	Associate Dean for Research and Graduate Studies Universidad Central del Caribe	SOP#	002
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		Approval by	JG, VC, IA

SOP POST AWARD

Objective

The post award phase comprises a significant amount of work over the duration of the award dates, which includes implementing the grant, reporting progress, and completing the closeout requirements.

The post-award staff provide projections of costs, prepare budgets and budget changes, prepare salary plans, oversee grant regulations, prepare financial reports, and act as your liaison to central administration.

Procedures of Post Award Administration

1. **Notice of Award** – The Sponsored Program Officer receives all Notice of Award and is responsible to inform and distribute the NOA to:
   - Principal Investigator (PI)
   - Associate Dean for Research
   - Director, Office of Fiscal Resources
   - Budget Officer, Office of Fiscal Resources
   - Research Administrator

   *The Sponsored Program and the Compliance Officer must be paying attention to special conditions of the NOA.

2. **Grant Account** – Personnel of the Office of the Associate Dean for Research and Graduate Studies (OADRGS) requests to Fiscal Resources Office to create the financial account for the grant. The account will be based on the budget approved in the award documentation. OADRGS will notify the Principal Investigator/Project Director (PI/PD) when the account has been created and available for use. Accounts will be handled through the OADRGS or Authorized Departmental Administrator.

   - OADRGS personnel created a file record for each accounts and use Grant Manager to monitor the transactions and balance.

3. **Subcontracts** –When UCC is awarded a subcontract by another institution, OADRGS is responsible for verifying its content, completing the requested documentation, obtaining the approval of UCC legal advisors and of the President, prior to submitting the final version to the institution of the Parent Grant.   Once the subcontract is signed by both parties, OADRGS proceeds to request the creation of the financial account for the subcontract. OADRGS help to manage the account and monitors transactions made in the subcontracts. When the invoices of these subcontracts are received, OADRGS verify it and send to Finance for the corresponding payment.

4. **Managing Budget** – OADRGS reviews and prepares documentation for financial transactions (requisitions, travel, reimbursement, petty cash, re-budgeting, etc.) as appropriate. It also monitors expenditure activities on sponsored research funds to ensure compliance with federal regulations, agency specific requirements, and University policies and procedures.

Account activity must be reviewed on a regular basis to ensure the accuracy of expense incurred, that expenditures conform to the project budget and costs are consistent with the project schedule and incurred within the project start and expiration dates.

A. **PAAPS** -- The Proposal and Authorization for Personnel Actions (PAAP) Form, is the official document that gives course to the hiring of an employee. The employee's compensation will be according to the proposed and approved budget. Departmental Directors and Research Administrators are in charge of completing and processing this form. Based on the PAAP, the Human Resources Office will generate a yearly contract, which requires the employee's signature.
These form, must be processed at least 15 days in advanced of the established period of the person's beginning. The days on which the employee can start working are days 1 or 15 of each month.

B. All requisitions should be prepared by the Research Administrator for the acquisition of materials, equipment and other non-personal services in accordance with the proposed and approved budget. Purchase Office Policies are to be followed.

Some important steps to make purchases:

1. A quote is required for the purchase of all product(s). Quotes should always include the cost of shipping and handling. For equipment purchases, three quotes are required to compare prices, guarantees and terms of purchase. A letter of justification will be required, if applicable. (Pre-approved emergency purchases with PI/PD personal funds may be reimbursed provided original receipts are submitted).
2. If the purchase was not requested in the original proposal, a justification is required.
3. If the requisition involves the purchase of animals or radioactive agents, the signature of the President of the corresponding Committee is required.
4. Requisitions are prepared by the Research Administrator, signed by the Principal Investigator and approved by the Program Director.

C. **Reimbursement** – Pre-approved emergency purchases with PI/PD personal funds may be reimbursed provided original receipts are submitted.

