



Office of the Associate Dean for Research
and Graduate Studies

UNIVERSIDAD CENTRAL DEL CARIBE
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR
HANDBOOK

A handwritten signature in blue ink, appearing to read "Diana M. Fernández-Santos", is written over a horizontal line.

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Associate Dean for Research and Graduate Studies

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Principal Investigator/Project Director Handbook



Introduction

The purpose of the Principal Investigator/Project Director PI/PD Handbook is to ensure that the administration of funds provided from external sources to support research and other projects is according to the corresponding regulations of the funding agency, as well as established University policies and procedures. Faculty and staff who conduct sponsored projects under University auspices have an important public, as well as personal, responsibility to manage those projects accordingly. The PI Handbook will help research investigators fulfill this responsibility.

Responsibilities of the Principal Investigator/Project Director (PI/PD) (NIH Grants Policy Statement 2.1.2 Grantee Staff)

A PI/PD is an individual designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program supported by the award. Each PI/PD is responsible and accountable to the grantee organization or, as appropriate, to a collaborating organization for the proper conduct of the project or program, including the submission of all required reports.

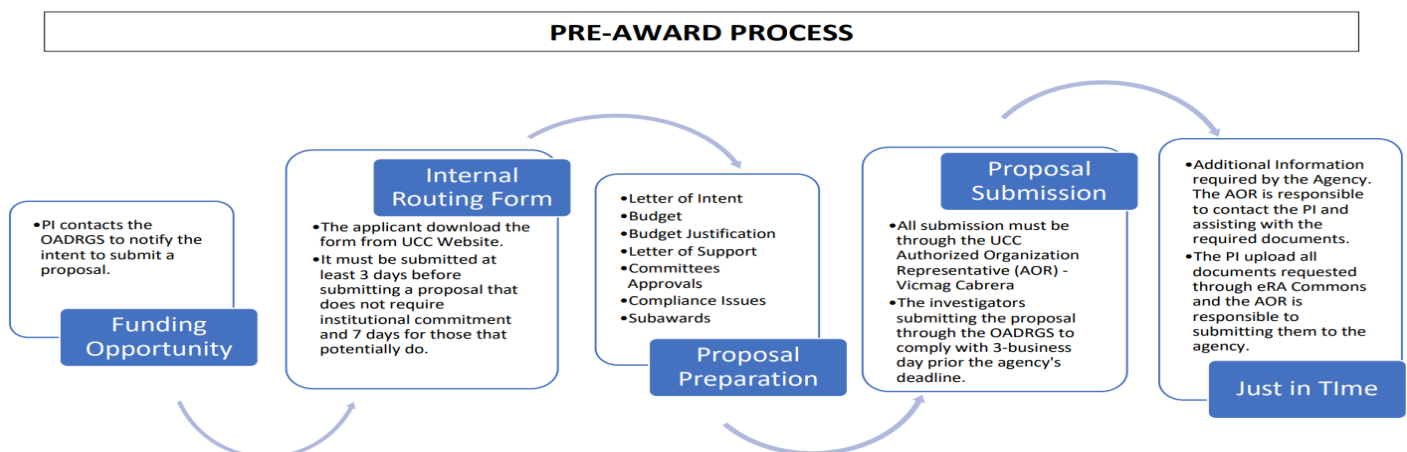
PI/PDs are members of the grantee team responsible for ensuring compliance with the financial and administrative aspects of the award. They work closely with designated officials within the grantee organization to create and maintain necessary documentation.

PRE-AWARD

The pre-award phase represents the beginning of the grant lifecycle, which includes announcing opportunities, submitting applications, and reviewing applications.

Pre-Award Services support the University community in proposal development through value-added, high-quality service and professional partnerships with Principal Investigators, facilitating research.

The UCC-sponsored program personnel work collaboratively with investigators to submit grant applications, serving as a dedicated central resource in all matters related to the University and sponsor policies for proposal development and submission.



Procedures:

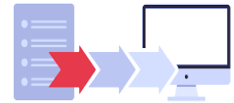
1. **Funding Opportunity**—The applicant contacts the office to notify the intent to submit a proposal **at least two (2) months before the agency’s deadline** and for orientation on the specific internal procedures. The applicant and the office personnel must read ALL guidelines carefully and thoroughly. If the NOFO is not available at two months before, the researcher generally provides a written communication justify the delay of the letter of intent.

The following important specifications must be considered:

- Is there a limited number of submissions per institution?
 - Does our institution qualify for these funds?
 - Are there any restrictions the applicant must satisfy? For example: citizenship, residency, institutional affiliation, degrees, etc.
 - Are institutional matching funds required? If, at the time of proposal submission (deadline), all approvals have not been received, the proposal submission process cannot be completed.
 - Does the deadline fall on a UCC non-working day? How will this be managed?
2. **Confidentiality Agreement (Non-Disclosure Agreement)** (if applicable) – A confidentiality agreement is a legal agreement required by the University between at least two parties that outlines confidential material or information that the parties wish to share with one another but wish to restrict access to by a third party. PIs are not authorized to sign either an NDA. Principal Investigators visiting a potential sponsor or hosting a sponsor may be asked to sign an NDA before there is an exchange of information. NDAs should be submitted to the Office of the Associate Dean for Research and Graduate Studies (OADRGS) for review and execution.

