

Workshop Proposal Submission Unit Services UPRM R&D Center



PSU Team



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I want to submit a proposal ¿what should I do?

- ▶ Talk with your Department Director
Generate a Support Letter
- ▶ Fill out your Deanships "Letter of Intent Form"
- ▶ Research Affairs Dean informs the R&D Center Director of his/her support for the proposal
- ▶ The R&D Center Director gives us (PSU) the approval to work on the proposal
- ▶ The PSU Team begins to work on the proposal



The Famous 10 Days ¿what do they mean?



15 business days before the proposal deadline if UPRM will be offering one or more subawards



10 business days before the proposal deadline, at least 75% of the proposal documents must have been received at **psu@uprm.edu**



10 business days before the proposal deadline, the Signed Institutional Commitment Letters, if apply, must have been received at **psu@uprm.edu**



5 business days before the proposal deadline, 100% of the proposal documents must have been received at **psu@uprm.edu**

- Internal routing and approval via Streamlyne



Our AOR submits the proposal

Process Starts with PSU

- ▶ Email with the specific steps to begin the proposal process through PSU
<https://sites.google.com/uprm.edu/preawardportal/home>

Proposal Intake Form

FCOI

- ▶ *Google Drives* or *One Drives* are not permitted for sharing documents; only *emails* are allowed.
- ▶ *Excel Budget* and *Budget Justification Template*



Excel Budget & Budget Justification Templates

- ▶ Please **DO NOT EDIT** the *Excel Budget Template* formulas
- ▶ Updated amount for **Health Insurance** is **\$802.59** per month as of July 2025
- ▶ **2%** annual increase in researchers salaries
- ▶ To be considered **Equipment** the value per unit must be of **\$10,000** or more. \$9,999 or less is considered materials and supply.
- ▶ Indirect Costs **ONLY** on the first **\$50,000** from each subawarded institution.



Streamlyne

- ▶ The **PSU Team** is in charge of uploading the documents to the Streamlyne platform and of submitting it for internal approval routing (not the researcher)

Proposal Attachments

Personnel Attachments

Internal Attachments

Budget

Questions – Commitments

Notes



Approvals in



The PI and Co-PIs must complete the Person Certification before approving.

Click on:

Key Personnel	Your Name	Show, alongside Proposal Person Certification	Answer the Questions	Proposal Actions	Approve
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The Department Directors and Research Deans do not have to complete the Person Certification. They should only review the proposal and go to Proposal Actions and Approve.

Types of Proposals

- ▶ Grant
- ▶ Subaward
- ▶ Collaborative Agreement
- ▶ Cooperative Agreement
- ▶ Subcontracts
- ▶ What do these proposals have in common?



When does the process with PSU end?

▶ AOR

The PSU Team will send to the PI a copy of the Full Submitted Application and/or Submission Confirmation.

▶ Principal Investigator

You as the PI must send through psu@uprm.edu a copy of the Full Submitted Application and/or Submission Confirmation to the PSU Team.

▶ The process with PSU ends



Internal Competitions

- ▶ **Step 1:** We identify that the Call has a limit on the number of proposals that can be submitted per institution.
- ▶ **Step 2:** An email is sent to the entire UPRM Faculty to determine if more than the limit is interested in participating.
 - The “Declaration of Intent to Participate in an Internal Competition” is sent via email - it must be completed and returned to psu@uprm.edu.
- ▶ **Step 3:** If there are several interested faculty members, we will send an email for them to complete the following:
 - Internal Competition Form
 - Additional Key Personnel Form
 - *Project Summary* - Three (3) single-spaced pages

Internal Competitions

- ▶ **Step 4:** Upon receiving all documents from interested participants, these will be forwarded to the evaluation committee for review and completion of the evaluation forms.
- ▶ **Step 5:** Once we receive the evaluation results, an email will be sent to the winner(s) of the internal competition to begin the process, which starts by completing the Letter of Intent form with their respective Deanships.