D. **Facilities Fees**
   - UCC Optical Imaging Facility Annual Fee $1,500
   - UCC Common Instrumentation Area and Services (CIAS) Annual Fee $1,500
   - Animal Housing Cost .25¢ per animal per day

     *Each unit is responsible for monitoring services and charging for them. Finance created accounts for each of the units for the management of the funds. OADRGS is in charge of generating the CIAS invoices.

E. **Travel** – OADRGS will assist with the travel arrangement.
   - Travel coordination is done in accordance to UCC Travel Policy.
   - The PI/PD must make sure that all travel is approved by the funding agency, particularly in the case of foreign travel.
   - The PI/PD must send a letter addressed to the President, and signed by the Department Chair, requesting approval for the trip.
   - Upon return, an Expense Report must be submitted using the Travel Expense Form with evidence of the activity, detailed expenses and corresponding receipts.

Travel Request Consultants and/or Visiting Scientists:

- The Consultant Travel Application will be accompanied by a letter of invitation and the Seminar Announcement to be presented.
- In addition, evidence of scientific activity and its participation.
- The availability of funds is confirmed, and the Program Director and the Chairman are reviewed and approved.
- The stipend payment requires a contribution withholding of 10% PR resident, 20% USA resident or 29% if is a Corporate.
- The consultant must provide his home address and their social security number in order to process the payment.
- After approval, the guest is contacted to coordinate travel arrangements (flight schedules and preferences, hotel, etc.)

F. Consultant Contract or Professional Services

Consultant service is a service provided by a professional advisor.

- To begin the hiring process, a PAAP and / or Contract must be prepared. It must be accompanied by an agreement of tasks to be carried out detailing the period and method of billing. The following documents must be requested:

- NECESSARY DOCUMENTS FOR INDEPENDENT CONTRACTOR (EU)

- Employer Social Security
- Negative certification of alimony case (ASUME)
- Treasury- if it is a company the service offered in PR will be apply 29% if you are an individual 20%, in the United States no discount is given to anyone, you must identify where they are offered.
- Copy of college diploma or last degree obtained
- Criminal background check
- Resume / Curriculum Vitae
- Workers compensation

- NECESSARY DOCUMENTS FOR INDEPENDENT CONTRACTOR (PR)
- Employer Social Security
- Negative certification of alimony case (ASUME)
- Withholding release letter (Treasury, if applicable)
- Copy of university diploma or the last degree obtained
- Negative Criminal Record Certificate (current and original)
- Resume / Curriculum Vitae
- Employer's Policy under the State Insurance Fund
- Merchant's Registry In case of providing medical services
- State and federal drug license% u2751 Evidence of membership
- Hepatitis B vaccine or evidence that it was provided
- Specialty or Subspecialty Boards% u2751
- Good standing% u201D (license verification)
- Medical malpractice insurance (endorsed to UCC)

Once the aforementioned is completed and the contract is signed, you can begin to provide the services. The invoices must be signed by the person who receives the service to certify that the provisions of the contract were fulfilled.

G. **Petty Cash** –Cash advance for special purchases that should not exceed $50.00, according to UCC Policy. A Petty Cash request form indicating the purpose of the expense must be submitted by the PI/PD to the Deanship of Administration for approval. Original receipts are required after completing the purchase. Purchases exceeding the $50.00 limit must follow the purchasing requisition process. OADRGS will assist in completing the Petty Cash form and being aware that they deliver the receipts and complete the process with Finance.

5. **Invoicing and Financial Reporting**
   - OADRGS follow up to Fiscal Resources Office to prepare the invoices and proceed to get the investigator signature.
   - Follow up to Budget Officer to provide Financial Reporting on due date.
   - Prepares and provides special reporting to sponsoring agencies (i.e., ARRA, NSF survey, etc.)

