled after one year of employment
Group Life Insurance	Start date	Automatically enrolled. Designate beneficiaries in Workday.
Group AD&D	Start date	Automatically enrolled. Designate beneficiaries in Workday.
One Month Pay Benefit	Start date	Automatically enrolled. Designate beneficiaries in Workday.
Voluntary Life Insurance	Start date	Enroll in Workday within 30 days from start date for guaranteed issue amount
Voluntary AD&D	Start date	Enroll in Workday within 30 days from start date
Long-Term Care Insurance	1st of the month following date of hire	Enroll in Workday within 30 days from start date for guaranteed issue amount
Short-Term Disability	1st of the month following date of hire	Enroll in Workday within 30 days from start date
Long-Term Disability	Start date	Automatically enrolled
Tuition Remission	Start of semester following 90 days of employment. See page 37 for more information.	Anytime
Metlaw Legal Plan	1st of the month following date of hire	Enroll in Workday within 15 days from start date

Well 'Canes Incentives Program

Learn about your personal health, improve your overall well-being, and earn up to \$300 per year. Start earning points by registering and participating in eligible wellness activities at miami.edu/wellness

Faculty and Staff Assistance Program

Provides confidential consultations to all UM faculty, staff, retirees, and their dependents. Sessions are conducted by Florida licensed mental health professionals who assess concerns, offer support, and recommend services that can be of help. For more information please call 305-284-6604 or visit <https://fsap.miami.edu/>

Healthy 'Canes Employee Clinics

Conveniently located on the Coral Gables and Miller School of Medicine campuses, the Healthy 'Canes Employee Clinics offer free annual physicals, well woman exams, select immunizations, and convenient access to UHealth medical services for the treatment of minor illnesses.

Weight Watchers at Work

This benefit provides first-time attendees with 100 percent reimbursement and continuing participants with 50 percent reimbursement for complete attendance. More information can be found online at hr.miami.edu under Benefits and Wellness.

Tuition Remission

Tuition benefits are designed to encourage employee and family participation in higher education and supports the University's overall interest in the personal and professional development of faculty and staff. For more information visit [benefits https://www.hr.miami.edu/benefits-and-wellness/index.html](https://www.hr.miami.edu/benefits-and-wellness/index.html) and select Tuition Benefits under Work-Life.

Employee Tuition Remission

Full-time staff are eligible for 100 percent tuition benefits after completing 90 days of employment. Part-time staff are eligible for tuition benefits on a prorated basis depending on their work effort.

Dependent Tuition Remission gives spouses an eligible unmarried dependent children tuition remission based on the length of time you have been employed at the university.

4. Vacation and Sick Leave

Exempt full-time employees shall accrue vacation as described below:

Length of Continuous Service:	Accrual Rate (Monthly Basis):	Maximum Vacation Balance:
Two (2) years or less	6.667 hours per month	Up to 80 hours
More than two (2) years, but less than ten (10) years	10.000 hours per month	Up to 120 hours
Ten (10) or more years	14.667 hours per month	Up to 176 hours

Part-time employees working at least 20 hours per week are eligible for vacation and sick leave. Accrual will be according to the level of effort.

It is to your advantage to take this vacation time as you earn it. Once you earn the maximum allowed, you will not accrue more time until your balance is reduced.

You should only take vacation days after consultation with your advisor(s). Once concurrence has been received via email, the dates should be entered in Workday. If there are any changes to the dates previously approved, the changes should be reflected in Workday.

You must enter vacation request into Workday at least 2 weeks prior to the requested time off.

If you are primarily housed in AOML or SEFSC, you are to take the regularly scheduled federal holidays; if you are primarily housed on the RSMAS campus, you are to take the University scheduled holidays. The University also grants 2 "floating holidays" which may be taken at your own discretion with advisor approval. Employees who follow the federal government holiday schedule will receive 6 "floating holidays" per year (48 hours). Out of the "6 floating holidays", 3 will be used to cover Washington's Birthday, Columbus Day, and Veterans Day.

Full time employees accrue sick days as follows:

- 12 days of sick leave for the first 2 years of service
- 15 days of sick leave for years 3-10
- 22 days of sick leave after the 11th year

You can accrue sick days up to a maximum of 132 days.

For further information concerning vacation and sick time please visit the Human Resources website at: www.HR.Miami.edu.

5. Salaries

CIMAS must follow University of Miami Compensation Structure guidelines when setting salaries, and there is a specific pay band associated with each of the research line appointments. Normally increases take place once a year on June 1, the beginning of the University Fiscal Year. Budgeting and negotiating process begins in January/February of the calendar year. Salary increases are limited to a University "raise pool". Larger increases can be made at the time of promotions or changes in status.

6. Support Services/Travel

For travel related questions, please contact the CIMAS Secretary (305-421-4196). You will need to fill out a travel request form and get it signed by your NOAA advisor **prior** to making any travel arrangements.

Please visit the CIMAS website at <http://cimas.rsmas.miami.edu/> and go to the employees portal to access the form you may need prior to making your travel arrangements.

