



SECRETARÍA JUNTA ADMINISTRATIVA

2013-14  
Certificación Número 92

YO, ANA MARÍA DÍAZ, Secretaria Ejecutiva de la Junta Administrativa del Recinto de Ciencias Médicas de la Universidad de Puerto Rico, **CERTIFICO:**

Que la Junta Administrativa en reunión ordinaria celebrada el martes, 28 de enero de 2014, luego de discutir de rigor, la Junta Administrativa **ACORDÓ:**

**Aprobar el documento referente a la Reestructuración de la Oficina de Programas Subvencionados (OPS) a la Oficina de Desarrollo de Investigación y Cumplimiento (ODIC).**

**Copia de dicho documento se hace formar parte de esta certificación.**

Y para que así conste, para conocimiento del personal y de las autoridades universitarias que corresponde, expido esta Certificación bajo el sello del Recinto de Ciencias Médicas de la Universidad de Puerto Rico, hoy veintiocho de enero del año dos mil catorce.

Ana María Díaz, DSc  
Secretaria Ejecutiva

Vo. Bo.:

José F. Rodríguez Orengo, PhD  
Rector Interino

AMDP/ynr

Anejo



**Office of Research Development and Compliance  
(ORDEC)**



**Proponents**

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## **HISTORICAL BACKGROUND**

In 1999, in an effort to improve research infrastructure, the Administrative Board of University of Puerto Rico-Medical Sciences Campus (UPR-MSC) modified its distribution of indirect costs to provide the Office of Contracts, External Funds and Financial Administration (OCFA) with 12% of the indirect costs received at our institution (Cert 30, 1999). These funds would be used to extend the services provided by OCFA to include a subdivision of Human Resources, Purchasing and Travel.

In 2006, the Office was renamed as Office of Sponsored Programs (OSP). Its mission was to provide administrative support to externally funded research projects and programs. The main objectives were to: (1) Provide support to researchers and project administrators in the processing and revision of proposals. (2) Coordinate trainings related to the submission of grant proposals and grant administration. (3) Revise and submit electronic proposals, particularly through "grants.gov; NSF Fastlane, Department of Defense, Department of Education, etc. In order to achieve its mission and objectives, the OSP was divided into three divisions: Sponsored Programs Development (DSPD), Financial Administration (DFA) and the Center of Administrative Resources for Scientific Research (CARSR).

The OSP presently functions as an administrative unit under the Chancellor's Office with the responsibilities of submitting grants proposals and provides partial administrative support to federally funded research grants. OSP is the liaison between the federal agencies and the investigators. It creates research accounts, prepares invoices, financial, cash and status reports, monitors cash transactions, assists in the hiring and preparation of personnel contracts and drawdown of external funds among others.

## **NEED FOR THE RESTRUCTURING OF OSP**

The crash of the economy has had a negative impact on the availability of research funds. This situation is worsened by an increase in research compliance requirements, resulting in an excessive administrative burden for researchers, and creating constraints on the time available to meet their teaching, research and service commitments. In addition, UPR processes are numerous, complex and bureaucratic, requiring a colossal amount of time and effort from the investigators and their staff.

The OSP was created to provide assistance to faculty and graduate students in their efforts to obtain external funds for their research and teaching endeavors and to expedite and improve efficiency of all procedures related to the management and expenditures of research funds. History has demonstrated that OSP as presently structured lacks operational links to other essential administrative areas thus hindering its efforts to fulfill its mission. To accomplish its goals, OSP must be restructured, modernized, and accounting and finance structures expanded (procurement, purchasing, invoicing, property, and inventory) to facilitate the hiring of prospective research personnel and processing of their documents, provide editorial assistance during proposal preparation, oversee compliance issues and provide technical and statistical support for research projects among others. Presently, these activities are processed by different administrative units which lack effective communication among them (Appendix A). In addition, the Office of Contracts, that manages contracts and sub-contracts stemming from grants and contracts, will be integrated into the new structure. Furthermore, adequate support is needed in the pre-award state of the proposal submission to become more competitive. With the restructuring, UPR-MSU expects that the efficient and adequate administration of research funds will expand the amount of support received by investigators and contribute to the development and growth of the university. To this avail, we propose the creation of a new office "*Office for Research Development and Compliance*" (ORDEC).

