PUERTO RICO SEA GRANT RESEARCH COMPETITION AND REQUEST FOR PROPOSALS (RFP) AND GUIDELINES
Overview

Puerto Rico Sea Grant conducts regular competitive research every two (2) years. The projects that we select, respond to the needs of stakeholders operating in Puerto Rico and the US Virgin Islands. This is our region of primary interest. To identify priority research areas we conduct surveys and hold frequent conversations with resource managers of marine habitat and regional ecosystems. The problems associated with coastal property and infrastructure, both public and private, is frequently discussed on a regular basis. Every four years this information is summarized and compiled in the Puerto Rico Strategic Plan. The current plan identifies priority research areas for 2014-2017 and a copy can be downloaded from www.seagrantpr.org/communications-and-publications/reports/. The current strategic plan outlines and summarizes three priority research areas.

Priorities for Research Projects

Healthy Ecosystems and Habitats - Better information about how tropical coastal and oceanic ecosystems function, and how anthropogenic activities affect tropical coastal and oceanic living resources. Develop and test new planning and policy tools to foster safe and sustainable public and commercial access to and use of water-fronts and waterways. Habitat, ecosystems, and the services they provide are protected, enhanced or restored. Develop and share decision-support tools, technologies and approaches to protect and restore ecosystems. Sustain the habitat, the biodiversity and the abundance of marine resources. Land, water, and living resources are managed by applying sound science, tools, and services to sustain ecosystems that support communities and economies.

Resilient Communities and Economies - Develop new approaches to enhance the efficiency, product diversity, environmental benefits, safety, sustainability or cost-effectiveness of commercial aquaculture or wild-caught seafood. Develop and test user-friendly tools and models to guide interactive decision making by communities toward becoming more resilient to coastal hazards. Vulnerable and at-risk coastal communities are aware of changing conditions and can improve their resilience, economy and community well-being. Water resources are sustained and protected to meet emerging needs of the communities, economies, and ecosystems that depend on them. Fisheries, aquaculture, and marine freshwater resources provide food, jobs, and economic and cultural values. Marine and freshwater resources are sustained to support fishing communities and industries, including aquaculture, recreational, and subsistence fisheries.

Education and Workforce Development - Provide a coastal community with new information that allows them to assess the economic, engineering, environmental or quality of life consequences of storms, sea-level rise and changing rainfall and runoff on the coastal zone. An environmentally literate public that is informed by a continuum of lifelong formal and informal management opportunities that reflect the range of diversity of our communities. A diverse and skilled workforce is engaged and enabled to address critical local, regional, and national needs.

Our biennial RFP process begins with an announcement of funds being made available and is distributed electronically by email, on our webpage and other appropriate media. The schedule for the current RFP is indicated in the Key Dates section below. The funding announcement requests from researchers the submittal of a letter of intent. In response to this interest, Puerto Rico Sea Grant will petition comments
from off-island peers. The highest ranking letters of intent will be encouraged to submit full proposals. Investigators that are not encouraged to submit a full proposal can still submit it if they so desire, however, the chances of being funded are very limited.

**Essential Proposal Criteria**

All investigators need to consider the following criteria when submitting their letter of intent and meet these criteria when developing the full proposal. Any proposal received that doesn't meet these criteria will not be reviewed. An explanation will be sent immediately to the PI concerning any such decision.

1. All materials required in the full proposal must be received by Puerto Rico Sea Grant on or before the due date indicated in the RFP announcement.
2. The Principal Investigator must have documented expertise in the specific area of proposed research.
3. The proposal must clearly indicate that the Principal Investigator works with an industry or agency partner or other shareholder and that the research will be used to address some coastal marine issue. In order to develop a research project that is applied and relevant to a priority identified in the Puerto Rico Sea Grant Strategic Plan, it's advantageous to include evidence supplied in the form of a support letter from the partner explaining how the research will ultimately be used. If possible, have the shareholder participate as a co-investigator as this helps ensure utility.
4. Though not a requirement, a project which includes full or partial funding for at least one student who is being mentored by the Principal Investigator and who is actively contributing to the project as part of his/her thesis, dissertation, or undergraduate research, will be given preference.
5. For research proposed by investigators affiliated with institutions from outside the Puerto Rico/US Virgin Islands region, only those who propose work with professional colleagues or students from this region will be accepted.
6. The proposed research must clearly address one or more of the priorities identified in the Puerto Rico Sea Grant Strategic Plan.