Pre-Award Compliance

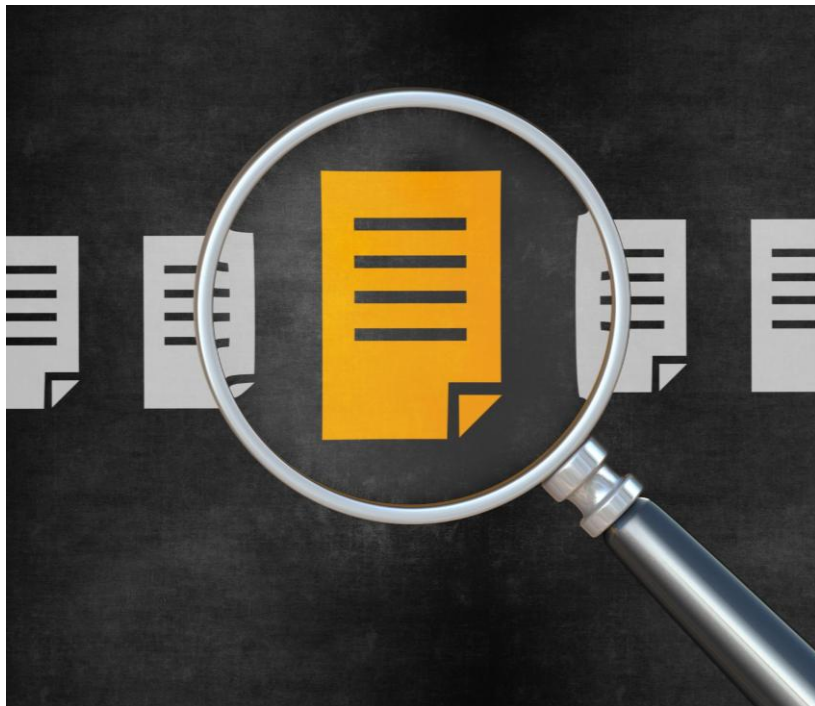
In summary: It ensures that a research proposal complies with all institutional, legal, and sponsor regulations before its approval and award.

Examples: FCOI, human subjects, policy certification



UPR Policy on Financial Conflict of Interest (FCOI)

Certification 8 (2012-2013)



Purpose of Certification 8

Certification 8 aims to ensure integrity and transparency in research by managing financial conflicts of interest.

Scope and Application

The policy applies to all researchers at the University of Puerto Rico regardless of funding source.

Oversight and Compliance

Conflict of interest officers and committees oversee disclosures, management plans, and regulatory compliance.

Policy Update

Certification 8 replaces the previous policy from 2007-2008 and is effective immediately after approval.

Disclosure and Update of Financial Interests

Initial Financial Disclosure

Researchers must disclose significant financial interests of themselves and family before starting **each research projects** to ensure transparency.

Annual Updates and Timely Reporting

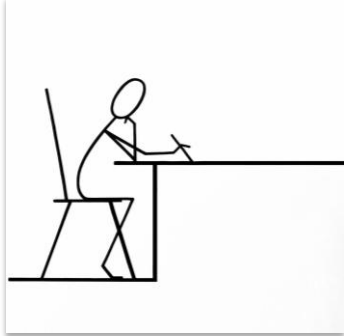
Disclosures require annual **updates before September 1** and must be updated within 30 days if interests change during the project.

Disclosure by New Researchers

New researchers joining existing projects must submit their financial disclosures to maintain conflict of interest management.



Mandatory Training and Acceptance of Management Plans



Mandatory Conflict of Interest Training

Researchers must complete conflict of interest training before starting research and repeat every four years or upon policy changes.

citiprogram.org



Acceptance of Management Plans

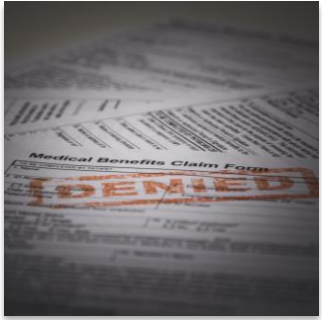
Researchers must accept in writing management plans addressing financial conflicts before project initiation to ensure compliance.



Compliance and Sanctions

Strict compliance with management plans is required; failure to comply may result in sanctions or penalties.

Sanctions for Non-Compliance



Types of Sanctions

Sanctions include project suspension, fund withholding, technology transfer suspension, and disciplinary procedures including dismissal.



Corrective Actions and Notifications

UPR must notify sponsors and apply corrective measures if project integrity is compromised by non-compliance.



Protection of Institutional Integrity

Sanctions aim to protect institutional integrity and ensure adherence to ethical and legal standards.

