

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

## Overview

The University of Puerto Rico Sea Grant College Program is requesting preliminary proposals for the 2022-2024 funding cycle. Puerto Rico Sea Grant supports a multidisciplinary, integrated program of applied research, outreach, and education to increase citizens' understanding and responsible use of Puerto Rico's and United States Virgin Islands' coastal and marine resources. Information generated by Puerto Rico Sea Grant-funded research reaches stakeholders through Puerto Rico Sea Grant extension, education, and communications activities in Puerto Rico and the U.S. Virgin Island region and via the national network.

Our region of primary interest is the Archipelago of Puerto Rico and that of the United States Virgin Islands. Priority research areas were identified through information drawn from focus groups, interviews, and a survey of resource users, managers, and scientists. This consultation process led to our extended 2018-2023 Strategic Plan, adapted to tend to the evolving needs based on the current socioeconomic, environmental, and recent earthquakes and coronavirus pandemic threats. The current plan can be downloaded from [www.seagrantpr.org/communications-and-publications/reports/](http://www.seagrantpr.org/communications-and-publications/reports/).

## Priorities for Research Projects

For the 2022-2024 research cycle all proposed work must be in alignment with at least one of the four focus areas identified on the current 2018-2023 Strategic Plan: *Healthy Ecosystems and Habitats, Resilient Communities and Economies, Education and Workforce Development, and Sustainable Fisheries and Aquaculture*. This plan provides a broad foundation for economic growth and opportunity by focusing on key priorities established by the Department of Commerce specifically to equip our employees with the tools and knowledge needed to accomplish Puerto Rico Sea Grant's mission of protecting our environment and helping businesses and communities adapt to a changing planet.

In this cycle, we highly encourage proposals that cut across the Strategic Plan's focus areas by addressing the linkages between water quality and climate change adaptation. Please also note that non-water quality related proposals will also be considered. However, given the Archipelago's unique vulnerability to the consequences of climate related environmental changes to the normal balance of water bodies and ecosystems, we are prioritizing our support in favor of cross cutting research projects that:

- Increase understanding on how climate change affects water quality (physical, chemical and biological properties) locally, as well as effects on environmental goods and services, human health and socioeconomic activities.
- Generate awareness on impacts of current and projected climate change on water quality.

- Develop effective tools and policy responses to mitigate and adapt to climate change impacts on water quality.
- Share responses, best practices and lessons learnt on climate change impacts in water quality to support managers and policy makers.
- Investigate the economic impact of the erosion of Puerto Rico's beaches through visitor surveys and analysis of data.
- Identify projects and site areas particularly well suited for the establishment of new locally run aquaculture business by virtue of minimizing potential environmental impacts, conflicts with other ocean and coastal uses, and synergy with shore-side communities and their economies.

In addition, we also highly encourage APPLIED, innovative, collaborative, integrated approaches that involve community partners. This is not to say that an interdisciplinary community supported approach is sufficient in itself. Rather, to solve the challenges we face, we must differentiate between basic and applied research by developing applicable solutions aimed at specific resource user problems. The goal is to ensure that research findings generate solutions that can be shared by our extension agents, educators and communication specialists in support of the sustainable use of our coastal and marine resources.

Finally, our biennial RFP process begins with an announcement of funds being made available and 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 (LOI). 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 does not meet these criteria will not be reviewed. An explanation will be sent immediately to the PI concerning any such decision.

1. Letter of intent narrative must not exceed three pages (8 1/2" x 11") with 1" margins and Font 11 in Times New Roman style and should address the following points:
  - *Title*: Provide the title for your proposed work
  - *Rationale*: Provide a well-developed rationale that stresses why this is an important problem that has regional implications. What Sea Grant focus area(s) will this project address?
  - *Goals and Objectives*: Provide explicit, testable hypotheses with goals and objectives.
  - *Methodology*: Provide a brief but clear description of your research protocol.