**General Proposal Information**

- Full Proposals must have a duration of two years and focus on applied coastal marine research.
- This is an open competition for any Principal Investigator at any of the universities, agencies, non-profits or private corporations in Puerto Rico and the US Virgin Islands or from the US mainland and who have confirmed regional partners.
- Proposals must be strong in scientific or professional merit and rationale.
- The maximum Puerto Rico Sea Grant award is $120,000 for two years (assuming the current federal appropriation), with no more than $60,000 in each individual budget year. Up to six (6) research projects are expected to be selected for funding.
• A 50% non-federal dollar match is required – i.e., $60,000 match if $120,000 of federal funds is requested.

• We intend to fund approximately 6 research projects. Projects of the highest scientific merit and strongest stakeholder participation will be selected. A review panel of experts from outside of Puerto Rico will determine which projects will be funded.

**Key dates**

**2016**
December 15 Due date for Letters of intent

**2017**
January 20 Encourage Full Proposals
March 15 Due date for Full Proposals Due by 4:30PM AST (no late proposals will be accepted)
June 14 Notifications of results will be sent to investigators on or near this date.

**2018**
February 1 New projects start. The date when funds are released depends on when they are provided by NOAA.

**Applying For Funding**

This section describes the steps to apply for Puerto Rico Sea Grant funding for two-year applied research projects beginning in February 1, 2018. It provides an overview of the Puerto Rico Sea Grant proposal and review process, defines priority areas, and presents guidelines for the preparation of the full proposal.

**Sea Grant Funding Cycle**

Puerto Rico Sea Grant research projects are normally funded for two years. The effective date for the projects proposed will be February 1, 2018 to January 31, 2020.

**Eligibility**

Any Principal Investigator who submitted a research letter of interest and meets the previously described essential criteria is eligible to apply. Funded projects will be selected based on the degree to which they address Puerto Rico Sea Grant’s stated priorities, their scientific merits and active participation by a stakeholder in the private sector, a government agency, or a coastal community.

Principal Investigators may be employees of universities, agencies, non-profits or private corporations. Since Puerto Rico Sea Grant is a college program by nature, an important criterion is support of students. Investigators may participate, during a given RFP, in just ONE Puerto Rico Sea Grant full proposal.

Principal investigators affiliated with an institution that is not subject to a single audit as defined in 2 CFR
200, Subpart F – Audit Requirements (previously OMB Circular A-133) must include an additional form to enable Puerto Rico Sea Grant and the University of Puerto Rico at Mayagüez to determine whether the institution is considered high risk and whether it can be accepted as a recipient of Puerto Rico Sea Grant funds (see Appendix D).

**Elements of the proposal package**

The following represent elements of a full Research Proposal.

1. **Signed Title Page**
   Investigators and the responsible university research or grants office must endorse this document. Each institution is expected to use their own version.

2. **90-2 Project Summary Form**
   See Appendix A. This form must be included in the proposal package and it should be limited to one page.

3. **90-4 Budget Summary Form**
   See Appendix B. The maximum two-year award that Puerto Rico Sea Grant will provide is $120,000, with a maximum of $60,000 in each budget year. For each Sea Grant dollar, a 50% matching fund commitment is required (i.e., if you request $60,000 of federal dollars, you must have $30,000 of non-federal match). Matching funds are required and must be carefully considered from the beginning (in your LOI).
   
   A 90-4 form must be included in the proposal package for each year of funding plus a 90-4 form for the total budget requested (year 1, year 2, and total). Any sub-awards must be detailed in the proposal and additional budget forms must be included for the sub-awardee institution.

