Overview

Puerto Rico Sea Grant conducts applied research competitions every two (2) years. The projects that we select, respond to the needs of stakeholders operating in Puerto Rico and the US Virgin Islands and must tend to at least one of the four focus areas identified below and discussed in detail in our 2018 – 2021 Strategic Plan which can be downloaded at https://seagrantpr.org/wp-content/uploads/2018/10/Strategic_Plan_2018-2021.pdf.

- Healthy Ecosystems and Habitats
- Sustainable Fisheries and Aquaculture
- Resilient Communities and Economies
- Environmental Literacy and Workforce Development

Puerto Rico Sea Grant has opened opportunities for cross-disciplinary and multi-disciplinary applied research that leads to enhance the understanding of tropical islands environments, and supports improved public policy and decision-making for better management of coastal and marine resources. In this biennial RFP, up to $360,000 in annual funding is available. We expect to fund six (6) projects with a period of performance of two years and federal requests of up to $60,000 per year. A 50% funding match is required from non-federal sources ($1 of match for every $2 of Sea Grant funding requested).

Puerto Rico Sea Grant support is awarded on a competitive basis and is available to researchers at academic institutions, NGOs, and other non-profit education organizations. While priority is given to institutions within Puerto Rico and U.S. Virgin Islands, our program recognizes that research issues cross physical and disciplinary boundaries and occasionally fund projects at institutions at non-PR/USVI institutions if the project has relevance to the archipelago. Proponents can be a PI, Co-PI or Associate Researcher on just one proposal submitted for this competition. Projects that enjoy commonwealth agency or public support or funding and active contributions of students are highly encouraged. Collaborations with resource managers, resource users and the private industry are encouraged.

Only researchers submitting a letter of intent (LOI) will be eligible to submit a full proposal. Full proposals may be encouraged or not encouraged based on review of the LOI. However, if you submitted a LOI and were not encouraged to submit a full proposal, you can still do so, but chances to receive funding are very limited.

Proposals from interdisciplinary teams formed by social scientists (anthropologists, sociologists, historians, economists), applied sciences (coastal and civil engineering), marine sciences and
planning, among others, are encouraged. Proposals must deal with one or more of the following topics. Parenthetical entries constitute examples of eligible subtopics.

- Impacts and adaptation strategies addressing the physical and social changes from extreme natural events (hurricane and coastal flooding impacts on communities and biological resources on reefs, seagrass, and coastal mangrove forest, coastal gentrification in areas impacted by extreme events)
- Water quality issues (frequent Sargasso growth and accumulation, habitat degradation)
- Ecosystem management, coastal marine resources, and socio-economic dimensions (commercial fishery, aquaculture permitting and policies, production systems, and seafood safety and quality, protected species, loss of critical habitat, marine resource rehabilitation using marine-culture of depleted species or strategies to control invasive species)
- Coastal gentrification in areas impacted by the hurricanes
- Changes in the shoreline and the exposure to upcoming events
- Immediate responses by the government and private sector to the deterioration of the shoreline
- Physical impacts and damages to housing and critical infrastructure
- Local and diasporic NGOs responses to the event
- Transformation in the landscape of the shoreline, the coastal habitats and the underwater habitats
- Economic and social responses (adaptations, resilience) in the livelihoods of coastal peoples
- Migration and return migration of coastal peoples
- Government and private sector responses in facilitating and/or retarding the recuperation processes
- The cultural dimensions of the process

Relevance of the proposed work and the expected societal impact to Puerto Rico’s coastal and marine resources and Puerto Rico Sea Grant’s Strategic Plan must be clearly described, including how the knowledge, data generated or tools will lead to solve problems, reduce impacts or provide measurable progress towards strategic objectives and priorities of our program. Goals and objectives of the project must be clearly stated and identify how the proposed research applies to strategic objectives included in the 2018-2021 Strategic Plan. Usefulness of the project must be easily conceived and effectiveness of expected results, applications, and project effectiveness should be obviously determined. Scientific merit approach of the project must be technically sound and innovative, presenting new and relevant approaches to improve the management of coastal and marine resources of the archipelago. An extension or outreach component must be included together with a plan to disseminate research findings to resource users and potential stakeholders.
NOAA regulations require that data and information collected and/or created under NOAA (including Sea Grant) grants 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. The requirement has two basic parts: (1) environmental and socioeconomic data generated by a grant project must be made available after a reasonable period of exclusive use, and (2) the grant proposal must describe the plan to make the data available. A data management plan will be required for full proposals.