Federal Research Security: Training Requirements

Agency	Effective Date	Requirement	SECURE Center Training
DOE	May 1, 2025	Covered individuals must complete research security training within 12 months prior to application. Certification of completion required via Current & Pending Support form.	Yes (or equivalent)
NSF	October 1, 2025	Senior/key personnel must certify completion of research security training within 12 months prior to proposal. Institutions must certify no agreements with Confucius Institutes (10/10/25).	Yes (or NSF's RST modules)
NIH	January 25, 2026	Senior/key personnel must complete security training annually. Institutions certify at application; individuals certify via PDF uploads (temporary).	Yes (or NSF's RST modules)
DoD	In progress	General research security training expected under NSPM-33 implementation. Covered individuals prohibited from Malign Foreign Talent Recruitment Programs.	Likely
NASA	In progress	Research security training certification in progress; expected to align with NSF model.	Expected to
NIST	Not specified	Applicants must provide a plan describing internal processes for research security training.	Not required but may support compliance
USDA	July 2025	Applicants must certify they completed research security training within the past year. Annual recertification required.	Expected to

Malign Foreign Talent Recruitment Program (MFTRP)

- ▶ Prohibition and certification:
 - Individuals who are a current party to an MFTRP are **ineligible** to serve as senior/key personnel;
 - NIH & NSF requires institutional and individual MFTRP certifications via the Common Forms (Biographical Sketch & Current/Pending (Other) Support).

Recommendations

- Consult guidance and requirements of the agency you plan to submit your proposal.
- Reference tools:
 - [COGR quick reference Table of Current & Upcoming Federal Research Security Requirements](#)
 - [Safeguarding Academia](#) - Bulletin of the National & Counterintelligence & Security Center (NCSC)

Export Controls

▶ UPRM Export Controls Rules

Certification 13-14-153 of the Board of Directors (Dec 5, 2014)

▶ Applies: Everyone in UPRM (export of goods, technology, or services)

▶ **Purpose:**

Ensure compliance with export regulations.

Support open research without inappropriate restrictions.

Provide assistance to the university community to comply with these regulations.

Export Controls

What is an export?

Any shipment, transfer, or disclosure of goods, technology, or software to a foreign entity or individual, whether inside or outside the U.S.

Some examples include:

- Physical shipment of products or technical data.
- Electronic transfer of information.
- Conversations or meetings with foreigners about controlled technology.

Export Controls

Main Export Control Regulations.

- ▶ **Export Administration Regulations (EAR):**
Controls dual-use products and technologies (civilian and military).
- ▶ **International Traffic in Arms Regulations (ITAR):**
Regulates defense and space-related items and services.
- ▶ **Office of Foreign Assets Control (OFAC):**
Oversees economic sanctions and embargoes.

Export Controls

Some activities are exempt from license requirements, including:

- ▶ **Fundamental Investigation:** If the results are published freely and there are no restrictions on foreign participation.
- ▶ **Public Domainr Information:** Information already published and accessible to the public.
- ▶ **Educational Exclusion:** Scientific and technical information taught at universities.
- ▶ **Exclusion for Full-Time Employees:** Applies to foreign employees, but not to students.

Export Controls

Compliance Procedures

- ▶ **Verification of prohibited parts.** (lists of sanctioned entities or countries).
- ▶ **Assessment of whether the item/technology is on control lists.**
- ▶ **Determination of the need for a license.**
- ▶ **Coordination with the Export Control Office. (ECCO)**
- ▶ **Inquiries: exportcontrols@uprm.edu**