   “Sub-award means an award provided by a pass-through entity to a sub-recipient for the sub-recipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A sub-award may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.” 2 CFR 200, Subpart A, § 200.92.

   Amount of effort in the Budget Summary Form must be expressed as number of individuals and number of months (full-time equivalents), not as a percentage. This column must include a total for each line in the salaries section, accounting for both the federal and match portions of the budget for each line.

4. **Budget Justification**
   See Appendix C. All items in the budget (federal requests and match contributions) must be justified. Pay special attention to the format required and the section **Information that must be included in your budget justification in** Appendix C.

5. **Proposal Narrative Sections (15 pages including references)**
   The research proposal identifies a topic relevant to coastal and ocean needs of Puerto Rico and the US Virgin Islands. It provides sufficient detail for reviewers to discern the technical and practical merits of the project. It describes the need for the research and explains in detail the approach that will be taken to address that need, solve the problem, and provide recommendations. It includes a rationale, approach, stakeholder participation and expected outcomes and impacts. Describe the potential benefits/impacts to science, management and/or
industry. This can include new products, processes for industry; tools, policies, technologies and information for improved decision-making/ecosystem management.

The proposal shall be written in English in a MS Word (.docx) format. The narrative section will have a 15-page limit in a typical research proposal format. A one-page CV or bio for each investigator must be included in this document. The page limit includes tables, figures and references, but does not include the standard forms (project summary, budget form and one-page CV’s of investigators).

6. Data-sharing plan

NOAA Data Sharing Requirement (for all NOAA funded research projects)

Environmental data and information collected and/or created under NOAA grants and cooperative agreements must be made visible, accessible, and independently understandable to general users, free of charge or at minimal cost, in a timely manner (typically no later than two years after the data are collected or created), except where limited by law, regulation, policy or by security requirements. This requirement has two basic parts: (1) environmental data generated by a grant project must be made available after a reasonable period of exclusive use, and (2) the grant application must describe the plan to make the data available.

To comply with this requirement the Principal Investigator must include a brief data sharing plan that clearly outlines the means by which qualifying data will be made available if the proposal is selected for funding. For more information on data sharing plans please contact Dr. Kurt Grove at 787-832-3585; kurtallen.grove@upr.edu.

7. Short one-page CV’s or Bio’s for each principal investigator or co-principal investigator

8. Letters of Support, etc.

9. Cost-sharing commitment(s) letter(s)

10. Principal investigators affiliated with an institution that is not subject to a single audit as defined in 2 CFR 200, Subpart F – Audit Requirements (previously OMB Circular A-133) must fill in the Audit Certification and Financial Status Questionnaire (see Appendix D).

Review Criteria

In order for your Research Proposal to be considered for review, ALL criteria previously listed in this call for proposals must be met. Research Proposals that do not meet ALL of the criteria will be returned without a review and will not be considered in this biennial research competition.

For full Research Proposals, Puerto Rico Sea Grant will obtain peer reviews from three experts outside the Puerto Rico and US Virgin Islands region. Reviews will be evaluated by a technical review panel of broadly experienced out-of-state scientists recognized for both their disciplinary and program leadership experience.

Research Proposals must focus on the priorities identified in the Puerto Rico Sea Grant Strategic Plan. The full proposals are more comprehensive and detailed versions of the letters of intent that were reviewed in the first round of this funding cycle.

Three equally-weighted criteria will be used by reviewers and panel members to evaluate full proposals.
**A. Scientific Merit** - the degree to which the proposed project is innovative and will advance the state of the science or discipline through rigorous state-of-the-art research

**B. Users, Participants and Co-Sponsors** - the degree to which users or potential users of the results of the proposed project have been brought into the planning of the project, will be brought into the execution of the project, and will use results. Researchers must work with end-users to develop relevant proposals. Sea Grant is a college program and student participation in Sea Grant funded research is preferred.

**C. Expected Results, Applications and Benefits** - the degree to which the completed project is expected to create new commercial opportunities, improve technological and economic efficiency, promote environmental sustainability, or improve management decisions, in Puerto Rico and the US Virgin Islands.