Letters of Intent

Our biennial RFP process begins with an announcement of funds being made available in different media. The schedule for the current RFP is indicated in the Key Dates section below. The funding announcement requests the submittal of a letter of intent. In response to this interest, Puerto Rico Sea Grant will request comments from a group of reviewers. 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.

Proposals need to be relevant to one of the focus areas and priorities identified in the 2018-2021 PRSG Strategic Plan available at https://seagrantpr.org/wp-content/uploads/2018/10/Strategic_Plan_2018-2021.pdf. Only applied and relevant research projects that propose cross-disciplinary research that address important problems, issues or opportunities in the conservation, management, use or development of coastal or marine resources and ecosystems are encouraged.

Letter of Intent Format and Guidelines

A LOI must be submitted and evaluated prior to an invitation to submit a full proposal.

The LOI should not exceed two pages and needs to include the following:

1. A brief descriptive title of the project, name of the investigators, and academic affiliation.

2. A short statement (not exceeding 750 words) explaining project relevance, objectives (expected results) and methods (data required and analysis). Define the product(s) that your research will provide and how these will be applied to solve a problem, reduce impacts or provide measurable progress towards strategic objectives and priorities of our program.

3. A short budget indicating total Sea Grant request and total match for year one, year two and total (not to exceed $60,000/year in federal request). Researchers must demonstrate that
project costs are appropriate to accomplish the proposed activities and stated goals and objectives.

Consider the following when estimating the global cost of the proposed project; permanent equipment, materials, travel, number of personnel, calculation of salaries and fringe benefits, time and effort of personnel, staff, and students, subcontracts (if any), non-federal matching funds and calculation of indirect costs.

NOAA requires that the grantee provide matching funds equivalent to 50% of the amount requested from the Federal government. Suggestions of state and federal natural resource agencies that you may wish to contact and develop a proposal with might include: Department of Natural and Environmental Resources of Puerto Rico, Department of Planning and Natural Resources of the US Virgin Islands, US Geological Survey, Army Corps of Engineers, National Park Service, Fish and Wildlife Service, Puerto Rico Planning Board, Environmental Quality Board, Environmental Protection Agency (EPA) among others.

4. All pages should be formatted to use 8-1/2” x 11” paper

5. Proposals with two-year duration are preferred.

6. Proposals must be submitted in docx, or doc format.

7. Include a short (one page or less) CV’s or Bio’s (not part of two-page limit).

Submittal of Letter of Intent

The LOI must be submitted electronically to Dr. Kurt A. Grove, Research Coordinator at: kurtallen.grove@upr.edu. The LOI is due on or before 4:30 p.m. (AST) January 8, 2019; late applications will not be accepted. After review of LOI by the UPR Sea Grant's management and review panel, the most relevant projects will be encouraged to submit full proposals by February 7, 2019. Review panel comments will be included in our notification. The deadline for full proposal submission is April 12, 2019 at 4:30pm.

Full Proposal Guidelines

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. The following guidelines must be followed when submitting a full proposal.
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. The principal investigator will be notified immediately that the proposal will not be reviewed and why.

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 clearly indicates that the Principal Investigator worked with an industry or agency partner or other shareholder that will make use of a research product 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 letter explaining how the partner will ultimately use the new information or products of the research. If possible, have the shareholder participate as a co-investigator as this helps ensure utility.

4. Though not a requirement, projects 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, are encouraged.

5. For research proposed by investigators affiliated with institutions from outside the Puerto Rico/US Virgin Islands region, we encourage that you propose work with professional colleagues or students from this region.

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 will determine which projects will be funded.

**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, 2020 to January 31, 2022.

**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. Reviews will be evaluated by a Technical Review Panel of broadly experienced 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.

Submitting the Full 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 APRIL 12, 2019 WILL NOT BE CONSIDERED FOR REVIEW.

Key Dates

**2019**
- January 8   Due date for Letters of Intent
- February 7  Encourage Full Proposals
- April 12    Full Proposals Due by 4:30PM AST
- June 30     Notifications of results will be sent to investigators on or near this date.