To make travel arrangements, you have two options:

- 1) You can make your own travel arrangements and pay travel related expenses i.e. registration, airfare, lodging with your personal credit card – you will be reimbursed later through CIMAS.
- 2) You can obtain a Travel Card which can be used to pay for your airline and hotel costs (see <http://treasurer.miami.edu/divisions/corporate-card-services/travel-card/>). The travel costs will be borne directly by the University. You will, however, be required to submit receipts to the Secretary to reconcile the charges made to this card within 30 days of the purchase.

The CIMAS Secretary will assist you in preparing your travel reimbursement when you return, but you will need to provide her with the appropriate receipts and documentation. You must submit the actual invoice or detailed receipt; credit card statements alone are not acceptable. It is recommended that you make your travel plans well in advance so that you can obtain less expensive airfares. If you do not follow the guidelines set forth by the University of Miami, the University is not obligated to reimburse you for travel expenses. These restrictions are particularly crucial in the case of overseas travel.

Prior to travelling overseas, employees are required to visit the International Travel Management System (SOS) (<https://www.internationalsos.com/MasterPortal/default.aspx?membnum=11BCAS786599>)

This is mandatory and the processing of your travel expenses will be significantly delayed if this form was not submitted prior to the start of the travel.

Please remember that for international travel, you may want to use Lorraine Travel to book your airline. This is to ensure that every traveler obeys the Fly America Act.

For additional information, please visit the travel management website http://www.miami.edu/finance/index.php/travel_management/

Car Rental

Use the link below for travel related questions and information about renting cars for university business.

<http://business-services.miami.edu/departments/travel-management/car-rental-discounts/index.html>

NOTE: When traveling overseas you must comply with the Fly America Act which prohibits the use of non-American carriers. However, there are exceptions to the rules. For more information please visit <http://www.tvlon.com/resources/FlyAct.html>

7. Parking

For parking information please take a few moments to review the RSMAS Parking Policy.

<https://www.rsmas.miami.edu/about-us/administration/campus-safety/parking/index.html>

8. Submission of proposals through CIMAS

CIMAS employees can submit proposals to various funding agencies with the appropriate approvals. Please see Section 5 for instructions.

CIMAS indirect cost recovery rates:

Task 3 NOAA proposals funded via CIMAS are subject to the 55% RSMAS Indirect Cost Recovery rates.

9. CIMAS Activities

CIMAS is a multidisciplinary Institute and it sponsors general as well as specialized seminars. Communication through these seminars is the scientific lifeblood of the Institute. Consequently, you are encouraged to participate in those seminars that are relevant to your research.

10. Scientific Publications

Scientific papers are the Institute's primary "product." The performance of both the Institute and individuals in CIMAS is judged to a large degree by these publications. When you publish a paper, please bear in mind that **your affiliation is with CIMAS**; you must **NOT** represent yourself as a Federal Government employee, nor as being employed by any NOAA Laboratory. In the author list, your affiliation should be listed as follows:

(Your name)
Cooperative Institute for Marine and Atmospheric Studies
Rosenstiel School for Marine and Atmospheric Science
University of Miami
Miami FL 33149

In the acknowledgement section of the paper, the following statement should be inserted:

This research was carried out [in part] under the auspices of the Cooperative Institute for Marine and Atmospheric Studies (CIMAS), a Cooperative Institute of the University of Miami and the National Oceanic and Atmospheric Administration, cooperative agreement # NA20OAR4320472.

The wording "in part" is used to reflect the distribution of authorship in multi-authored papers in cases where one or more co-authors are not affiliated with CIMAS.

If CIMAS is paying for page charges, please send all order forms, etc. through the CIMAS office (305-421-4196) for processing and payment. Again, if you do not follow the University guidelines for payment, the University is not obligated to pay for page charges.

11. Reports

CIMAS must prepare various reports for the University and for NOAA. While a major part of this is an administrative function that is performed by the Director, information for these reports must originate with the scientific staff. You are therefore expected to periodically provide reports of your current research activities and your future plans. CIMAS makes every attempt to minimize the burden of this reporting. The most important report is an annual report which CIMAS is obligated to submit to NOAA each year. To this end we will request an annual report from each CIMAS employee every year. This information serves two purposes: it allows the Director to prepare research summaries accurately and comprehensively, and it provides a method to gauge progress and productivity for consideration in setting annual salary increases.

12. Use of University Stationery and Electronic Communications

For information regarding the use of University Stationery please visit

<https://my.hr.miami.edu/assets/pdf/hr-content/hr-policies/research-policies/b092.pdf>

For information regarding the use of Electronic Communications, please visit

https://it.miami.edu/assets/pdf/security/BF_Use%20of%20Electronic%20Communications%20Policy.pdf

13. Off-Campus Consulting Advisors

The OCCA will serve as a point of contact for CIMAS employees in the off-campus work place. They provide help to CIMAS employees by identifying sources of information and guidance as to where the employee can seek assistance. They do not have the authority to supervise but they can provide information to CIMAS employees who have a question or a problem.

The OCCA for AOML is Grant Rawson and for SEFSC is Jesse Wicker.