## **ORDEC GOALS**

The goals of ORDEC are to administer and support the development of research and compliance activities at the UPR-MSU, in accordance with institutional, local and federal regulations and in coordination with the Office of the Vice President for Research and Technology and the Compliance Office, of UPR Central Administration.

To achieve these goals ORDEC will establish efficient administrative structures, with rules and regulations of operation to expedite and allow flexibility in the administrative procedures involved in the submission, management and expenditures of research funds, hiring of research personnel, processing of personnel documents and contracts, purchase of research supplies and equipment, negotiation of grants and contracts with public and private entities, preparation and management of grant budgets, and financial transactions with the granting agencies.

## **VISION**

ORDEC will be a model sponsored project administration office. ORDEC fosters proposal development for research at the UPR-MSU; promotes and sustains sound business practices; and provides the highest quality of administrative management and financial services to support the UPR MSU's mission.

## **MISSION**

ORDEC's mission is to maximize success of investigators in the attainment of external funds, and facilitate and optimize their research, training, educational and community service endeavors. The procurement of grants, contracts and endowments from private and government sources provide financial resources that sustain the continued development and growth of the university. ORDEC will be the point of convergence of the UPR-MSU in ensuring that their researchers are successful in obtaining external funding sources for their projects, as well as in the efficacious management and execution of the sponsored activities after they are awarded.

ORDEC will work closely with the compliance institutional units, Human Research Subjects Protection Office (HRSPO), Institutional Animal Care and Use Committee (IACUC), Institutional Biosafety Committee (IBS), and Radiation Safety Committee (RSC) as well with the UPR Compliance Unit at the Vice-President Office for Research and Technology.

## **FUNCTIONS AND SERVICES OF ORDEC**

ORDEC will be an important part of the UPR-MSU support structure and will seek to assist faculty and staff members in a variety of ways. It will assist investigators in identifying funding sources; collaborate in the development of proposals and facilitate the administration

of grant/contract award activities. This assistance may range from acting as the project manager, assist in the monitoring and control of finances, manage and track information on policy and regulations, facilitate the preparation and submission of required reports, and assure that milestones are met in a timely manner.

In addition, ORDEC will serve as an advocate for the research community, ensuring that the administration provides a campus environment that is conducive to the research enterprise. It will also advise the administration on regulatory compliance issues and other scholarly activities related to research endeavors.

ORDEC aims to be a positive stimulus for the advancement of research of the UPR-MSU. The office must be active in ensuring that funding agencies are aware of, and familiar with, UPR-MSU capabilities and interests. ORDEC must also ensure that the university responds to funding opportunities which are compatible with its mission, and for which it is positioned to compete. This entails identifying key opportunities for the university, communicating them to the faculty and staff, organizing and facilitating competitive proposals, and maintaining a current database of faculty capability and interests. Among the services to be provided are:

#### **Identification of External Funding Services**

- Maintain a library of newsletters, publications, and electronic sources on funding opportunities and of instructional materials related to external funding.
- Subscribe to computerized databases that provide information on government and private sources of funding, such as *Grants.gov* and the *Federal Register*.

#### **Identify Faculty and Staff Capabilities**

- Compile a list of research and scholarly interests for faculty and research staff.
- Request yearly updates of faculty interests using an online survey.
- Match interests of researchers with potential funding sources.

#### **Faculty and Staff Grantsmanship Skills Development**

- Provide workshops on research marketing and sponsor relationships.

- Provide workshops on policies and procedures related to contracts and grants.
- Provide training in proposal planning and writing.
- Provide training in project management and systems used for this purpose.

### **Dissemination of Funding Information**

- Publish and distribute annual reports of proposal submissions, awards and other funding related topics.
- Notify faculty of relevant funding mechanisms that become available in federal and private funding agencies in a timely fashion.

### **Proposal Development**

- Consult with faculty and staff on proposal drafts.
- Provide technical assistance in completing application forms.
- Develop a proposal preparation guide.
- Maintain an Institutional Fact Sheet.
- Provide editorial assistance for language and scientific writing.
- Provide editorial assistance in manuscript submissions.

### **Budget Preparation**

- Ensure that the proposal budget adheres to university and sponsor guidelines.
- Review budget justification
- Review cost share and indirect cost allocation.
- Ensure that proper and accurate information is entered into the proposal budget (personnel salaries and fringe benefits, etc).