- *Expected Outcomes*: Describe specific stakeholders who will benefit from the results of this study and how they will benefit. Those with continuing projects should also include progress in this section.
  - *Value to graduate and/or undergraduate education*: Briefly describe how graduate and or undergraduate students will be involved in the proposed work.
  - *Literature Cited*: Literature Cited is not included in the 3-page limit.
2. All materials required in the letter of intent and full proposal must be received by Puerto Rico Sea Grant on or before the due date indicated in the RFP announcement.
  3. The Principal Investigator must have documented expertise in the specific area of proposed research.
  4. 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.
  5. 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 a thesis, dissertation, or undergraduate research, will be given preference.
  6. 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.
  7. 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 are 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 and of Puerto Rico will determine which projects will be funded.

## **Key dates**

### 2021

January 31	Due date for Letters of Intent
February 28	Encourage Full Proposals
April 30	Full Proposals Due by 4:30PM AST
July 31	Notifications of results will be sent to investigators

### 2022

February 1     New projects start

## **Applying for Funding**

This section describes the steps to apply for Puerto Rico Sea Grant funding for two-year applied research projects beginning on February 1, 2022. 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, 2022 to January 31, 2024.

## **Eligibility**

Any Principal Investigator who submitted a research letter of intent 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 not affiliated with any campus of the University of Puerto Rico 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 and budget justification 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 how its findings can be applied to solve relevant issues affecting coastal and marine resource users. 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. René Esteves at 787-832-3585; [rene.esteves@upr.edu](mailto:rene.esteves@upr.edu)

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

8. Letters of Support.

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

10. Principal investigators not affiliated with any campus of the University of Puerto Rico 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).

11. Proposals that are selected and recommended for funding are required to have a completed Abbreviated Environmental Compliance Questionnaire and copies of associated permits, if applicable.

#### **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 and from 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.

### **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 April 15, 2021 WILL NOT BE CONSIDERED FOR REVIEW.

All questions:

René Esteves, PhD

Research Coordinator [rene.esteves@upr.edu](mailto:rene.esteves@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**

OMB Control No. 0648-0362

**SEA GRANT BUDGET FORM 90-4**

<b>GRANTEE:</b>		<b>GRANT/PROJECT NO.</b>	
<b>PRINCIPAL INVESTIGATOR :</b>		Duration	(months):
<b>SALARIES AND WAGES :</b>		<b>man-months</b>	
		<b>No. of People</b>	<b>Amount of Effort</b>
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:	-	-	-
<b>Total Salaries and Wages :</b>			
<b>B. FRINGE BENEFITS :</b>			
<b>Total Personnel (A and B):</b>			
<b>C. PERMANENT EQUIPMENT:</b>		-	-
<b>D. EXPENDABLE SUPPLIES &amp; EQUIPMENT :</b>			
<b>E. TRAVEL :</b>			
1. Domestic			
2. International			-
<b>Total Travel :</b>			
<b>F. PUBLICATIONS AND DOCUMENTATION COSTS :</b>			-
<b>G. OTHER COSTS :</b>			
		-	-
		-	-
		-	-
		-	-
		-	-
		-	-
		-	-
<b>Total Other Costs :</b>			
<b>TOTAL DIRECT COSTS (A through G):</b>			
<b>INDIRECT COST (On Campus of %):</b>			-
<b>INDIRECT COST (Off campus % of ):</b>			-
<b>Total Indirect Costs:</b>			-
<b>TOTAL COSTS :</b>			

## **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?



# Subrecipient Profile Questionnaire & Commitment Form

All sub-recipients for proposals submitted by UPRM must complete this form. It provides a checklist of documents and certifications that should be provided by the sub-recipient, as well as an approvals section that must be signed by the authorized institutional representative.