14. CIMAS Staff and Research Personnel

Contact information for all CIMAS Administrative and Research personnel can be found on the CIMAS website (<http://cimas.rsmas.miami.edu/>) by clicking on the Personnel tab.

SECTION 5

SUBMISSION OF PROPOSALS BY CIMAS EMPLOYEES USING AOML/SEFSC RESOURCES

Process:

The ability to secure extramural funding is well recognized as an important component of a researcher's career growth, and is a benefit to the overall mission of the NOAA Labs. The proposal submission process described here is intended to ensure that:

- (i) CIMAS employees are encouraged to seek extramural funding to support their independent research ideas
- (ii) CIMAS scientist led proposals complement the needs of the appropriate NOAA lab division or group

As a University employee, any proposals specifically including CIMAS scientists must be approved by the CIMAS Director and be processed through the UM/RSMAS Office of Research Administration. This is a University requirement. Failure to follow this procedure will result in the proposal's rejection at the University level. The University could refuse to administer funds even if they are granted by the agency.

University regulations limit the ability of employees in some classifications to write proposals. Currently, CIMAS Assistant Scientists, Associate Scientists and Scientists are permitted to submit proposals. Post-Doctoral fellows are also permitted to write proposals under some conditions, with the approval of the Dean or designate. All extramural proposals being submitted by a Post-Doctoral Fellow must have a co-PI who is employed by the University of Miami and resident on the Rosenstiel Campus.

In all cases, CIMAS employees should consult with their NOAA advisors *prior* to starting the proposal process to discuss the use of NOAA lab resources and whether the proposed project meets the needs of the division or group. All proposals submitted by CIMAS employees that use AOML/SEFSC resources (e.g., office, lab, computer, equipment, administrative service,...) explicitly or implicitly must have the concurrence of the Division (or Group) Director, the Lab Deputy Director as well as the Director of the lab. The CIMAS employee must forward the proposal abstract, budget¹ and budget justification to the Division (or Group) Director and the Lab Deputy Director two weeks prior to submission in order to obtain the necessary concurrences. If available, the PI is also encouraged to provide a draft the project description, although this is not required. The Division Director and the Lab Deputy Director are encouraged to provide scientific advice, however, their primary role is to assess whether the proposed research meets the mission and needs of the Division – the proposed science is ultimately determined by the PI (and co-PIs). It is also the CIMAS employee's responsibility to ensure the concurrence of the Division Director and Lab Deputy Director is communicated to the CIMAS director. The CIMAS director will not approve the submission using the off-campus overhead rate without concurrence from the Division (Group) Director and the Lab Deputy Director. The final version of the proposal including budget¹ and budget justification must also be submitted to corresponding Division (or Group) Director and Deputy Director of AOML once submitted.

All proposals submitted by CIMAS employees must be reviewed and approved by the CIMAS Director after which they are passed through several levels in RSMAS and ultimately through the Dean of the School. **The Director of CIMAS and the Dean MUST sign all proposals.**

¹ Budget information unrelated to CIMAS employees (e.g., salaries of non-CIMAS employees) should NOT be provided.

To begin the proposal submission process, please make an appointment with the CIMAS Director or communicate intent via email well in advance of the anticipated proposal submission date. Similarly, the CIMAS employee should engage the Division (or Group) Director and Lab Deputy Director as soon as feasible. All proposal budgets should first be reviewed by the CIMAS Research team to make certain that they meet CIMAS and RSMAS criteria. Allow at least two weeks for the internal processing of proposals at RSMAS. Although in an emergency RSMAS can process a proposal in a matter of a day or so, this can present problems, which could adversely affect the proposal submission.

Identifying CIMAS links in proposals

For proposals submitted to NOAA and funded through CIMAS, it is critically important to clearly identify that the proposal is coming through CIMAS. All CIMAS proposals carry a special cover page. The CIMAS Sr. Manager will provide this format to you. The indirect cost rate for proposals submitted through CIMAS Task III is 55% for on campus activities and 26% for off campus activities.

In addition, when you write a proposal you must insert a clear reference to the CIMAS linkage in the text by selecting a CIMAS theme (s) and NOAA goal (s). This is best done up front of the proposal where one normally presents a brief description of the background of the program, its scope and its relevance to broader issues. In addition you should mention briefly the relationship to ongoing NOAA research activities, most importantly, those in the local laboratories (AOML and SEFSC). You should also make reference to the CIMAS linkage in the abstract, if any, that accompanies the proposal. Examples are provided at the end of this section.