### **Award Negotiations**

- Review and negotiate budgets.
- Review and negotiate indemnifications.
- Review and negotiate contract/agreement execution.



### **Administration of Funded Programs**

- Assist the Principal Investigator (PI) in managing projects, clarifying agency regulations and policies.
- Advise on grant revisions.
- Review and approve expenditures on grant/contract accounts.
- Acts as a liaison between PI and the sponsoring agency regarding modifications of funded projects (no cost extensions, budget revisions).
- Prepare invoices and other billings.
- Prepare and submit financial reports.
- Develop, negotiate and administer all subcontracts.
- Provide contractual guidance (interpreting the sponsor's regulations and guidelines).
- Coordinate accounts closeout, including all financial, property and invention reports.
- Act as a liaison for all audits involving sponsored projects.
- Monitor and document cost share requirements.
- Oversee and certify the time and effort reports (Form 125 B).
- Manage all award budgets of the UPR-MSU.
- Process budget modifications.

### **Compliance**

Verify that all Institutional compliance requirements of proposals are met before the submission to funding agencies.

- Institutional Review Board.
- Institutional Animal Care and Use Committee
- Biosafety Committee
- Radiation Safety

### **ORDEC Organizational Chart (see Appendix B)**

ORDEC will respond directly to the chancellor of UPR-MSU and will have four main components:

- Proposal and Scientific Development
- Financial Administration of Grants and Contracts
- Personnel Transactions
- Management of Grants and Contracts

### **ORDEC PERSONNEL (see Appendix C)**

In order to offer an effective and efficient structure with minimal fiscal impact in times of fiscal constraints, the establishment of ORDEC requires restructuring of current human resources and moreover, setting-up new/key positions.

Each division will have an Assistant Director, with the exception of Personnel Transactions and Management of Grants and Contracts, for which there will be one Assistant Director. All Assistant Directors report to the newly created position of Director, a faculty member, who will be responsible for executive leadership, policy creation and execution of ORDEC's program; and who will report directly to the Chancellor.

### **ORDEC Director**

The Director will be responsible for establishing and developing the mission, vision and program of ORDEC. He/She will be responsible for increasing grants collaborative agreements and contracts activity in UPR-MSU by identifying relevant grants, subcontracts, and collaborative agreements for faculty and staff members. He/She will advise faculty and staff on the appropriate funding mechanisms and on grants management strategies. The Director will also work with support staff, offices, granting and government agencies and others to assure compliance with all required guidelines and regulations.

The Chancellor of the UPR-MSU will appoint the ORDEC Director. He/She will have a doctoral level educational background and proven experience in obtaining federal research grants. The Director will have at least 5 years of research experience and publications in peer reviewed national and international journals. The Director will oversee all ORDEC divisions and will be

an ex-officio member of the Research Compliance Committee and the Research Advisory Committee.

The Director will conduct strategic planning meetings with staff to successfully manage a dynamic workload that meet researchers, faculty and students' changing demands/expectations. He/She will foster a positive relationship with staff, management, customers and campus administrators to encourage regular and open dialogue. She/He represents ORDEC on campus and system-wide committees and in professional meetings and associations and will exercise delegated signature authority.

### **ORDEC Associate Director**

To assist and enhance the Director's efforts, the position of an Associate Director is required. The Associate Director will supervise the various administrative components of ORDEC. The Associate Director will be responsible for the establishment of priorities and the day-to-day operation of the office. He/She will make the maximum use of resources, and conduct business in an open and transparent manner with the goal of achieving ORDEC's mission, vision, and values. He/She will develop and set team metrics to ensure operational efficiencies, maximum productivity, customer satisfaction, and employee proficiency. He/She will supervise the efforts to implement written Standard Operating Procedures for all aspects of ORDEC.

The Associate Director will help the Director to conduct strategic planning meetings with staff to successfully manage a dynamic workload that meet researchers, faculty and students' changing demands/expectations. Together they will foster a positive relationship with staff, management, customers and campus administrators to encourage regular and open dialogue.

To best serve the community of researchers, the reorganization involves creating and reassigning several other positions:

#### **New positions:**

Director – (see above)

Associate Director – (see above)

Administrative Assistant – This person will receive and register all property purchased with federal funds. He/She will be assigned to the Management of Grants and Contracts Division.