The panel will consider reviews that rate proposals based on these criteria. Panel deliberations ensure that we fund only technically excellent and issue-oriented research that engages end-users AND to ensure (where possible) that projects are distributed across multiple focus areas of our Strategic Plan.

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**Submitting the Research Proposal:**

Proposals **MUST BE SUBMITTED BY EMAIL** to the Puerto Rico Sea Grant research coordinator. You are allowed a maximum of **15 single-spaced pages for the project narrative including tables, figures and literature citations**, but not counting budget forms, the explanation of NOAA data sharing and biodata forms. The proposal must be written in English. Use 11-point font, Times New Roman. Figures, images, mathematical notations and symbols, and tables must be embedded within the proposal narrative. **FULL PROPOSALS RECEIVED AFTER 4:30 PM AST ON MARCH 15, 2017 WILL NOT BE CONSIDERED FOR REVIEW.**

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**All questions:**
Kurt Grove, PhD
Research Coordinator
kurtallen.grove@upr.edu
(787) 832-4040 extension 5300
(787) 832-3585
APPENDIX A

SEA GRANT PROJECT SUMMARY FORM 90-2

INSTITUTION (Program): PR

TITLE:

PI:
AFFILIATION:

2nd PI:
AFFILIATION:

3rd PI:
AFFILIATION:

4th PI:
AFFILIATION:

TOTAL FEDERAL $ REQUEST:

TOTAL MATCH $:

FOCUS AREAS: (Primary Focus Area First)

PARTNERS: List any partners that will be working with you on the project and describe their role.

OBJECTIVES: This section should state concisely what the investigator intends to do. Stated objectives should enable comparison later to project results. NOTE: Be specific and brief. State the overall project goal, and then the individual objectives.

METHODOLOGY: Describe the methods to be used, including the proposed spatial and temporal extent of any field sampling, the modeling approaches to be used, experimental design and statistics. Be specific, concise and limit this section to one paragraph.

RATIONALE: This section should make a concise statement of why the issue or opportunity is being addressed. Research projects need not promise to fully solve a problem, but it should be shown that it is a logical step towards a solution. Long involved background statements should be avoided. End users must be identified. For Research to Application projects, please describe how the end-user is involved and will apply the results within the two-year time-frame.
### APPENDIX B

**SEA GRANT BUDGET FORM 90-4**

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<th>GRANTEE:</th>
<th>GRANT/PROJECT NO.</th>
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<tr>
<th>PRINCIPAL INVESTIGATOR:</th>
<th>Duration (months):</th>
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<tr>
<th>SALARIES AND WAGES:</th>
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<th>No. of People</th>
<th>Amount of Effort</th>
<th>Sea Grant Funds</th>
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<td>b. Research Associates:</td>
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<td>c. Res. Asst./Grad. Students:</td>
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<td>Total Salaries and Wages:</td>
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**B. FRINGE BENEFITS:**

Total Personnel (A and B):

- -

**C. PERMANENT EQUIPMENT:**

- -

**D. EXPENDABLE SUPPLIES & EQUIPMENT:**

- -

**E. TRAVEL:**

1. Domestic
2. International
   Total Travel:
   - -

**F. PUBLICATIONS AND DOCUMENTATION COSTS:**

- -

**G. OTHER COSTS:**

- -

Total Other Costs:

- -

**TOTAL DIRECT COSTS (A through G):**

- -

**INDIRECT COST (On Campus of %):**

- -

**INDIRECT COST (Off campus % of ):**

- -

Total Indirect Costs:

- -

**TOTAL COSTS:**
APPENDIX C
Guidelines for Preparation of Budget Justifications

Format
Please prepare your budget justification in the following format.