Proposals submitted through CIMAS should also specifically identify the context in which the proposed research fits under the CIMAS themes. A reminder that the four themes are:

- Tropical Weather Observations, Analysis
- Ocean and Climate Observation, Analysis and Prediction
- Ecosystem Observations, Modeling, Forecasting and Management
- Protection and Restoration of Marine Resources

1. Tropical Weather Observations, Analysis – “Research conducted under this theme will address NOAA’s research and development needs spanning from observations through model improvements. It will result in:

- the collection and analysis of observations of hurricanes and other tropical weather systems, including the evaluation and use of new techniques and tools such as artificial intelligence and machine learning;
- identifying observational needs, developing and testing instrumentation, and obtaining observations through a number of means, including the use of unmanned systems;
- studying the optimum configurations for observation networks;
- predictive modeling and data assimilation of tropical weather systems, with an emphasis on extreme weather systems such as hurricanes and tropical depressions;
- expediting and facilitating the transition of research to operations to meet the needs of NOAA’s operational line offices; and
- developing analysis and forecasting applications for operations, leading towards integrated earth system modeling”

2. Ocean and Climate Observation, Analysis and Prediction - “Research conducted under this theme will focus on:

- understanding oceanic and atmospheric processes associated with global and regional climate change on various temporal scales, as well as the impacts of climate variability and change;
- determining effective regional adaptation strategies, and developing and studying new climate information products and tools appropriate for evolving user needs, particularly in the Southeast U.S. and the Caribbean;
- the collection and analysis of observations of the ocean and coastal environment that are important for understanding and monitoring geophysical, chemical, and biological processes for all timescales. Specific focus areas include an emphasis of the global carbon cycle, ocean acidification and ocean variability that impacts sea-level, ocean circulation, extreme weather, marine ecosystems and climate;
- the development and improvement of ocean and coastal observation platforms and instruments that measure the ocean and coastal environments including biological, physical, and chemical characteristics including the use of unmanned systems;
- studying the optimum configurations for observation networks;
- modeling, data assimilation, and diagnostic analysis of local, regional, and global data sets; information product development with an emphasis on in situ observations using machine learning and artificial intelligence; earth system modeling;
- improving model representation of ocean processes and particularly the processes governing sea surface temperature, upper ocean heat content, and salinity variability including air-sea exchanges, heat-flux, lateral ocean advection, and entrainment at the base of the ocean mixed layer that play a significant role in controlling short-term variability in ocean and coastal circulations as well as long-term variations of the climate system that affect biological, chemical, and geophysical processes in the Southeast U.S. coastal areas, the Caribbean, the Gulf of Mexico, and the high seas Atlantic Ocean”

3. Ecosystem Observations, Modeling, Forecasting and Management – “Research conducted under this theme will focus on:

- improved understanding, earth system modeling and forecasting of the structure and function of marine ecosystems including ecosystem services provide for the Southeast U.S. coastal ocean, the Caribbean Sea, and Gulf of Mexico Large Marine Ecosystems;
- the use of ‘omics, eDNA and autonomous underwater vehicles to characterize and map underwater ecosystems; fish recruitment and productivity; protected species sustainability and recovery; and human health (e.g., beach closings, fish contaminants, and harmful algal blooms), all of which will be used in the assessment and management of living marine resources and their habitats;
- identifying and improving the understanding of climate variability and change, as well as anthropogenic impacts on ecosystems and the effect of these changes on the interactions between people and natural systems at the global, regional, and local levels;
- promoting sustainable coastal development, facilitating community resiliency, and enabling an ecosystem approach to management in the Southeast U.S. coastal ocean, the Caribbean Sea, and Gulf of Mexico marine ecosystems;
- enhanced scientific understanding of the interconnections between the marine ecosystem and the adjacent watershed including their human health and resource stewardship implications including the effects of climate change.

4. Protection and Restoration of Marine Resources – “Research conducted under this theme leads to:

- development of technology prototypes, research tools, and scientific approaches to effective restoration and biogeographical characterizations of marine resources that would utilize emerging technologies and platforms (e.g. remote sensing, underwater vehicles, ‘omics and eDNA);
- improvements in defining, observing, forecasting, and protecting components of marine protected areas and restoring habitats and populations to form healthy productive systems;

- exploration of managed solutions to a wide range of problems from removing contaminants to providing new materials and techniques to protect underwater cultural resources, focused on the Southeast U.S. coastal ocean, the Caribbean Sea, and Gulf of Mexico marine ecosystems.

Identifying Links to the NOAA Strategic Plan

NOAA requires that you show in your proposal the relevance to the NOAA Goals as listed in the NOAA Strategic Plan. Cite one or more of the four NOAA strategic science goals and the appropriate sub-goal.

Climate Adaptation and Mitigation: An informed society anticipating and responding to climate and its impacts

Improved scientific understanding of the changing climate system and its impacts

Assessments of current and future states of the climate system that identify potential impacts and inform science, service, and stewardship decisions

Mitigation and adaptation efforts supported by sustained, reliable, and timely climate services

A climate-literate public that understands its vulnerabilities to a changing climate and makes informed decisions

Weather-Ready Nation: Society is prepared for and responds to weather-related events

Reduced loss of life, property, and disruption from high-impact events

Improved freshwater resource management

Improved transportation efficiency and safety

Healthy people and communities due to improved air and water quality services

A more productive and efficient economy through environmental information relevant to key sectors of the U.S. economy

Healthy Oceans: Marine fisheries, habitats, and biodiversity sustained within healthy and productive ecosystems

Improved understanding of ecosystems to inform resource management decisions

Recovered and healthy marine and coastal species

Healthy habitats that sustain resilient and thriving marine resources and communities

Sustainable fisheries and safe seafood for healthy populations and vibrant communities

Resilient Coastal Communities and Economies: Coastal and Great Lakes communities that are environmentally and economically sustainable

Resilient coastal communities that can adapt to the impacts of hazards and climate change

Comprehensive ocean and coastal planning and management

Safe, efficient and environmentally sound marine transportation

Improved coastal water quality supporting human health and coastal ecosystem services

Safe, environmentally sound Arctic access and resource management

Identifying the Appropriate Task in Your Proposal

All UM Principal Investigators seeking to use CIMAS as a funding mechanism must use Task 3.