3. **Proposal Development – at least two (2) months before the agency’s deadline.**

Although each sponsor will have its own requirements, there are several elements of a proposal that are fairly standard.



- A. **Letter of Intent/Notice of Intent**—The PI/PD prepares the Letter of Intent when required. This document briefly summarizes the intention to submit a full proposal to the sponsoring agency. This letter must be sent to the Associate Dean with a copy to the Sponsored Program Officer for review and approval before sent to the agency.
- B. **Project Abstract/Summary** – an abstract of the proposed research that provides a brief description of the activity that would result if the proposal were funded. This should explain the key elements of your sponsored project, typically including project goals, objectives, and overall approach. For the NIH proposal, 30 lines of text are required.
- C. **Project Description (Scope of Work)/Narrative** – A general plan for the work to be undertaken and the procedures to be followed should be stated in sufficient detail to permit an evaluation of the proposal. The relationship of the proposed work to the plan for the institution's development, if significant, including effects on graduate and undergraduate education, should be discussed. The project narrative should supply all the details of the sponsored project, including a detailed statement of the problem, objectives or goals, hypotheses, methods, procedures, outcomes or deliverables, project evaluation, and dissemination of the results.
- D. **Budget and Budget Justification** – The budget is the financial plan for the project. Special attention should be paid to any requirements specified in the guidelines. The allowable costs and format can vary largely from agency to agency and even for different programs within an agency. Please study the application package BEFORE you start putting together your budget to follow the necessary structure from the beginning; it is easier than having to restructure a budget at the last minute. A detailed budget justification explaining all

budget items should be included if required by the sponsor. The budget justification should only include items of costs included in the budget. The narrative should provide sufficient detail to allow the sponsor to determine whether the proposed costs are reasonable and appropriate. The justification should provide brief descriptions of the duties of all positions (contact Human Resources Office to certificate the amount approved by the UCC for positions), justify all equipment purchases, and explain how subcontracts will help achieve goals and objectives of the project.

a. **Direct Costs** – are those costs which can be specifically identified to a proposed project. Typical direct costs include the following:

(1) **Personnel (Salaries)**—Personnel should be listed individually, giving name, salary rate, and percentage of time and effort to be devoted to the proposed work.



- **Base salary** – Personnel salary; verify with the Office of Human Resources. The PI/PD must contact to Human Resources Office to certify the amount approved by the UCC for positions. The PI must provide evidence that the base salaries were verified by Human Resources Office.
- **Percent Effort**—The Effort dedicated to the project. The total percent effort dedicated to research must not exceed 85%. This percentage may be dedicated to only one project or divided among various projects. **A higher total percentage requires approval by the President.**
- **Consultants** - include name, organization affiliations, letters of support, and Biographical Sketches.

(2) **Fringe Benefits** – These are additions to compensation that companies give their employees. The UCC percentage is **27%** ([Fringe Benefits Certification](#))

(3) **Graduate and Undergraduate Students Support (Stipends and Tuition)** – funds requested for graduate or undergraduate students should be based on the institutional rates. Students must be appointed as Research Assistants to work on research projects.

(4) **Equipment** – Requests for equipment should be itemized and justified in relation to the project.

(5) **Equipment Maintenance**—When preparing the proposal budget, principal investigators are recommended to include planned maintenance costs or special-purpose equipment in the budget and budget justification, as needed.

(6) **Materials and Supplies** – Expendable materials and supplies needed for the project should be identified and justified.

- **State Tax (IVU)** - You must consider that all quotes will pay tax changes.

(7) **Animals Purchase** – funds for the purchase of animals should be budgeted and charged as supplies.


(8) **Travel** – travel necessary for the conduct of the project or for the dissemination of project results should be requested. Travel should be estimated and budgeted according to University Travel Regulations.

(9) **Facilities Fees** – fees for specific services to be paid by the investigators. (May be subject to change)

- Common Instrumentation Area and Services Annual Fee - \$1,500
- Optical Imaging Facility Annual Fee - \$1,500
- [Data Management and Statistical Research Support Unit Fees](#)
- Animal Housing Costs. (See Table Below)

Perdiem for conventional maintenance of laboratory animals are as follows:		
*Species	**Projects of the UCC	**External Projects
Rats	\$0.45	\$0.51
Rats (1-28 days of birth)	\$0.25	\$0.27
Mice	\$0.35	\$0.38
Mice (1-28 days of birth)	\$0.18	\$0.20
Caiman	\$1.10	\$1.20

*For other species, the perdiem cost must be evaluated.
**These costs are subject to change.