### 1. UPRM PI Information:

Proposal Title: \_\_\_\_\_  
\_\_\_\_\_  
UPRM Investigator: \_\_\_\_\_  
Department: \_\_\_\_\_  
Phone: \_\_\_\_\_  
Email: \_\_\_\_\_

### 2. Subawardee PI Information:

Name of PI: \_\_\_\_\_  
Department: \_\_\_\_\_  
Phone: \_\_\_\_\_  
Email: \_\_\_\_\_

### 3. Subrecipient Information:

Legal Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_  
State: \_\_\_\_\_  
Zip Code: \_\_\_\_\_  
Phone: \_\_\_\_\_  
Fax: \_\_\_\_\_  
URL: \_\_\_\_\_  
Incorporated in: \_\_\_\_\_  
Incorporated Date: \_\_\_\_\_  
Number of Employees: \_\_\_\_\_  
Employee ID Number (EIN): \_\_\_\_\_  
DUNS Number: \_\_\_\_\_  
Congressional District: \_\_\_\_\_  
Total Funds Requested: \_\_\_\_\_  
Period of Performance: From: \_\_\_\_\_ To: \_\_\_\_\_  
Registered on PR GSA?\* \_\_\_\_\_ Yes \_\_\_\_\_ No  
Registered on SAM? \_\_\_\_\_ Yes \_\_\_\_\_ No

\*Puerto Rico General Service Administration

**4. Type of organization (check one):**

- |   |  |
|---|--|
| <input type="checkbox"/> Federal Government | <input type="checkbox"/> Institution of Higher Education |
| <input type="checkbox"/> State Agency       | <input type="checkbox"/> Non-Profit Organization         |
| <input type="checkbox"/> Municipality       | <input type="checkbox"/> Corporation / Private Industry  |
| <input type="checkbox"/> Foreign Government | <input type="checkbox"/> Foundation                      |

**5. Organization classification: (Select all that apply)**

- |   |   |
|---|---|
| <input type="checkbox"/> Community College    | <input type="checkbox"/> Large Business               |
| <input type="checkbox"/> Research Intensive   | <input type="checkbox"/> Small Business               |
| <input type="checkbox"/> Minority Institution | <input type="checkbox"/> Woman-Owned                  |
| <input type="checkbox"/> Tribal               | <input type="checkbox"/> Volunteer Organization       |
| <input type="checkbox"/> Veteran-Owned        | <input type="checkbox"/> Small Disadvantaged Business |
| <input type="checkbox"/> Other: _____         |   |

**6. Subrecipient fiscal year start and end dates (month and day):**

Start on:      Month      Day      /      Month      Day      /      End on:      Month      Day      /      Day

**7. Negotiated Federal Facilities and Administrative Rate (Indirect Cost Rate):**

\_\_\_\_\_ Yes      \_\_\_\_\_ No

*If yes, please attach a copy of your current rate agreement or provide the URL. If not, please provide the documentation to substantiate the proposed rate, if applicable (i.e., breakdown of rate components).*

**8. Required to comply with the 2 CFR 200, Subpart F-Audit Requirements:**

\_\_\_\_\_ Yes      \_\_\_\_\_ No

*If Yes:*

Has the audit been completed for the most recent fiscal year?

\_\_\_\_\_ Yes      \_\_\_\_\_ No

Were any audit findings reported related to subawards?

\_\_\_\_\_ Yes      \_\_\_\_\_ No

Please provide a copy or link of the most recent fiscal year

Audit Contact Name and Title: \_\_\_\_\_

Auditee Name Filed Under: \_\_\_\_\_

*(exact legal name under which your audit report is filed in the Federal Audit Clearinghouse Internet site at <http://harvester.census.gov/sac/>)*

EIN (Employer ID Number) Filed Under: \_\_\_\_\_

Address: \_\_\_\_\_

Email: \_\_\_\_\_

*If No:* Does the Subrecipient receive overall federal funding of at least \$750,000 per year?

- Non-profit entity expending less than \$750,000 per year in Federal or Sub-Federal funds annually

- For-profit entity that expends Federal or Sub-Federal funds and has DCAA audited rates
- For-profit entity that does not expend Federal funds or have annual audits
- Foreign entity

**NOTE: If answer to question 8 is "No" or the most recent A-133 Audit Report is not available, please complete the Audit Certification and Financial Status Questionnaire (Request Form)**

**9. Cost Sharing is included in this proposal?**

\_\_\_\_\_ Yes \_\_\_\_\_ No

Explanation of sources should be included in the sub-recipient's budget. An annual verification of cost-share commitment will be required.