NOTE: If a P.I. or any Co-PI is an employee of any academic division of RSMAS, ALL proposal salaries are subject to current UM fringe benefit rates plus the appropriate Indirect Cost Rate. See specific instructions at ORA website <https://www.ora.miami.edu/>

PI's responsibilities when submitting proposals.

Researchers need higher approval (10 days needed per policy – draft budget, title, dates only required at this point)

Review announcement in hopes to avoid unnecessary back and forth

If proposal has PI's and Co-Pi's it's best to work with just the lead, instead of getting updated files from everyone involved

Account Administration (after award is issue) – PI needs to be more involve and review accounts on a monthly basis and inform the ORA office of any changes, lower/increase effort or add/remove staff working on project. Spend categories like travel/capital equipment sometimes are on the last year or 6 months and unused – re-budget if needed in advance).

Account Administration (after award is issue) – if PI is aware of ending agreement/contract is getting extended or receiving additional funds need to notify the ORA office and request a NCE from the agency, if not, ORA office will assume award has ended for good and proceed with closing award

SUMMARY

All CIMAS proposals submitted through the Cooperative Agreement

Must have a CIMAS-format cover page. (see example below)

Must make reference to CIMAS in the abstract or the opening paragraph

Proposals must identify scientific goals as listed in the NOAA Strategic Plan

Identify a CIMAS Research Theme (s) and NOAA Goal (s)

Must follow normal UM/RSMAS ORA procedures

Must have concurrence of Division Director, Lab Deputy Director, Lab Director

Must have the approval of the CIMAS Director

Call the CIMAS Sr. Manager, Sponsored Programs (305-421-4153) with any questions in advance of submitting proposal. If a scientific issue is involved, contact the Director. Also the below link will provides information about the new IBIS system for submitting proposal <https://ibis-research.miami.edu/education-and-resources/faculty-resources/index.html>

We also provide an example of an abstract which contains the appropriate language showing the CIMAS linkage and the NOAA Goals.

CIMAS COVER PAGE EXAMPLE



Cooperative Institute for Marine and Atmospheric Studies
Rosenstiel School of Marine and Atmospheric Science
University of Miami
4600 Rickenbacker Causeway, Miami, FL 33149



To: AOML/SEFSC Director
AOML/SEFSC/NOAA
4301 Rickenbacker Causeway
Telephone Number: (305) 361-4300
Fax Number: (305) 361-4449
[\(email\)](#)

From: Benjamin Kirtman
University of Miami-RSMAS-CIMAS
4600 Rickenbacker Causeway
Telephone Number: (305) 421-4046
bkirtman@rsmas.miami.edu
CIMAS Adm. Contact: Isabel Castro
icastro@rsmas.miami.edu

The attached proposal is being submitted to you for your consideration by a NOAA Cooperative Institute. Should you recommend funding for this proposal, we request that the funding be transferred through our current NOAA cooperative agreement # NA20OAR4320472. The NOAA contact (described below) for this cooperative agreement should be contacted immediately if this proposal is accepted for funding.

Title of Proposal:
Principal Investigator(s):
Proposal #
Period of Performance:
Funding (by year, if multi-year):
Task #: 3
Theme(s):
NOAA Goal:

DUNS #: 152764007
FL-027

EIN# 59-0624458

Congressional District:

Research Administration Contact: Patricia Archuleta
Tel #: (305) 421-4084
Fax #: (305) 421-4876
E-mail: p.mayarchuleta@miami.edu

NOAA Administrative Contact: AOML/SEFSC
Tel #: (305) 361-
Fax #: (305) 361-
E-mail:

Please answer all questions

1. Is there a former DOC employee working for the CI host institution who represented or will represent the host institution before DOC or another Federal agency regarding this proposal? Yes No
2. Does this award include any sub award to a Minority Serving Institution? Yes No
3. Does the proposed award require any non-federal employees or sub awardees to have physical access to Federal premises for more than 180 days or to access a Federal information system? Yes No
4. Is PROGRAM INCOME anticipated being earned during performance of this project? Yes No
5. Will a VIDEO be created for public viewing be part of this project? Yes No
6. Will DOC/NOAA owned equipment be provided to any investigator for use outside a Federal location for this project?
 Yes No
7. Are any permits required to conduct this project? Yes No
(If yes, please provide the name of the issuing agency and the permit number.)