Assistant Accountant – This person will revise the accurateness of invoices and the compliance with institutional requirements. He/She will assure the payment of invoices in a timely fashion, among other duties.

Editorial and Statistical Services – ORDEC will outsource editorial and statistical services to assist in the development of research proposals, as well as of scientific manuscripts to be submitted to peer-reviewed journals. (\$3,000 per proposal and \$1,500 per manuscript for editorial services, \$1,500 per proposal for statistical advice. A maximum of \$60,000 per year will be budgeted each year). The procedures for these services will be developed by the Director.

**Reassignments:**

The Director of the Contract Office will report directly to ORDEC Director. The Contract/Legal Counselor will be also the Director of the UPR-MSC Intramural Practice.

Accountants of the Contract Office will be reassigned to the Divisions of Financial Administration of Grants and Contracts and to Management of Grants and Contracts. The accountants will provide support to the Assistant Director and the Contracts Division.

The current Administrative Assistant assigned to the Office of Contracts will continue to provide support to the Legal Counsel in charge of Contracts.

The Administrative Assistant of the current MBRS/SCORE office will be reassigned to ORDEC Director's Office.

The accountant of the current MBRS/SCORE office will be reassigned to the Management of Grants and Contracts Division and duties of purchasing, receiving and registration of purchased property will be added to current duties.. In this manner, grant administration support can be provided to those projects that do not include administrative support in their direct costs (research projects funded by NSF grants, SCORE mechanisms, R01, R21, R03, among others).

## **Budget and Finance**

ORDEC will have an operational fund derived from the facilities and administration fees (F&A costs) as described in (Cert. #30, 1999-2000). The Chancellor will assign ORDEC's additional budget if necessary. Operational costs will be subject to internal and external UPR audits.

## **KEY RESOURCES OF THE ORDEC**

### **Research Compliance**

Research projects in clinical, biomedical and behavioral fields require that the Institution where the research is conducted certify that the Projects comply with all federal and local regulations. To this avail, the following committees serve this purpose:

**IACUC:** The Institutional Animal and Care and Use Committee (IACUC) revises, approves monitors and certifies that the project complies with institutional, USDA and NIH regulations regarding the use of animals in biomedical research.

**IRB:** The Institutional Review Board (IRB) revises, approves, monitors and certifies that all biomedical and behavioral research involving humans complies with all local and federal regulations such as the NIH.

**RSC:** The Radiation Safety Committee (RSC) revises, approves, monitors and certifies that all biomedical and clinical research, as well as all clinical procedures, that involve the use of radioactive material, comply with institutional, the Nuclear Regulatory Committee (NRC), the Health Department, the Environmental Protection Agency (EPA) and Junta de Calidad Ambiental (JCA) regulations.

**IBC:** The Institutional Biosafety Committee (IBC) revises, approves, monitors and certifies that all research that involves the use of recombinant or synthetic DNA molecules complies with the Food and Drug Administration (FDA) guidelines as well as those from the Department of Health and Human Services and the National Institutes of Health (NIH). It also oversees experimentation that involves the use of biological materials (infectious agents) and other potentially hazardous agents (cancerogens).

## **DATABASE OF INVESTIGATORS**

ORDEC will maintain a list of: (1) Active investigators, (2) their research interests, (3) letters of approval by IRB, IACUC, RSC, and IBC of all research protocols (4) IACUC, IRB, RSC and IBC training certificates and (5) submitted proposals, contracts and continuing reports.

## **RESEARCH AND GRANT OPPORTUNITIES**

Early identification of funding opportunities and cultivation of the funding sources are key attributes of institutions that are highly successful in obtaining external funding. ORDEC will obtain the resources and tools to allow early identification of funding opportunities to permit early preplanning and preparation as soon as a formal announcement is published. ORDEC will monitor potential sponsor's websites for early recognition of research opportunities. It will also make a concerted effort to maintain funding agencies aware of the university's interests and capabilities.

ORDEC will provide assistance to faculty and staff in researching, identifying, and matching funding and research opportunities with specific areas of interest and/or specialization. ORDEC will maintain a research profile of each investigator. A weekly search of solicitations notices such as Request for Applications (RFA) and Program Announcements (PA) will be conducted in the NIH and NSF databases, as well as in databases of pertinent Foundations every week. Those interested in having ORDEC provide this information must complete the Research Profile Interest Form and submit it electronically to the ORDEC. Funding Alert e-mails will be sent when funding opportunities become available.