Budget Justification

Federal Funds Year 1

A. Salaries and Wages

Senior Personnel

Other Personnel

B. Fringe Benefits

C. Permanent Equipment

D. Expendable Supplies and Equipment

E. Travel

F. Publications and Documentation Costs

G. Other Costs

H. Indirect Costs

Matching Funds Year 1

A. Salaries and Wages

Senior Personnel
Other Personnel

B. Fringe Benefits

C. Permanent Equipment

D. Expendable Supplies and Equipment

E. Travel

F. Publications and Documentation Costs

G. Other Costs

H. Indirect Costs

FOLLOW THE SAME FORMAT FOR YEAR 2
Information that must be included in your budget justification

A. SALARIES AND WAGES

- Is each individual identified by name and position?
- Are time commitments such as hours and percent of time stated for each position?
- Are the total charges for each person listed along with an explanation of how the costs were calculated?
- Do the combined charges for all activities of any individual exceed 100% of their time?
- Do the time commitments and charges appear reasonable?
- Are all individuals employees of the applicant organization? (If not, explain)
- Are salary increases justified for the grant period?
- Are any salary/personnel costs unallowable (i.e., Federal Employees or legislative personnel)

B. FRINGE BENEFITS

- Are fringe benefits identified as a separate item?
- Are all the elements that comprise fringe benefits indicated?
- Are the total charges for each person listed along with an explanation of how the charges were calculated?
- Are fringe benefits charged to federal and matching categories in the same proportion as salaries?

C. PERMANENT EQUIPMENT

For any item(s) of equipment that has a useful life of more than one year or costing $5,000 per unit or more, a description of the item and associated costs is required.

- Is each item of equipment listed?
- If over $5,000 is there a description of how it will be used in the project?
- If over $5,000 has a lease vs. purchase analysis been completed?
- For each item of equipment, is the number of units, cost per unit and total cost specified?
- Is each item of equipment necessary for the successful completion of the project?

D. EXPENDABLE SUPPLIES AND EQUIPMENT

Expendable supplies and equipment must be described according to major categories, e.g., chemical reagents, computer paper and supplies, glassware, lumber, etc. Fuel for boats should be budgeted here rather than under travel. Fuel for vehicles should be budgeted under E. Travel. The justification may be based on historical costs (note as such).

- Are supplies itemized by type of material or nature of expense?
- For general office or business supplies, is the total charge listed along with the basis for the charge (i.e. historical use rates)?
- For other specific supply categories, is the number of units, cost per unit and total cost specified?
- Are the charges necessary for the successful completion of the project?
E. TRAVEL

- For foreign and domestic travel, is each trip listed along with the destination, estimated mileage, method of travel, cost per mile and duration, number of travelers, per diem rate for meals and lodging?
- If actual trip details are unknown, what is the basis for the proposed travel charges?
- Is the requested travel directly relevant to the successful completion of the project?

G. OTHER COSTS

- Are items listed by type of material or nature of expense?
- For each charge, is the number of units, cost per unit and total cost specified?
- Are the charges necessary for the successful completion of the project?

H. INDIRECT COSTS

- Indirect Cost is the institution's negotiated Facilities and Administrative (Indirect) cost rate and its relation to those elements of the proposed grant budget to which that rate is to be applied.
- Identify the direct costs to which indirect costs can be applied.

Additional information related to match contributions
Note that it is important to specify match contributions carefully to be able to demonstrate sources and amounts. Any match contributions identified by investigators are subject to federal audit. These must be explained with the same level of detail as the federal funds requested (see above). Do not include match contributions in excess of the minimum requirement. These will not be considered in the decision to fund a proposal.

- Are the sources of match clearly identified?
- Does the application exclude matching contributions, cash or in-kind, used for other programs?
- Does the application exclude federal funds used as match?
- Are the match contributions verifiable from the principal investigator's entity's records?
- Are the match contributions necessary and reasonable for the accomplishment of project or program objectives?
Appendix D

AUDIT CERTIFICATION AND FINANCIAL STATUS QUESTIONNAIRE

Subrecipient Name: __________________________

This Audit Certification and Financial Status Questionnaire Form is to be completed by the Subrecipient if the Subrecipient is not subject to the audit requirements of the OMB Circular A-133.