EXAMPLE

ABSTRACT

We propose to develop and validate algorithms to derive sea-surface temperatures from measurements made from satellite-borne radiometers in the mid-infrared atmospheric window during the day. Such measurements contain significant contributions from reflected sun-light (sun-glitter) and the conventional approach is to discard the data taken on the illuminated part of each satellite orbit. We propose to make use of the measurements from the MODerate-Resolution Imaging Spectrometers (MODIS) on the NASA EOS Terra and Aqua satellites, making use of numerical radiative transfer algorithms as well as an on-orbit data to explore the feasibility of extracting useful SST values in the regions of the sun-lit swath contaminated by the sun-glitter pattern. This research also has applications to the SST retrievals from the GOES Imager on the latest Generation of NOAA geosynchronous satellites and from VIIRS on the NPP and NPOESS spacecraft. *This program will be carried out through the Cooperative Institute for Marine and Atmospheric Studies (CIMAS).*

The measurement of accurate SSTs is critical to understanding ocean-atmosphere energy and water vapor fluxes, critical factors in understanding climate variability. *In this context the proposed research program is consistent with CIMAS Research Theme 1: Tropical weather observations, analysis: Investigate the dynamics of the ocean and the atmosphere and the ways in which they interact on interannual and longer scales and the link to climate variations. This research is related to the NOAA Strategic Goal: **Climate**: Understand Climate Variability and Change to Enhance Society's Ability to Plan and Respond: Climate Observations and Analysis.*

SECTION 6

EMPLOYMENT STATUS AND CLASSIFICATION

The University of Miami employment policy incorporates a well delineated series of employment categories that allow for professional advancement in the research ranks.

TRACK I

Track I appointments are a sequence of five positions targeted for advanced technical or scientific staff who are required for the support of research activities at the University. These positions constitute the normal research classification progression at the University of Miami. Advanced education, professional achievement, and/or experience are the basis for an appointment to a higher level position.

JOB TITLES IN TRACK I

Research Associate (I, II, & III) Senior Research Associate (I, II, & III), Assistant Scientist, Associate Scientist, and Scientist.

Research Associate (I, II, & III)

The Research Associate is the entry level Research professional position. Level I appointees will support research activities at the University. The Research Associate will understand and interpret research protocols and procedures. The Research Associate will work under the direction of a Principle Investigator or program director or designee of the principle investigator or program director such as Senior Research Associates or above.

Appointees at level II work under general supervision and are expected to use some creativity and latitude in performing research tasks. Appointees at level III are expected to use a wide degree of creativity and latitude in performing research tasks.

Promotion to higher levels is not automatic as a result of longevity in a position. Rather, promotions require increased duties and responsibilities and recommendation by the appointing academic department, and approval by the appropriate offices of Faculty and Professional Affairs and Human Resources. Appointees will contribute to basic and applied research activities, participate in the publication of significant results, and advance their expertise through education, training and/or research experience. Appointees are not expected to write extramural proposals nor independently to gain such support but level III may have advisory responsibilities.

Requirements

R.A. I: Bachelor's degree

R.A. II: Bachelor's degree and at least 2 years of relevant work-related experience

R.A. III: Bachelor's degree and at least 5 years of relevant work-related experience, including evidence of research accomplishments leading to the dissemination of new information (i.e. publications, presentations, etc.)

Senior Research Associate (I, II, & III)

The Senior Research Associate is the second level Research professional position. Appointees will support research activities at the University and work under the direction of a principle investigator, program director, or a designee of the principle investigator or program director, such as an Assistant Scientist or above. Appointees may be required to supervise Research employees.

- Appointees at level I work under direct supervision but are expected to carry out research tasks with some creativity and latitude as assigned.
- Appointees at level II are expected to perform research duties with creativity and latitude.
- Appointees at level III are expected to carry out research duties and to supervise others with creativity and latitude.

Promotion to higher levels is not automatic as a result of longevity in a position. Rather, promotion requires increased duties and responsibilities, a recommendation by the appointing academic department, and approval by the appropriate Offices of Faculty Affairs and Human Resources.

Appointees will contribute to basic and applied research activities, and may play a lead role, including authorship of scientific monographs, and advance their expertise through education, training and/or research experience.

Appointees at level I or level II are not expected to write extramural proposals nor to independently gain such support, but may do so with approval by the principle investigator/program director and the dean/designee. Appointees at the III level may be expected to contribute to extramural proposals, publications, and presentations relevant to the specific area of research. Appointees at all levels may have advisory responsibilities.

Requirements:

Sr. R.A. I: Master's degree and some research experience gained during education/training or in employment in a research position.

Sr. R.A. II: Master's degree and at least 1 year of relevant work-related experience with evidence of tangible contributions to the dissemination of new research information.

Sr. R.A. III: Master's degree and at least 3 years relevant work-related experience including significant evidence of research productivity such as publications, presentations, or a tangible contributory role in grants. Advisory experience required if advisory responsibilities are involved.