**10. Human Subjects are included?**

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please provide the IRB Registration number and FWA number.

**11. Animal Subjects are included?**

\_\_\_\_\_ Yes \_\_\_\_\_ No

Evidence of IACUC approval must be provided before any subaward can be issued.

**12. Do policies exist that address:**

- |                                |                              |                             |
|--------------------------------|------------------------------|-----------------------------|
| Time and Effort?               | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Leave or absence?              | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Affirmative Action Compliance? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Travel?                        | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Purchasing?                    | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

**13. Fringe Benefits Rates included in this proposal have been calculated based on:**

- Rates consistent with or lower than our federally negotiated rates. If this box is checked, please include your fringe benefits agreement link:  
\_\_\_\_\_
- We do not have a federally negotiated fringe benefit rate. The fringe benefit expenses charged to the Subaward agreement will be the actual direct cost of the benefits.

**14. Conflict of Interest:**

- Subrecipient certifies that it has an active and enforced conflict of interest policy that is consistent with the provision of 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research" and 45 CFR Part 94 "Responsible Prospective Contractors." Subrecipient also certifies that, to the best of Subrecipient's knowledge, (1) all financial disclosures will be made related to the activities that may be funded by or through a resulting agreement, and required by its conflict of interest policy, and (2) all identified conflicts of interest have or will have been satisfactorily managed, reduced or eliminated in accordance

with Subrecipient's conflict of interest policy prior to the expenditures of any funds under any resultant agreement and within a timely manner sufficient to enable timely FCOI reporting.  
 Subrecipient does not have an active and/or enforced conflict of interest policy and agrees to adopt UPRM's policy.

By signing below, Subrecipient certifies that the required training will be completed by each investigator prior to engaging in any research related to any funded contract/grant. For those adopting UPRM's policy, the information is located online at <http://cid.uprm.edu>

**15. Is the PI or any other employee or student participating in this project debarred, suspended or otherwise excluded from or ineligible for participation in Federal assistance programs or activities?**

\_\_\_\_\_ Yes \_\_\_\_\_ No

**16. The Subrecipient Certifies that they:**

- |                              |                                 |  |
|------------------------------|---------------------------------|--|
| <input type="checkbox"/> Are | <input type="checkbox"/> Aren't | presently debarred, suspended, proposed for debarment, or declared ineligible for award of Federal Contracts   |
| <input type="checkbox"/> Are | <input type="checkbox"/> Aren't | presently indicted for, or otherwise criminally or civilly charged by a governmental entity  |
| <input type="checkbox"/> Are | <input type="checkbox"/> Aren't | within three (3) years preceding this offer, been convicted of or had civil judgment rendered against them for commission of fraud or criminal offence in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or Local) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property |

**17. The organization certifies that its financial system is in accordance with generally accepted accounting principles and:**

- has the capability to identify, in its accounts, all Federal awards received and expended and the Federal programs under which they were received
- maintains internal controls to assure that it is managing Federal awards in compliance with applicable laws, regulations and the provision of contracts or grants
- complies with applicable laws and regulations
- can prepare appropriate financial statements, including the schedule of expenditures of Federal awards
- there are no outstanding audit findings which would impact contract costs. If there are findings, submit a copy of the most recent report that describes the finding and steps to be taken to correct the finding.

**18. Subrecipient Approval and Certification**

The information, certifications, and representations above have been read, signed, and made by an authorized institutional representative of the Subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of agency policies and guidelines concerning subawards and are prepared to establish the inter-institutional agreements required by those policies. Any work started and/or expenses incurred prior to the execution of a Subaward Agreement are at the Subrecipient's own risk.

Subrecipient's Authorized Organizational Representative (AOR):

Name: \_\_\_\_\_  
Title: \_\_\_\_\_

Email: \_\_\_\_\_  
Signature: \_\_\_\_\_  
Date: \_\_\_\_\_

**19. Proposal Documents Included:**

- Statement of Work
- Budget
- Budget Justification
- Copy or Link of F&A Agreement
- Copy or Link of A-133 Audit Report
- Letter of Support

**20. Comments**