This Audit Certification is for the Subrecipient’s most recently completed Fiscal Year Ending ________.

(Please respond to A or B, below, as applicable):

☐ A. External independent audits of my organization/company have been completed for my organization’s most recently completed Fiscal Year: (state your organization’s/company’s fiscal year: from MM/DD/YYYY: _______________ to MM/DD/YYYY: _______________). Provided is the URL link to our true, complete and most current audit report________________________________________________. If you do not have a link please attach a copy of your most current audit report with this document. If statement A is true then only completion of this page of the Audit Certification and Financial Status Questionnaire is required.

OR

☐ B. My organization/company has not been audited by a U.S. Government audit agency or by an independent CPA firm for the most recently completed Fiscal Year (state organization’s/company’s fiscal year from MM/DD/YYYY: _______________ to MM/DD/YYYY: _______________). I have completed this Audit Certification and Financial Status Questionnaire (4 pages) in its entirety. True and correct information concerning my organization’s finances and fiscal policies have been provided in this Audit Certification and Financial Status Questionnaire, and in any attached financial statements covering the fiscal year noted above. (NOTE: Please answer all questions, providing a brief explanation where required. Do not leave any questions blank, simply indicate if a question is “not applicable”.)

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<th>AUTHORIZED OFFICIAL</th>
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<td>Name/Title/Department</td>
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<td>(DUNS No.)/(DUNS+4 if applicable)</td>
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General Information

Y  N  1. Does your organization have its financial statements reviewed by an independent public accounting firm? (Please enclose a copy of the most recent financial statements for your organization, audited or unaudited.)

Y  N  2. Are duties separated so that no one individual has complete authority over an entire financial transaction?

Y  N  3. Does your organization have controls to prevent expenditure of funds in excess of approved, budgeted amounts?

Y  N  4. Other than financial statements, has any aspect of your organization's activities been audited within the last two years by a governmental agency or independent public accountant? Explain. (Please provide a copy of any recent external audit report.)

Cash Management

Y  N  1. Are disbursements properly documented with evidence of receipt of goods or performance of services?

Y  N  2. Are all bank accounts reconciled monthly?

Payroll

Y  N  1. Are payroll charges checked against program budgets?

2. What system does your organization use to control paid time, especially time charged to sponsored agreements?

Procurement

Y  N  1. Are there procedures to ensure procurement at competitive prices?

2. Is there an effective system of authorization and approval of:

   Y  N  a) capital equipment expenditures?
   Y  N  b) travel expenditures?
Property Management

Y  N  1. Are detailed records of individual capital assets kept and periodically balanced with the general ledger accounts?

Y  N  2. Are there effective procedures for authorizing payment and accounting for the disposal of property and equipment?

Y  N  3. Are detailed property records periodically checked by physical inventory?

4. Briefly describe the organization's policies concerning capitalization and depreciation.

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Cost Transfers

1. Briefly describe the organization's policies concerning cost transfers.

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Indirect Costs

Y  N  1. Does the organization have an indirect cost allocation plan or a negotiated indirect cost rate? Explain. (Please provide a copy of any negotiated indirect cost rate agreement.)

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Y  N  2. Does the organization have procedures which provide assurance that consistent treatment is applied in the distribution of charges to all grants, contracts and cooperative agreements? Explain.

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________
Cost Sharing

1. Briefly describe the organization's policies concerning cost sharing.


Compliance

Y   N
1. Does your organization have a formal policy of nondiscrimination and a formal system for complying with Federal civil rights requirements?

Y   N
2. Does your organization have a cash forecasting process which will minimize the time elapsed between the drawing down of funds and the disbursement of those funds?

3. Please provide a list of recent grants, contracts or cooperative agreements your organization has received from University of Puerto Rico, Mayaguez Campus.


Attachments

Y   N   Recent Financial Statements External Review or Audit Report
Y   N   Financial Statements, Audited or Unaudited
Y   N   Indirect Cost Rate Agreement
Y   N   List of Awards from University of Puerto Rico, Mayaguez Campus