- b. **Indirect Costs or Facilities and Administrative Costs** - These are costs that cannot be uniquely associated with a particular project but which are nonetheless incurred by the University due to the project. The UCC rate is **70%** ([F&A Agreement](#)).
- c. **Cost Sharing or Matching Funds** – Institutional funds required by the funding agency. These must be included in the Internal Routing Form and approved by the President prior to submitting the proposal.
- **In-Kind/Matching** – This is the requirement, by some sponsors, that grant funds be matched in some proportion with funds from another party, from the University of another sponsor. Matching may be in the form of actual cash expenditure of funds or may be an “in-kind” match, which is the value of non-cash contributions to the project. In-Kind or matching contributions require documentation from support the use of the funds as in-kind/matching and may require a certification.
- E. **Institutional Letters of Support**—The PI/PD is responsible for requesting letters of support. The OADRGS collaborates in following up to obtain them. The OADRGS provides institutional information and research facilities information.
- F. **Approvals and Compliance Issues**—Investigators are responsible for contacting the corresponding Institutional Committee for an orientation about the procedures to obtain the appropriate approvals to perform the specific research. Among these are [the Institutional Review Board \(IRB\)](#) for research involving human subjects, the [Institutional Animal Care and Use Committee \(IACUC\)](#), [Radiation Safety](#), [Chemical Safety](#), and [Biosafety](#). Once a research plan has been developed, all applicable compliance issues must be identified and properly addressed. The most common compliance areas are listed below, but each case should be studied on its own merit:
- Financial Conflict of Interest
 - Human Subjects in Research
 - Responsible Conduct of Research (RCR)
 - Use and Care of Animals in Research
 - Environmental Impact
 - Hazardous Materials Handling & Disposal
- 
- G. **Controlled Substances**—Principal Investigators (PIs) interested in conducting research projects involving controlled substances must adhere to the Controlled Substances in Research Standard Operating Procedure (SOP). This document outlines all necessary compliance requirements. It is essential to contact the OADRGS in advance to ensure understanding and proper management of the project according to DEA and PR regulations.
- H. **Subawards** – A Subaward is required if part of the research effort under a grant is to be performed by an organization or institution other than the prime recipient. When the University is the recipient of a prime

award, the collaboration institutions that are engaged by the University to carry out a portion of the project's scope of work and then receive funding from the prime award are known as sub-recipients.

A. **UCC is the Prime Recipient (Principal Institution):**

Investigator Responsibilities:

- Inform the OADRGS that the proposal will lead to a subcontract with another institution.
- Obtain the contact information of the subrecipient institution.

OADRGS Responsibilities: request all necessary documentation:

- [Subrecipient Commitment Form.](#) This form must be signed by the Subrecipient Institution Authorized Organization Representative (AOR).
- Budget and Budget Justification - the budget is the financial plan for the subaward. Proposed project costs should include allowable direct costs, facilities, and administrative (F&A) costs, and cost-sharing (if applicable). A budget justification should explain how the budgeted costs relate to the project. The justification should provide sufficient detail to determine whether the proposed costs are reasonable and appropriate. (The total direct and indirect budget will be considered direct costs for UCC).
 - Administrative approval from the subrecipient organization is needed for the budget and justification. It is also recommended that the University PI confirms the budget matches the proposed work and supports the project's scope.
- [Biosketches](#)
- F&A and Fringe Benefits Rate Agreements
- A-133 Audit Report

B. **UCC is the Subrecipient Institution**

Investigator Responsibilities: Submit the following documents:

- Statement of Work
- Budget and Budget Justification
- Biographical Sketches
- Research Committee's Approvals

OADRGS Responsibilities:

- Complete the *Subrecipient Commitment Form* and obtain the President's signature.
- Prepare a Letter of Commitment
- Obtain the administrative documents (F&A Agreement, Fringe Benefits Certification, System for Award Management (SAM) Registration, etc.)

C. **SBIR/STTR** – The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs are competitive programs that encourage domestic small businesses to engage in Federal Research/Research and Development with the potential for commercialization. The STTR Program is a partnership between small businesses and nonprofit research institutions. It requires small businesses to formally collaborate with a research institution in Phase I and Phase II. The PI/PD must inform OADRGS of the intention to work on these opportunities to evaluate potential conflicts of interest and subcontract arrangements.