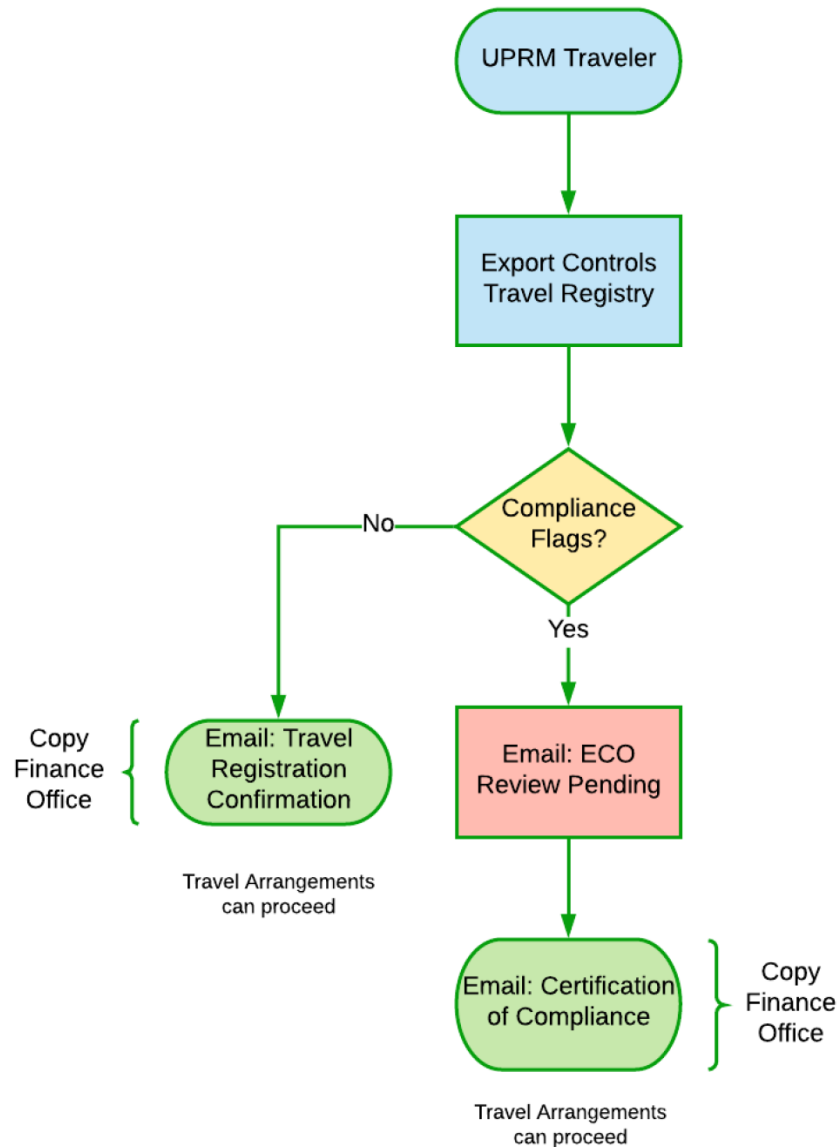
Export Controls

Areas Affected by Export Laws.

- ▶ **Research** (technology transfer, international collaborations, hiring of foreigners.).
- ▶ **Foreign Travel** (carry sensitive equipment or information).
- ▶ **Hiring foreign personnel.**
- ▶ **Use and acquisition of controlled items..**



Export Controls Travel Registry Process



Any professor, student, or employee who travels to a country outside the United States of America must complete the "UPR Export Controls Travel Disclosure Form"

OFAC Sanctioned Countries

Sanctions regulations vary significantly by country. The following countries are subject to restrictions on certain types of activities, as indicated below.

► List of Comprehensively Sanctioned Countries

- Cuba
- Iran
- North Korea
- Russia
- The following regions of Ukraine: Crimea, Donetsk and Luhansk

Most transactions, including those involving persons or entities "ordinarily resident" in these countries, require an Office of Foreign Assets Control (OFAC) License.

► Other Countries Subject to OFAC Sanctions

- Afghanistan
- Balkans
- Belarus
- Burma (Myanmar)
- Central African Republic
- Congo, Dem. Rep. of
- Ethiopia
- Hong Kong
- Iraq
- Lebanon
- Libya
- Mali
- Nicaragua
- Somalia
- South Sudan
- Sudan
- Venezuela
- Yemen

Transactions related to activities with specific parties in these countries are prohibited.

OFAC Sanctioned Countries

Countries Subject to Prohibition on Military Exports

- Afghanistan
- Belarus
- Burma (Myanmar)
- Central African Republic
- China
- Cuba
- Congo, Dem. Rep. of
- Cyprus
- Eritrea
- Ethiopia
- Haiti
- Iran
- Lebanon
- Libya
- Nicaragua
- North Korea
- Russia
- Somalia
- South Sudan
- Sudan
- Syria
- Venezuela
- Zimbabwe

- ▶ The U.S. Department of State prohibits the export of military/space equipment or technical data to these countries and to foreign nationals of these countries.

ITAR Restrictions

- ▶ **Be aware that the Department of State maintains a separate list of countries subject to regulations related to the International Traffic in Arms (ITAR).**

Recommendation

If you plan to accept students, hire, invite, travel to, work with, import or export from one of these countries, please contact Export Control Officer, Research and Development Center, at extension 5880 and via e-mail at exportcontrols@uprm.edu.

University of Puerto Rico Handbook of Policies and Procedures for Sponsored Programs

- ▶ University of Puerto Rico Handbook of Policies and Procedures for Sponsored Programs (R-2223-42)
- ▶ Revised on January 2023 to comply with institutional and federal legislation (2 CFR 200). Published April 2023. Office of Vice President for Academic Affairs and Research of UPR Central Administration
- ▶ Link to the Handbook in UPRM R&D Center webpage: <https://www.uprm.edu/cid/wp-content/uploads/sites/423/2024/03/UPR-Handbook-of-Policies-and-Procedures-for-Sponsored-Programs.pdf>

¿Doubts or
Questions?