An updated list of Government funding Agencies and Foundations, as well as the types of activities they are interested in supporting, will also be maintained in the ORDEC website. This information can be very useful in identifying sources for unsolicited proposals that match the research interest of the university.

### **Advisory Committees**

Two advisory committees will provide guidance to the UPR Chancellor in research development and administration:

**Chancellor's Board for Institutional Compliance Committee** – composed by the directors of institutional research oversight committees (IRB, IACUC, Biosafety and Radiation Safety)

**Chancellor's Research Advisory Committee** – Composed of researchers from each of the Schools of the MSC and of the research Institutes of UPR-MSC. The Deans of each School nominate members to the Chancellor.

## **PROPOSAL DEVELOPMENT AND PREPARATION**

### **Proposal Development**

1. Assists investigators in identifying the appropriate funding sources and mechanisms to provide support to their educational, clinical and research endeavors.
2. Sends out weekly notices of available funding opportunities.
3. Maintains an updated list of Foundations and government agencies that provide research funds.

### **Proposal Preparation**

1. Meets with investigators to discuss proposal requirements and qualifications of investigator for a successful response to solicitation.
2. Provides guidance to the investigator on the steps to follow for proposal submission.
3. Helps investigators develop a timeline for proposal preparation.
4. Provides assistance in budget requirements and preparation, as well with recruitment and job descriptions of proposal personnel. Assists with budget justification preparation.
5. Provides editorial assistance for grant proposals and manuscripts.
6. Provides statistical counseling in the preparation of the experimental design.
7. Enrolls investigators in eRA Commons or other pertinent database.
8. Assists the investigator with the preparation of the Internal Transmittal Form for proposal submission.
9. Receives a copy of the proposal from the investigator and revises for administrative errors.

10. Checks that the proposal complies with all all institutional (Chair and Dean Signatures) and federal requirements (IACUC, IRB, etc).
11. Obtains the Chancellor's signature in the Internal Transmittal Form certifying that he/she agrees with the terms and conditions of the grant proposal.
12. Submits the proposal to the appropriate agency.
13. Assists the investigator in addressing the errors that occur during the submission process.
14. Keeps a copy of all submitted proposals.
15. Assists with submission of progress reports, Just in Time reports, etc.
16. Responsible for communications and transactions with the granting agency regarding administrative and financial issues.

### **PROPOSAL REVIEW AND EVALUATION GUIDELINES**

Generally, a grant proposal is reviewed from several perspectives. First of all, it needs to fulfill the criteria outlined in the program announcement. A grant proposal is also evaluated for the accuracy and validity of the scientific content, the clarity in which the material is presented, grammatical and typographical errors, the suitability of the PI and of the environment to conduct the research project, etc.

ORDEC will assist the investigator to ensure that it complies with the criteria outlined in the program announcement and, if requested, will provide scientific and language editorial assistance. Editors will review the proposal from the perspective of the reviewers and potential sponsors and will provide detailed comments to improve and fine-tune the proposal to maximize its potential for success.

ORDEC will verify the grant proposal prior to submission, to guarantee that no critical elements have been left out or overlooked. This will be done by the Director and/or staff who are knowledgeable of the requirements for the specific solicitation being addressed and who also have a general knowledge of proposal preparation and submission procedures. These include ensuring that:

1. All explicit evaluation criteria are addressed.
2. The document is complete.
3. All document format requirements are met.



4. The proper forms are filled-out, signed and attached.
5. All required signatures are on the proposal transmittal form.

**TIMETABLE**

Activity	Date	In charge
Submission to MSC Administrative Board	January 28 2014	Chancellor, Dr. Annabell Segarra, Dr. Carmen Cadilla
Appointment of Director and Associate Director	February 10-15, 2014	Chancellor
Meetings with personnel	February 15-18, 2014	Chancellor, Director

The proposed plan will provide the administrative organization that will deliver information, direction and technical assistance services to faculty and staff in obtaining external funds. With an emphasis on improving the efficiency, productivity and a comprehensive support service, ORDEC will serve as the keystone of the existing research capabilities while enhancing and developing new capabilities and resources.

# FINAL PROPOSAL APPROVAL PROCESS

## Appendix A