4. **Internal Routing Form – at least one (1) week before the agency's deadline.**

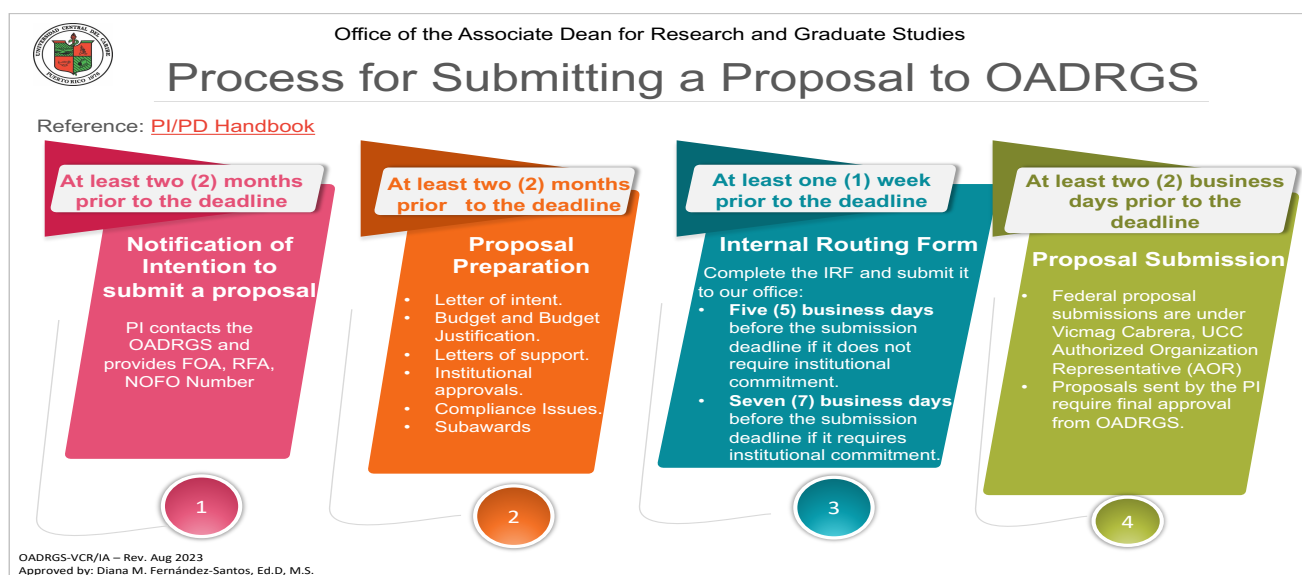
An [Internal Routing Form](#) must be processed before submission of the proposal. The applicant should download the Form from the UCC website. This document must be totally completed, and it must include the budget for year one as an attachment. In addition, it must have the signatures of the PI/PD, Department Chair, Sponsored Program Officer, Associate Dean for Research, and President. This document is necessary to ensure that all institutional requirements for complying with the proposed project are agreed upon before the proposal

submission. It must be submitted at least **five (5) days** before submitting a proposal that does not require institutional commitment (for example, matching funds, additional space) and **seven (7) days** for those that potentially do.

5. **Proposal Submission** - All submissions must be through the UCC Authorized Organization Representative (AOR) of the OADRGs. Most federal agencies require proposals to be submitted through electronic portals (Grants.gov, ASSIST, FastLane, DoD). These portals are subjected to temporary disconnections, server malfunctions, and slowdowns that can affect the timely submission of proposals. We strongly encourage all investigators submitting the proposals through the OADRGs to comply with **at least 2-business days prior to the agency’s deadline** and to be aware of any conflicts pertaining to the agency’s deadline and the institutional calendar. **The PI/PD must confirm to the Authorized Organization Representative of the intended date of submission at least 7 days in advance.**



- Electronic submission must be made **before 2:00 PM**.
- Follow guidelines’ specified file formats when preparing the proposal package.
- Be aware of page and character limits throughout the application.