6. **Time and Effort Reporting – (required on federal awards)** *See checklist for Time and Effort*
   - Compliance Officer is responsible to the Time and Effort Reporting.
   - A notification will be sent to the PI on a trimester basis to complete time and effort reporting
   - Monitor certification of time and effort reporting, ensuring that compliance with federal effort reporting regulations

7. **Award Amendments:**
   i. No Cost Extensions (NCE) – Should it be necessary to extend the project period (without requesting additional funds) to complete the project, a request must be submitted to the funding agency at least 60 days prior to the grant's end date. Different procedures are used depending on the type of award and sponsor. The PI/PD must send a request for additional time, via email to AOR explaining the reasons for the additional time needed to accomplish the project goals.
      - NSF Awards: NSF provides one automatic 1-year no-cost extension, if the PI/PD requests it through the online portal (research.gov), subject to AOR approval, at least 45 days before the project end date.
      - NIH Awards: NCE requests are submitted via the eRA Commons system. The eRA No-Cost Extension feature allows the grantee organization to electronically submit a notification of intent to extend the final budget period of a grant. This extension does not have additional funding and provides up to 12 months of additional time. The NCE may be requested only by the AOR, no earlier than 60 days before the end of the project period and no later than the project´s end date.

   ii. Change of PI / Reduction of Effort – Changes should follow award guidelines. Typically if a PI/PD's will be absent from a project for three or more consecutive months or will reduce effort by 25 percent or more, they must request the funding agency's approval. If for any reason work on a project cannot be continued under the direction of the original PI/PD, the PI/PD shall request a change in leadership by sending an email to the Associate Dean for Research and the AOR with the following information:
      *Reason for change
      *Biographical sketch of the proposed new PI
      *Budget adjustments resulting from change in PI

      OADRGS will use this information to draft and submit a justification letter to be sent to the sponsor, which should include the AOR's signature.

   iii. Change of Institution – If a PI/PD transfers from UCC to another eligible institution of higher education before the expiration of an award received while employed by UCC and intends to transfer the corresponding award to the new institution, specific sponsor guidelines must be followed. OADRGS will provide assistance accordingly.

At the request of the PI, ownership of materials and equipment purchased or created with grant funds for work on the project may transfer to the new institution upon approval by the recipient Institution

First, the sponsor must receive a release statement from the original recipient institution (UCC) which includes an estimate of the unexpended balance of the award. This form will be completed and submitted by the AOR.

If UCC is the new recipient Institution need complete the following documents:

- A letter of intent to accept the award from the prospective recipient institution
- Cover page with original signatures
- Budget Summary for remaining project period, using the estimated unexpended balance from the original institution
- Detailed budgets of each remaining year with associated budget justifications
- Key personnel (if changed)
- Biographical Sketches for key personnel (if changed)
- Other support for key personnel (if changed)
- Facilities and Resources
- Human and/or animal subjects assurances, where applicable, from a federally approved.

8. **Conflict of Interest** – in accordance with the Federal and UCC Research Conflict of Interest Policy, the UCC has established standards and procedures to be followed by investigators applying for funding. These ensure that the design, conduct, and previous to submission reporting of research results will not be biased by any conflicting interest of those investigators for the proposed activity**.**
   - A notification will be sent to the PI annually (due date September 15) to complete a Disclosure Form.
   - The Compliance Officer monitors certification of Conflict of Interest, ensuring compliance with federal regulations.
   - A CITI Program Training certification is required. Please check with the Deanship for further information.

9. **Research Performance Progress Reports (RPPR)**– OADRGS will send to PI the due date to submit the progress report. *See NIH Guideline for submitting the RPPR.*
   - The PI is responsible to complete the Progress Report – must be submitted by AOR
   - The Budget Officer is responsible to complete the Financial Report – must be submitted by Budget Officer.

10. **Closeouts**

The OADRGS is responsible for:
- Sending an award close notification to the Principal Investigator
- Submitting to the agency, the final progress report and the final invention report (*See checklist*)
- Coordinating with the Budget Officer the submission of a Final Financial Report.