Assistant Scientist

The Assistant Scientist is the third level Research position. Appointees will support research activities at the University and work under the direction of the principle investigator or program director. Appointees will contribute to basic and applied research activities and may play a lead role, including authorship of scientific publications, technical and agency reports, or patent preparation. Appointees are expected to publish in refereed journals in collaboration with the principle investigator or program director or independently within the scope of his or her responsibilities in the programs of the principle investigator or program director.

Appointees are not expected to write and submit independent extramural proposals or to independently gain such support, but may do so with approval by the principle investigator/program director and the dean/designee.

Requirements

Ph.D., M.D., or other doctoral level degree and one year of relevant post-doctoral experience.

Associate Scientist

The Associate Scientist is the fourth level Research position. Appointees are expected to have achieved national recognition in their field as evidenced by publications in quality Journals and publications at national meetings.

Appointees will support research activities at the University and may work under the direction of a principle investigator or program director.

Appointees may be required to supervise Research employees and/or nonexempt staff.

Appointees are not expected to independently write extramural proposals nor to independently gain such support, but may do so with the approval by the principle investigator/program director and the dean/designee.

Requirements

Ph.D., M.D. and a minimum of five years of relevant post-doctoral research experience

Scientist

The Scientist is the fifth and highest level Research Position. Appointees are expected to have national recognition in their field as evidenced by publications in quality journals with some evidence of leadership as denoted by the first or lead authorship in some of these publications. Appointees are also expected to have presented research accomplishments at national meetings.

Appointees will support research activities at the University and may work under the principle investigator or project director. Appointees may be required to supervise research employees and/or nonexempt staff.

Appointees will play a leadership role in basic and applied research activities and are expected to author scientific publications, technical and agency reports, or patent applications independently or in collaborations. Appointees may assist in the development of research staff training.

Appointees are not expected to write extramural proposals or to independently gain such support, but may do so with approval by the principle investigator/program director and the dean/designee.

Requirements

Ph.D., M.D., and at least 10 years of relevant post doctoral experience.

TRACK II

Track II appointments are Visiting Researchers, Post-doctoral Associates and Visiting Scientists. There is no research classification progression in Track II. The appointments are terminal and non-degree seeking.

Track II appointments are exempt from University recruitment/advertising procedures.

Track II appointments are characterized as:

- Appointments for a limited duration (three years maximum).
- Appointments approved by the Provost/designee upon recommendation of the respective department chair and dean.
- Appointments confirmed by signed contract as issued by Provost/designee.
- Appointments with benefits defined for the Research position.
- Appointees who may consult in accordance with University policy (see Consulting Activities, Policy B-65).

- Appointments normally supported by extramural funding.

JOB TITLES IN TRACK II

Visiting Researcher, Post-Doctoral Associate, and Visiting Scientist.

Visiting Researcher

The Visiting Researcher position is a limited duration appointment in the research classification for visiting scholars who are pursuing cooperative research or research training with a member of the University faculty. Appointees must possess a Master's degree or equivalent in their specialty. Appointees will support research activities at the University and work under the supervision of a member of the University faculty. This interaction may lead to the advancement of knowledge and be documented by scientific publications.

Post-Doctoral Associate

The Post-Doctoral Associate position is a limited duration appointment in the research classification for visiting scholars who are pursuing cooperative research or research training with a member of the University faculty. Appointees must possess a doctoral degree or equivalent in their specialty. Appointees will support research activities at the University and work under the supervision of a member of the University faculty. This interaction may lead to the advancement of knowledge and be documented by scientific publications.

Visiting Scientist

The Visiting Scientist position is a limited duration appointment in the research classification for visiting scholars who are pursuing cooperative research or research training with a member of the University faculty. Appointees must possess a doctoral degree or equivalent in their specialty and have a minimum of five years of experience in their field. Appointees will support research activities at the University and work in collaboration with a member of the University faculty. This interaction may lead to the advancement of knowledge and be documented by scientific publications.

EMPLOYMENT STATUS

Employment status refers to the condition under which a Research employee may be employed.

Regular Full-Time

Employment for 100 percent time on a continuing basis for nine months or more each year, without a definite date of termination. Full benefits apply; however, appointees on a contract for less than 12 months do not accrue vacation time.

Regular Part-Time (50 percent or more time)

Employment for less than 100 percent, but at least 50 percent time on a continuing basis. Partial benefits apply.

Regular Part-Time (less than 50 percent time)

Employment for less than 50 percent time on a continuing basis. Benefits do not apply.

Temporary Full-Time

Employment for 100 percent time with a definite date of termination not to exceed 91 calendar days from date of hire. Benefits do not apply.

Temporary Part-Time

Employment for less than 100 percent time with a definite date of termination not to exceed 91 calendar days from date of hire. Benefits do not apply.

Working Retiree

Employment of a University retiree for less than 51 percent time. Partial benefits apply. Retirement benefits will be affected for employment greater than 1000 hours per fiscal year for a working retiree under 70 years of age.

SECTION 7

PROCEDURES FOR PROMOTIONS AND RAISES AT RSMAS

The University of Miami follows a well-defined annual salary increase and promotion cycle that all employees must go through. It is geared to the University fiscal year, which begins on June 1. All promotions and salary increases that are awarded under the normal cycle take effect at that time.