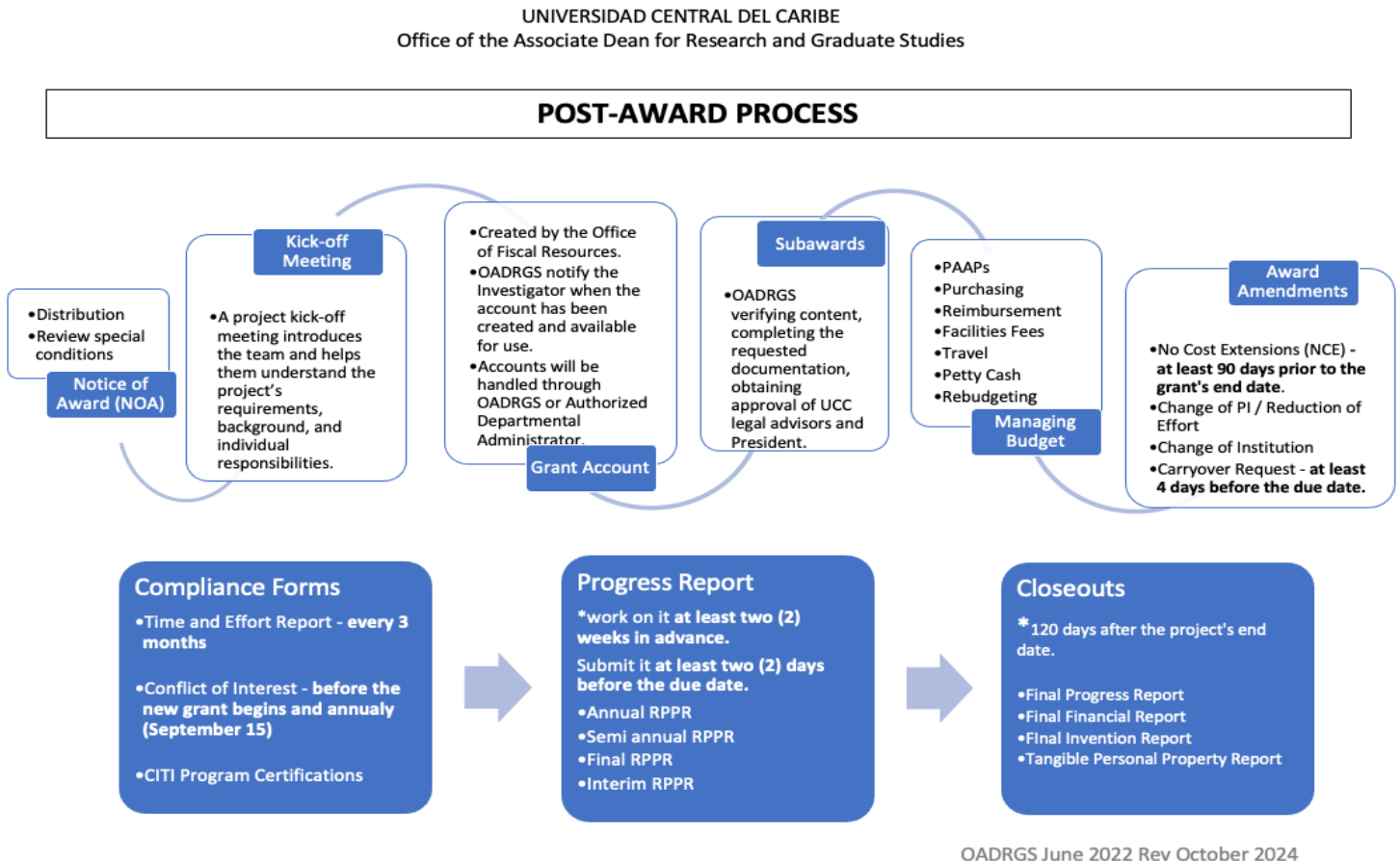
6. **Just in Time** – Additional information required by the agency after a scientific review of a proposal with the possibility of being funded. The AOR is responsible for contacting the PI/PD and assisting with the required documents. The PI/PD will upload all documents requested through eRACommons and the AOR is responsible for submitting them to the agency. Typical Just in time documents requested are:
 - Other Support
 - IRB or IACUC Approvals
 - Human Subjects Research Education Requirement
 - Genomic Data Sharing Institutional Certification
 - Other Information requested by the Agency

POST-AWARD

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

The OADRGS post-award staff is responsible for cost projections, budget preparation and changes, salary plans, overseeing compliance with grant regulations, and preparing financial reports.

Procedures:



1. **Notice of Award (NOA)** – The Sponsored Program Officer receives all Notice of Awards and is responsible for their distribution to:

- Principal Investigator/Project Director (PI/PD)
- Associate Dean for Research
- Director, Office of Fiscal Resources
- Budget Officer, Office of Fiscal Resources
- Research Administrator



*Please pay particular attention to possible Special Conditions of the NOA.

2. **Kick-off Meeting**—A project kick-off meeting is the first meeting with the project team. It introduces the team and helps them understand the project's requirements, background, and individual responsibilities. A grant Kick-off is essential for ensuring all parties are on the same page, and a proper plan is in place. It's also an opportunity to energize your team and discuss all aspects of the project that need tackling.

3. **Grant Account**—The Office of Fiscal Resources will create a financial account for the grant at the request of the OADRGS personnel. The account will be based on the budget approved in the award documentation. OADRGS will notify the Principal Investigator/Project Director (PI/PD) when the account has been created and is available for use. Accounts will be handled through the OADRGS or Authorized Departmental Administrator.
4. **Subcontracts of Subawards** – Subawards are contracts or grants issued under a large agreement where a portion of the scope of work is delegated to Universidad Central del Caribe. Subawards are typically subject to the terms and conditions of the prime award. When another institution awards UCC a subcontract, OADRGS is responsible for verifying its content, completing the requested documentation, and obtaining the approval of UCC legal advisors and the President before submitting the final version to the institution of the Parent Grant. Once both parties sign the subcontract, OADRGS proceeds to request the creation of the financial account for the subcontract.
5. **Memorandum of Understanding (MOU)** – A written agreement to identify the working relationships and guidelines between collaborating or partnering entities. It details common understandings, clarifies the type of support to be provided, and defines the rights and responsibilities of each party.
6. **Material Transfer Agreement (MTA)** - It is common for Principal Investigators (PIs) to be asked to sign a Material Transfer Agreement (MTA) before receiving proprietary materials. MTAs are often required before the receipt of material or before University material is shared with external collaborators. MTAs may have language prohibiting the use of material that could restrict the rights of the University, or your right to publish, so it is important these be submitted to OADRGS for revision and execution.
7. **Managing Budget** – OADRGS reviews and prepares documentation for financial transactions (requisitions, travel, reimbursement, petty cash, re-budgeting, etc.) as appropriate. It also monitors expenditure activities on sponsored research funds to ensure compliance with federal regulations, agency-specific requirements, and University policies and procedures.