**2020**
- February 1  New projects start. The date when funds are released depends on when they are provided by NOAA.

Contact Info:

Kurt Grove, PhD
Research Coordinator
kurtallen.grove@upr.edu
(787) 832-4040 extension 5300
(787) 832-3585
(787) 832-8045

René Esteves, PhD
Extension Director
ren.e.steves@upr.edu
(787) 832-3585
(787) 832-8045

Ruperto Chaparro, MA
Director
ruperto.chaparro@upr.edu
(787) 832-3585
(787) 832-8045

Yulissa García, PhD-BA
Executive Officer
yulissa.garcia1@upr.edu
(787) 832-3585
(787) 832-8045
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**

<table>
<thead>
<tr>
<th>GRANTEE:</th>
<th>GRANT/PROJECT NO.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>PRINCIPAL INVESTIGATOR:</th>
<th>Duration (months):</th>
</tr>
</thead>
</table>

#### SALARIES AND WAGES:

<table>
<thead>
<tr>
<th>SALARIES AND WAGES:</th>
<th>man-months</th>
<th>No. of People</th>
<th>Amount of Effort</th>
<th>Sea Grant Funds</th>
<th>Matching Funds</th>
</tr>
</thead>
</table>

1. **Senior Personnel**
   - a. (Co) Principal Investigator: - - - -
   - b. Associates (Faculty or Staff): - - - -
   - Sub Total: - - - -

2. **Other Personnel**
   - a. Professionals: - - - -
   - b. Research Associates: - - - -
   - c. Res. Asst./Grad. Students: - - - -
   - d. Prof. School Students: - - - -
   - e. Pre-Bachelor Student(s): - - - -
   - f. Secretarial-Clerical: - - - -
   - g. Technicians: - - - -
   - h. Other: - - - -
   - Total Salaries and Wages: - - - -

#### 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 %):
- 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”.)

AUTHORIZED OFFICIAL

_________________________________________________
Name/Title/Department ________________________________ (Signature)

_________________________________________________
(Address) ____________________________________________ (City, State, Zip)

_________________________________________________
(Phone) ____________________________________________ (Email)

_________________________________________________
(DUNS No.) /(DUNS+4 if applicable) ____________________ (Congressional Dist. No.) ________ (EIN)

_________________________________________________
(Date) ____________________________________________ (URL link to Audit Report)
### General Information

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>1. Does your organization have its financial statements reviewed by an independent public accounting firm? <strong>(Please enclose a copy of the most recent financial statements for your organization, audited or unaudited.)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Y</td>
<td>N</td>
<td>2. Are duties separated so that no one individual has complete authority over an entire financial transaction?</td>
</tr>
<tr>
<td>Y</td>
<td>N</td>
<td>3. Does your organization have controls to prevent expenditure of funds in excess of approved, budgeted amounts?</td>
</tr>
<tr>
<td>Y</td>
<td>N</td>
<td>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. <strong>(Please provide a copy of any recent external audit report.)</strong></td>
</tr>
</tbody>
</table>

### Cash Management

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>1. Are all disbursements properly documented with evidence of receipt of goods or performance of services?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y</td>
<td>N</td>
<td>2. Are all bank accounts reconciled monthly?</td>
</tr>
</tbody>
</table>

### Payroll

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>1. Are payroll charges checked against program budgets?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>2. What system does your organization use to control paid time, especially time charged to sponsored agreements?</td>
</tr>
</tbody>
</table>

### Procurement

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>1. Are there procedures to ensure procurement at competitive prices?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>2. Is there an effective system of authorization and approval of:</td>
</tr>
<tr>
<td>Y</td>
<td>N</td>
<td>a) capital equipment expenditures?</td>
</tr>
<tr>
<td>Y</td>
<td>N</td>
<td>b) travel expenditures?</td>
</tr>
</tbody>
</table>

### Property Management

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>1. Are detailed records of individual capital assets kept and periodically balanced with the general ledger accounts?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y</td>
<td>N</td>
<td>2. Are there effective procedures for authorizing payment and accounting for the disposal of property and equipment?</td>
</tr>
<tr>
<td>Y</td>
<td>N</td>
<td>3. Are detailed property records periodically checked by physical inventory?</td>
</tr>
</tbody>
</table>
|   |   | 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

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.)

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

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

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