All salary increases are awarded on the basis of a common "raise pool" that applies to the entire school and collectively to all classes of employees (i.e. academic faculty, research faculty, research staff, and administrative staff). The size of the pool is determined by the University administration and is generally uniform across Schools in the University. In practice, at RSMAS during recent years, salary increases have been treated as merit-based. That is, RSMAS raises are not made on the basis of an across-the-board fixed percentage, either in whole or in part. There is no cost of living increase.

The University administration generally develops its salary raise strategy in mid to late January. There is no way to anticipate what the pool will be each year.

In February, the RSMAS dean initiates a series of one-to-one meetings with Division Chairs and Department Heads for the purpose of allocating the raise pool. Each unit (including CIMAS) is allocated a raise pool that is the same percentage as the School raise pool. (The source of the funds that support the employee - i.e. -federal grants, University general funds, and foundation money – has no relevance in assigning salary levels.) The unit head must negotiate on a case-by-case basis with the Dean for the raises of individuals in the unit. Thus, it is important that the unit head have sufficient data about the persons in his/her unit to enable the presentation of a persuasive case to the Dean.

At the completion of this process on a school wide level, the Dean presents the package to the Provost along with the request for the special promotion cases. (The Dean can request increases outside the pool amount to provide for promotions and unusual accomplishments, and to rectify inequities.) There is usually some give and take but the final package accepted by the Provost is generally close to the one presented by the Dean.

It is possible to increase salaries outside the normal evaluation cycle, but such changes are normally restricted to changes in employee status work or rank, or due to some change in the university compensation structure.

In cases where the increase requested for an employee exceeds the raise pool percentage, The CIMAS employee and their AOML/SEFSC advisor need to be prepared to make a case for the raise. The Director of CIMAS will carry out the evaluation. The Associate Directors may assist the Director.

The Director of CIMAS will prepare a salary package to present to the Dean after checking with the appropriate individuals at AOML and SEFSC to ensure that the requested increases are consistent with the salary structures in their respective laboratories and supportable by those laboratories.

Employees will be notified by the RSMAS Human Resources representative with confirmation of their raises.

Salary increases take effect on June 1.

SECTION 8

University of Miami Sexual Misconduct Policy

For information regarding the Sexual Misconduct Policy, please see

https://www.compliance.miami.edu/policies/sexual_misconduct/index.html

University of Miami Nepotism/Consensual Relationship Policy

For information regarding Nepotism/Consensual Relationships, please visit:

<https://umiami.policystat.com/policy/8306567/latest/#>

RISK MANAGEMENT

POLICIES REGARDING THE DRIVING OF NON-UM VEHICLES AND BOATS

CIMAS employees are sometimes required to drive non-UM-owned (for example, government-owned) vehicles and boats as a part of their job. As a result of discussions with UM Risk Management we have instituted the following policies and procedures:

- University of Miami Risk Management states that UM employees are provided with insurance coverage while driving vehicles or piloting boats as long as these activities are carried out as a part of the employment. This coverage applies not only to the government-owned vehicles or boats but to all vehicles or boats that might be used in your work. These activities are covered by insurance either through a UM insurance policy or through UM self-insurance.
- All CIMAS employees who are required to drive a vehicle or a boat as a part of their job must first fill out a form which can be obtained from the CIMAS staff.
- The following information must be provided before CIMAS employees can begin driving:
 - 1) Employee name
 - 2) Employee drivers license number
 - 3) The type of vehicle(s) and/or boat(s) they will be driving
 - 4) The vehicle/boat identification number
 - 5) The vehicle/boat license tag number
 - 6) The approximate value of the vehicle
 - 7) The approximate frequency that the vehicle/boat will be driven.

CIMAS employees driving NOAA vehicles and boats must also fulfill any requirements that NOAA may impose on them with regard to the use of their vehicles and boats.

The following page shows the form which must be filled out by all persons who anticipate driving a non-UM vehicle. Note that this form need only be filled out once to cover all driving associated with the task described in the form. If any of the conditions change (a different boat or truck, a different project) a new form should be filled out.

IF YOU HAVE AN ACCIDENT YOU MUST IMMEDIATELY INFORM YOUR NOAA ADVISOR AND CIMAS

**Cooperative Institute for Marine and Atmospheric Studies
Rosenstiel School for Marine and Atmospheric Science
University of Miami
4600 Rickenbacker Causeway
Miami, FL 33149**

MEMORANDUM

University of Miami Risk Management states that UM employees driving government vehicles or piloting government small boats are covered by insurance either through a UM insurance policy or through UM self-insurance. To ensure this coverage, the following information must be provided before any employee can drive a government owned vehicle.

Name of Employee:

Driver License No.:

State of Driver's License:

Make:

Model:

Year:

VIN:

Tag No.:

Registration No. (Boats):

Name of Boat:

Brief description of the general purpose of the driving and the destination(s):

UM Employees driving NOAA vehicles must also fulfill any requirements that NOAA may impose on them with regards to the use of their vehicles and boats.

Signature of Employee

Signature of NOAA Advisor