Account activity must be reviewed regularly to ensure the accuracy of expenses incurred, expenditures conforming to the project budget, costs consistent with the project schedule, and incurred within the project start and expiration dates.

- A. **Proposal and Authorization for Personnel Actions (PAAP) Form** - The Proposal and Authorization for Personnel Actions (PAAP) Form, is the official document that gives course to the hiring of an employee. The employee’s compensation will be according to the proposed and approved budget. Departmental Directors and Research Administrators are responsible for completing and processing this form. Based on the PAAP, the Human Resources Office will generate a yearly contract, which requires the employee’s signature.
- B. **Purchasing**—The Research Administrator should prepare all requisitions for the acquisition of materials, equipment, and other non-personal services in accordance with the proposed and approved budget. Purchase Office Policies are to be followed.

Some important steps to make purchases:



1. All products require a quote, which should always include the cost of shipping and handling. Three quotes are required for equipment purchases to compare prices, guarantees, and purchase terms. If applicable, a letter of justification will be required. (Pre-approved emergency purchases with PI/PD personal funds may be reimbursed, provided original receipts are submitted.)
2. If the purchase was not requested in the original proposal, a justification is required.

3. If the requisition involves purchasing animals or radioactive agents, the President of the corresponding Committee must sign it.
4. The research Administrator prepares requisitions, which are signed by the Principal Investigator and approved by the Program Director.
5. The final purchases must be submitted **at least 60 days before a grant end period date.**
6. The researcher must follow up on the status of the purchases through the Research Administrator.

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

D. **Facilities Fees**—Fees for specific services paid by the investigators. Each unit is responsible for monitoring services and providing invoices.

E. Travel

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



F. **Petty Cash** – Cash advance for special purchases that should not exceed \$50.00, according to UCC Policy. A Petty Cash request form indicating the purpose of the expense must be submitted by the PI/PD to the Deanship of Administration for approval. Original receipts are required after completing the purchase. Purchases exceeding the \$50.00 limit must follow the purchasing requisition process.

G. **Rebudgeting** – PI/PDs may need to expend funds differently from the approved budget. Budget category increases or decreases require submission of a Re-budgeting Form, an explanation of the need for budget changes, and signature approvals (PI/PD, Budget Officer, and Dean of Administration). The research administrator (OADRGS) prepares the form per the PI/PD’s request(s).

H. **Publication Costs**—Publication costs for electronic and print media, including distribution, promotion, and general handling, are allowable. Publications and journal articles produced under an NIH grant-supported project must bear an acknowledgment and disclaimer.

- Page charges for professional journal publications are allowable where:
 - The publications report work supported by the Federal government and
 - The charges are levied impartially on all items published by the journal, whether or not under a Federal award. If charged to the award, these costs must be charged to the final budget period of the award, unless otherwise specified by NIH
 - The non-Federal entity may charge the Federal award before closeout for the costs of publication or sharing of research results if the costs are not incurred during the period of performance of the Federal award.



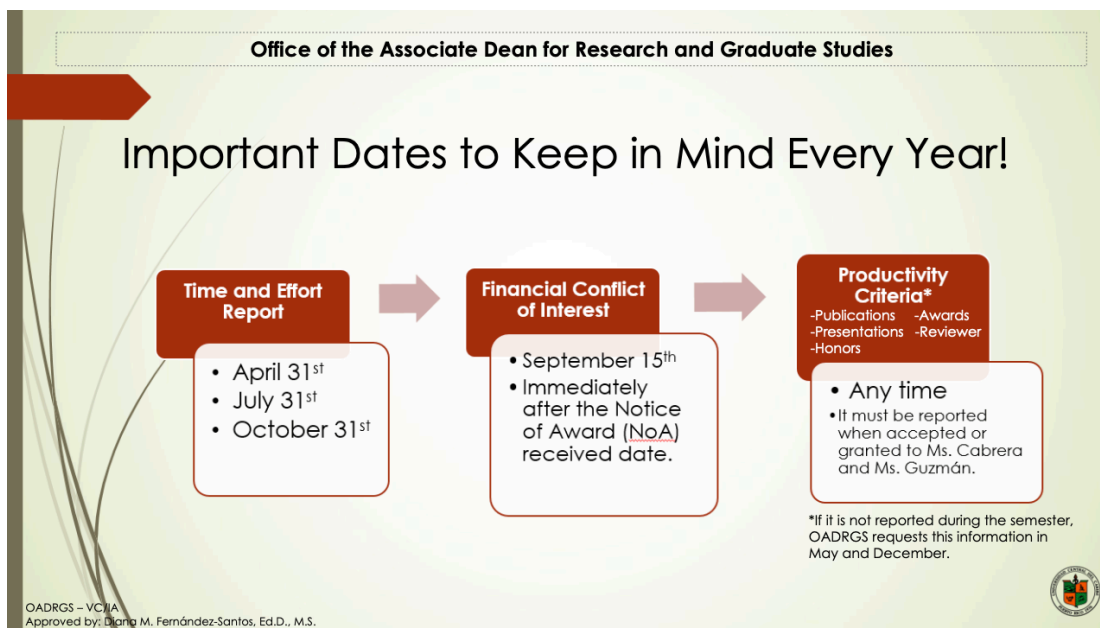
8. Award Amendments:

A. Carryover - is a process through which unobligated funds remaining at the end of the budget period can be carried forward to the next budget period. The carryover of funds allows the Grantees to use the unused prior year funds in the current budget period. Grantees can carry over funds automatically if they have the expanded authority for their application. For all others, Grantees need to submit a carryover

request to their respective Grants Management Specialist and Program Officials. If not automatic, It is important to inform OADRGS **at least four (4) days before** the agency's deadline.

- The carryover request must include a justification letter (explanation of unobligated balance), unobligated balance, detailed budget, and scientific justification.
- B. No Cost Extensions (NCE) – Should it be necessary to extend the project period (without requesting additional funds) to complete the project, a request must be submitted to the funding agency **at least 90 days before the grant's end date**. Different procedures are used depending on the type of award and sponsor. The PI/PD must send a request for additional time, via email to AOR explaining the reasons for the additional time needed to accomplish the project goals.
- NSF Awards: NSF provides one automatic 1-year no-cost extension, if the PI/PD requests it through the online portal (research.gov), subject to AOR approval, **at least 45 days before the project end date**.
 - NIH Awards: NCE requests are submitted via the eRA Commons system. The eRA No-Cost Extension feature allows the grantee organization to electronically submit a notification of intent to extend the final budget period of a grant. This extension does not have additional funding and provides up to 12 months of additional time. The NCE may be requested only by the AOR, no earlier than **90 days before the end of the project period** and no later than the project's end date.
- C. Change of PI / Reduction of Effort – Changes should follow award guidelines. Typically, if a PI/PD will be absent from a project for three or more consecutive months or will reduce effort by 25 percent or more, they must request the funding agency's approval. If, for any reason, work on a project cannot be continued under the direction of the original PI/PD, the PI/PD shall request a change in leadership by sending an email to the Associate Dean for Research and the AOR with the following information:
- *Reason for change
 - *Biographical sketch of the proposed new PI
 - *Budget adjustments resulting from a change in PI
- OADRGS will use this information to draft and submit a justification letter to be sent to the sponsor, which should include the AOR's signature.
- D. Change of Institution – If a PI/PD transfers from UCC to another eligible institution of higher education before the expiration of an award received while employed by UCC and intends to transfer the corresponding award to the new institution, specific sponsor guidelines must be followed. OADRGS will help accordingly.
9. **Time and Effort Reporting (required on federal awards)** – [The UCC Effort Reporting Policy](#) requires the certification of effort on extramurally sponsored projects by ALL personnel that receive compensation from external funds to comply with federal effort reporting regulations. (According to UCC regulations, the total percent effort dedicated to research must not exceed 85%, following the [faculty handbook](#). At least 15% effort must be dedicated to UCC Activities. The President must approve variations).
- The completed and signed Time and Effort Reports must be submitted every three months.
 - Certifications must be signed by the personnel, the Principal Investigator, and their immediate supervisor using suitable means of verification that the work was performed, stating that salaries and wages charged to the sponsored agreement as direct charges and to F&A cost or other categories are directly related to the work performed for the sponsored project.

10. **Conflict of Interest**—In accordance with the Federal and [UCC Research Conflict of Interest Policy](#), the UCC has established standards and procedures for investigators applying for funding. These ensure that any conflicting interest of those investigators in the proposed activity will not bias the design, conduct, and prior-to-submission reporting of research results.
- A notification will be sent to the PI annually (due date September 15) to complete a Disclosure Form and
 - Immediately after the Notice of Award (NoA) received date.
 - The Compliance Officer monitors certification of Conflict of Interest, ensuring compliance with federal regulations.
11. **CITI Program Certifications**—The CITI Program provides high-quality courses to train individual learners in research, ethics, regulatory oversight, responsible research conduct, and research administration. All researchers must complete these certifications **every three years**. The researcher must send the certificates to the OADGRS.



