



I, Aida Ávalo de Sánchez, Secretary of the Board of Trustees of the University of Puerto Rico, DO HEREBY CERTIFY THAT:

The Board of Trustees of the University of Puerto Rico, at its regular meeting of February 16, 2013, having considered the recommendation of its Committee on Academic Affairs and Research, and of the President of the University of Puerto Rico and the Vice President for Research and Technology, approved the following:

AMENDMENTS TO CERTIFICATIONS NOS. 14, 15 AND 16 (2011-2012)

CERTIFICATION NO. 14 (2011-2012) IS AMENDED AS FOLLOWS:	
WHERE THE TEXT READS:	HENCEFORTH IT SHALL READ:
SCOPE - Last paragraph: The definitions of IBS, TPE, Sponsored Project and any other definition contained in this Policy also shall apply to Certifications Nos. 11 and 12 (2011-2012), unless otherwise noted.	SCOPE - Last paragraph: The definitions of IBS, TPE, Sponsored Project and any other definition contained in this Policy also shall apply to Certifications <u>Nos. 15 and 16</u> (2011-2012), unless otherwise noted.
REGULATIONS – “D”: D. The Faculty Personnel dedicated to research, creative activity, teaching/education improvement, training, and/or services on a full-time basis during the summer period, may receive remuneration for this additional work with no limitation as to amount, subject to these norms, the applicable federal costing	REGULATIONS – “D”: D. The Faculty Personnel dedicated to research, creative activity, teaching/education improvement, training, and/or services on a full-time basis during the summer period, may receive compensation for work performed during the summer with no limitation as to amount, subject to these norms, applicable



<p>principles and regulations, the terms and conditions of sponsoring agencies and/or the restrictions of the funding source.</p>	<p>federal costing principles and regulations, the terms and conditions of sponsoring agencies and/or the restrictions of the funding source. <u>In consonance with regulation A, the summer research period for a 9-month AY campus, will correspond to a maximum of three person months, and will be established by the campuses' administrative boards. The period is allocated between the last day of classes for a given academic year and the day before classes begin in the next academic year. In the case of the Carolina campus, a maximum of two person months will apply.</u></p>
<p>REGULATIONS – “H.1. a.”</p> <p>a. <i>Provided</i>, that in the majority of the campus/units of the University System total professional effort is defined in a term of nine (9) months. During the summer months faculty can do additional full-time research or other related academic activities.</p>	<p>REGULATIONS – “H.1. a.”</p> <p>a. <i>Provided</i>, that in the majority of the campus/units of the University System total professional effort is defined in a term of nine (9) months. During the summer months, <u>which for the purpose of this policy consist up to a three (3) months period (Regulation D), faculty can conduct full-time research or other related academic activities.</u></p>
<p>REGULATIONS – “H.1. c.”</p> <p>c. <i>Provided further</i>, that in the case of the University of Puerto Rico at Carolina, the total professional effort includes all effort dedicated by the referred faculty to comply with his/her</p>	<p>REGULATIONS – “H.1. c.”</p> <p>c. <i>Provided further</i>, that in the case of the University of Puerto Rico at Carolina, the total professional effort includes all effort dedicated by the referred faculty to comply with his/her</p>



<p>responsibilities in the Institution within a period of twelve (12) months. This unit includes in said term two (2) months in the year during which Faculty can conduct full time research work or other related academic activities.</p>	<p>responsibilities in the <u>University</u> within a period of <u>ten (10)</u> months. <u>During their two-month summer period Faculty can conduct full-time research work or other related academic activities.</u></p>
<p>REGULATIONS – “H.2., first and second paragraphs”:</p> <p>The Institutional Base Salary of the Faculty Personnel dedicated to academic instruction, who also conduct research, creative activity, teaching improvement, training, and/or services, is defined to be the annual remuneration that the University pays to said personnel for the individual’s total professional effort (100%), independently of whether his/her time is devoted to teaching, research, administration, creative activity, service, clinical activities, other activities and/or a combination of these, and in conformity with the provisions contained in Articles 49 and 66 of the General Rules of the University of Puerto Rico.</p> <p>Hence, the IBS can include as part of the faculty’s salary structure additional compensations received for effort devoted to</p>	<p>REGULATIONS – “H.2., first and second paragraphs”:</p> <p>The Institutional Base Salary of the Faculty Personnel dedicated to academic instruction, who also conduct research, creative activity, teaching improvement, training, and/or services, is defined to be <u>their annual permanent salary as it appears in the employment contract of the employee or subsequent letters of notice of salary increase/decrease plus any supplemental compensation of one full year or more (see Appendices 1 and 2 of Certification No. 15 (2011-2012)).</u> This annual permanent salary constitutes the base pay for the individual’s total professional effort (100%), independent of whether his/her time is devoted to teaching, research, administration, creative activity, service, clinical activities, other activities and/or a combination of these, and in conformity with the provisions contained in</p>



<p>administrative duties, such as chairing a department, or direction of program/centers, among others. <i>Provided, however, that IBS excludes one-time payments, incentives or bonuses (not involving time and effort), additional compensations based on work overload, non-recurrent incidental work, or additional summer work (i.e. summer salaries when the academic year is less than 12 months), and any income that an individual is permitted to earn outside of duties for the UPR.</i></p>	<p>Articles 49 and 66 of the General Rules of the University of Puerto Rico.</p> <p>Hence, the IBS can include as part of the faculty's salary structure <u>remunerations</u> received for effort devoted to administrative duties, such as chairing a department, or direction of program/centers, among others. <i>Provided, however, that IBS excludes one-time payments, incentives or bonuses (not involving time and effort), compensations based on work overload, non-recurrent incidental work, or summer work (i.e. summer salaries when the academic year is less than 12 months), and any income that an individual is permitted to earn outside of duties for the UPR.</i></p>
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CERTIFICATION No. 15 (2011-2012) IS AMENDED AS FOLLOW:

WHERE THE TEXT READS:	HENCEFORTH IT SHALL READ:
<p>POLICIES "2":</p> <p>2. University personnel may receive additional compensations or remunerations that may involve time and effort, therefore the corresponding effort must be included in</p>	<p>POLICIES "2":</p> <p>2. University personnel may receive <u>remuneration or compensation</u> that may involve time and effort, therefore the corresponding effort must be included in the</p>



<p>the individual's Effort Report.</p> <p>The remuneration received under these terms must accordingly be documented as part of the individual's IBS (see Appendix 2).</p>	<p>individual's Effort Report.</p> <p>The compensations received under these terms must accordingly be documented as part of the individual's IBS (see Appendix 2). <u>However, as per OMB A-21 Attachment J, #10.d, compensation that is non-effort related may not be included in the institutional base salary for determining estimates chargeable to federally sponsored awards unless prior approval has been obtained from the sponsor. According to OMB A-21 in unusual cases where consultation is across departmental lines or involves a separate or remote operation, and the work performed by the consultant is in addition to his regular departmental load, any charges for such work representing extra compensation above the base salary are allowable provided that such consulting arrangements are specifically provided for in the agreement or approved in writing by the sponsoring agency.</u></p>
<p>POLICIES "6":</p> <p>6. Any changes to an effort certification form must be accompanied by a corresponding change to the payroll system to correct the expense. Sponsors must be notified of changes to effort commitments at the time of the initial award, and during the course of the project,</p>	<p>POLICIES "6":</p> <p>6. Any changes to an effort certification form must be accompanied by a corresponding change to the payroll system to correct the expense. Sponsors must be notified of changes to effort commitments at the time of the initial award, and during the course of the project, consistent with the</p>



consistent with the individual sponsor's notification requirements.

The PI and their department should make corrections within ~~30~~ days after receipt of the Effort Report.

individual sponsor's notification requirements.

The PI and their department should make corrections within 60 days after receipt of the Effort Report.

The Institutional Base Salary (IBS) is used to propose and charge salary to sponsored projects.

The IBS of the Faculty Personnel dedicated to academic instruction, who also conduct research, creative activity, teaching improvement, training, and/or services, is defined to be their annual permanent salary as it appears in the employment contract of the employee or subsequent letters of notice of salary increase/decrease plus any supplemental compensation of one full year or more (see Appendices 1 and 2). This annual permanent salary constitutes the base pay for the individual's total professional effort (100%), independent if his/her time is devoted to teaching, research, administration, creative activity, service, clinical activities, other activities and/or a combination of these, and in conformity with the provisions contained in Articles 49 and 66 of the General Rules of the University of Puerto Rico. See Certification No. 14 (2011-2012).

According to federal regulations



	<p><u>compensations included as part of the IBS must conform to the criteria delineated in Policy 8.</u></p>
<p>POLICIES “10, proviso b”:</p> <p><i>Provided, however, that the following specific guidelines for summer salary compensations must be strictly followed:</i></p> <p>a. ...</p> <p>b. Personnel may not receive more than two (2) months of summer salary support from sponsored projects without prior written approval.</p>	<p>POLICIES “10, proviso b”:</p> <p><i>Provided, however, that the following specific guidelines for summer salary compensations must be strictly followed:</i></p> <p>a. ...</p> <p>b. Personnel may not receive more than two (2) months of summer salary support from sponsored projects without prior written approval. <u>In the case of NSF’s two months rule, it applies to any one year (12 months) and carries over to the summer period; it is two months for the 12 months period. The two months cannot be processed as supplemental payments if paid during the academic year, but shall be part of the functions used to allocate the base salary. Allocations to other commitments/functions have to decrease as a result of the effort that will be dedicated to the NSF award.</u></p>



CERTIFICATION No. 16 (2011-2012) IS AMENDED AS FOLLOW:	
WHERE THE TEXT READS:	HENCEFORTH IT SHALL READ:
<p>POLICIES “8. b”:</p> <p>b. <i>Second priority expenditures:</i> visiting scientists, graduate and undergraduate student stipends, stipends for post-doctoral fellows, internships for collaborative efforts and/or advanced technology training and education, support of institutional research compliance, reasonable and justifiable time-effort commitments where the university will incur in additional compensations (as per Certification No. 66) for scientists or coordinators of specific scientific projects or core facilities.</p>	<p>POLICIES “8. b”:</p> <p>b. <i>Second priority expenditures:</i> visiting scientists, graduate and undergraduate student stipends, stipends for post-doctoral fellows, internships for collaborative efforts and/or advanced technology training and education, support of institutional research compliance, reasonable and justifiable time-effort commitments where the university will incur in additional compensations (as per Certification No. 66) for scientists or coordinators of specific scientific projects or core facilities.</p>

These amendments shall be effective, *nunc pro tunc*, on September 17, 2011, the date of approval of Certifications Nos. 14, 15 and 16 (2011-2012), and these Certifications, as presently amended, shall be published again, bearing the same numeration and a note advising the reader of the amendments made pursuant to the present certification.

The present Certification is effective immediately.

IN WITNESS WHEREOF, I have issued this Certificate and affixed the Seal of the University of Puerto Rico, in San Juan, Puerto Rico, this 22 day of February, 2013.



Aida Avalo de Sánchez
Aida Avalo-Sánchez
Secretary