12. **Foreign Relationships and Activities** – The U.S. Government has expressed serious growing concerns regarding inappropriate influence by foreign entities over federally funded research. One issue that has moved to the forefront is the failure of federally funded researchers at U.S. Institutions to disclose their relationships and activities with foreign governments, institutions, and funding agencies. Activities that would meet this definition could include:
- Collaborations with investigators at a foreign site are anticipated to result in co-authorship.
 - Use of facilities or instrumentation at a foreign site.
 - Receipt of financial support or resources from a foreign entity.
 - The involvement of human subjects/or animals.
 - Extensive foreign travel by grantee project staff for the purpose of data collection, surveying, sampling, and similar activities.
 - Any activity that may impact U.S. foreign policy through the involvement of grantee project staff in the affairs or environment of the foreign country.

13. Reporting

- A. **Research Performance Progress Reports (RPPR) or Technical Reports**—Grantees use the RPPR to submit progress reports to NIH on their grant awards. The PI is responsible for completing it. Work on it **at least two (2) weeks** in advance and submit it **at least two (2) days** before the due date. The OADGRS, through the Authorized Organization Representative (AOR), is responsible for submitting the report to the agency.

There are three types of RPPRs for NIH proposals. [NIH and Other PHS Agency Research Performance Progress Report \(RPPR\) Instruction Guide](#).

- *Annual RPPR* – Required to describe a grant’s scientific progress, identify significant changes, provide personnel reports, and describe plans for the subsequent budget period or year.
- *Final RPPR* – Required as part of the grant closeout process to submit project outcomes in addition to the information submitted on the annual RPPR, except budget and plans for the upcoming year.
- *Interim RPPR* – Required when submitting a renewal (Type 2) application. If Type 2 is not funded, the Interim RPPR will serve as the Final RPPR for the project. If Type 2 is funded, the Interim RPPR will serve as the annual RPPR for the final year of the previous competitive segment. The data collected on the Interim RPPR are the same as for the Final RPPR, including project outcomes.
- *Semiannual Report (for training and services grants)* – provide a summary of major demonstration activities completed to date, as well as any significant evaluation findings.

B. **Financial Reports and Invoices** - are prepared by the Budget Officer in collaboration with the OADRGS Sponsored Program Staff.

- Financial Status – PI/PDs will receive a monthly financial report from the research administrator. These reports should be reviewed to verify that the expenditures are correct and charged to the corresponding account.
- The Fiscal Resources Office will prepare and submit financial reports and invoices to the sponsor.

14. **Closeouts** – Process to determine that the grantee has completed all applicable administrative actions and all required work of an award. Due dates for applicable closeout reports vary according to the sponsoring agency. For NIH, closeout reports are due no later than **120 days after the project’s end date**. Failure to submit timely and accurate final reports may affect future funding to the organization and/or awards with the same PI/PD.

The PI/PD must ensure that the following requirements are met:

- Proper closeout procedures have been followed for personnel hired during the award. The PI/PD should arrange to move personnel paid on the project to an alternate funding source or advise them of pending layoff at least one month before the project ends.
- All personnel effort has been certified in accordance with the University’s policy.
- All technical reports required by the sponsor have been prepared (final progress report, final invention reports)
- Patents or copyrights have been reported via OADRGS, and procedures have been followed, if applicable.

The OADRGS is responsible for:

- Sending an award close notification to the Principal Investigator.
- Submitting to the agency, the final progress report and the final invention report
- Coordinating with the Budget Officer the submission of a Final Financial Report.

15. **Quick Reference** – Institutional Information:

Universidad Central del Caribe
PO BOX 60327
Bayamón, PR 00960-6032

100 Ave Laurel
Lomas Verdes
Bayamón, PR 00956-4816

- UEI: XVQJLM5S8L85
- Animal Welfare Assurance Number: D16-00343
- CAGE Code: 1XW58
- Congressional District: PR-098
- Entity Identification Number (EIN or TIN): 66-0349669
- Federal Wide Assurance: 00001103

16. UCC Research Policies

- UCC Bridge Funding and Seed Money Policy (Under revision)
- [UCC Disposition of Equipment Transfer Policy](#)
- [UCC Effort Reporting Policy](#)
- [UCC Fee for Service Policy](#)
- UCC Intellectual Property Policy (Under revision)
- [UCC Research Conflict of Interest Policy](#)
- [UCC Relocation Expenses Policy](#)
- [UCC Research Space Allocation Policy](#)
- [UCC Scientific Misconduct Policy](#)
- [UCC Sponsored Projects Budget Revision Policy](#)
- [UCC Sponsored Projects Cost Transfer Policy](#)
- [UCC Sponsored Projects Procurement Policy](#)
- [UCC Sponsored Projects Unallowable Cost Policy](#)



17. Other References:

- [HRSA Policies, Regulations & Guidance](#)
- [SAMHSA Guidance](#)
- [USDA Grants Policies and Regulations](#)
- [NIH Policy Manual](#)
- [2 CFR Part 200](#)
- [Uniform Grants Guidance 2024 Revision](#)
- [NIH Public Access Policy](#)
- [General Instructions for NIH and Other PHS Agencies \(SF424 Application Packages\)](#)

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