

# **STANDARD OPERATING PROCEDURES**

## **COLLABORATIVE AGREEMENTS**

In order to enrich the quality of research on the University of the West Indies Mona Campus, our researchers will collaborate with individuals, institutions and other entities both locally and abroad.

Prior to commencing any work with prospective collaborators, the following steps should be taken:

1. If the external entity is the initiator of the collaboration, they might want to use their Agreement, however, if UWI is the initiator, we usually use our Agreements.
2. If external, the Agreement is sent to the Mona Office for Research and Innovation (MORI) where the document will be perused and edited and sent to the Campus Legal Officer for his professional assessment. These activities are necessary to reflect and protect UWI's position. Once that is done, the document is sent back to the individual working with the external entity.
3. The person working with the external entity then sends the document back to the prospective collaborator to get a feedback on the changes made. If there is a query, the process in item 2 will be redone.
4. If it is an internal document, the document will also be sent to the collaborating party for their perusal and input. When the document is returned to UWI, the process in item 2 will be redone.
5. Once both sides agree with the Terms and Conditions of the Agreement, either party can sign first. If Mona is to sign first, MORI will arrange for one of the Signing Officers to sign the document and return it to the UWI representative who will then arrange for signature by the collaborator.
6. When the document is finalized, that is signed by both parties, the original document is to be sent back to MORI for our files.

## **RESEARCH FUNDING AND GRANTS SEARCH**

Accessing research funding is an important activity for researchers and the Campus community. The Mona Office for Research and Innovation (MORI) has a website with funding sites listed for all disciplines of research. If, however, a researcher needs MORI's assistance in sourcing funding, the following is the procedure:

1. Identify the subject area/focus you intend to research.
2. Prepare a concept note or abstract of the research which includes the Objectives, Method and Purpose of the study
3. Prepare a draft listing of the main things you will need to successfully complete the research. For example, will you need new equipment, personnel such as a research assistant, will you need to travel to collect your data and samples? This will be a rudimentary budget.
4. Estimate the cost of the items on the listing. What is your best estimate of how long it will take to successfully complete the research.
5. Contact the Administrative Officer with your request for funding.
6. The information will be passed on to the Grants Development Officer at MORI who will make contact with you for further discussion and assistance. When the discussions are completed and a suitable funding source (s) is found, the Grants Development Officer will provide assistance with preparation of the proposal.
7. When the proposal is completed and ready for submission, the Director of MORI will provide a letter of support if one is needed. The submission will be done by the Grants Development Officer or the Administrative Officer.
8. A copy of the submitted application is to be sent to the Administrative Officer for record keeping and follow-up.
9. When a response is received from the prospective funding agency, it is to be communicated to the Grants Development Officer as well as the Administrative Officer of MORI.

### **IF FUNDING IS RECEIVED**

1. If the proposal is accepted and funding is committed and a contract is to be signed, the contract is sent to the Administrative Officer at MORI.
2. The document is reviewed and sent to the Campus Legal Officer for his professional assessment. Once that is done, any feedback or queries on the document is sent back to the individual working with the external entity.
3. The person working with the external entity then sends the document back to the prospective collaborator to get a feedback on the changes requested, if any. If there is a query, the process in item 2 will be redone.
4. Once both sides are in agreement with the terms and conditions of the contract either party can sign first. If Mona is to sign first, MORI will arrange for one of the Signing Officers to sign the document and return it to the UWI representative who will then arrange for signature by the collaborator.
5. When the document is finalized, that is signed by both parties, the original document is to be sent back to MORI for our files.
6. One copy of the contract is to be given to the Legal Officer
7. Another copy of the contract is to be given to the Special Projects Unit for the establishment of a financial account for the receiving and managing of project funds.

## MANAGING SUBAWARD AGREEMENTS

When a research has made arrangements to enter into a subaward arrangement, the following are the steps to be taken:

1. Upon receipt of the Subaward Agreement, the document is sent to the Mona Office for Research & Innovation where it is reviewed to ensure that the terms and conditions are acceptable to UWI.
2. The document is then sent to the Campus Legal Officer for his professional assessment. Once that is done, any feedback or queries on the document is sent back to the individual working with the external entity.
3. The person working with the external entity then sends the document back to the prospective collaborator to get a feedback on the changes requested, if any. If there is a query, the process in item 2 will be redone.
4. Once both sides are in agreement with the terms and conditions of the contract either party can sign first. If Mona is to sign first, MORI will arrange for one of the Signing Officers to sign the document and return it to the UWI representative who will then arrange for signature by the collaborator.
5. When the document is finalized, that is signed by both parties, a copy of the original document is to be sent back to MORI for our files and the other part keeps a copy for their files.
6. A copy of the executed contract is to be given to Special Projects Unit for the establishment of a financial account for receiving and fiduciary management of the funds.
7. A startup amount for the project is usually sent to the UWI. Upon receipt of the first payment a copy of the agreement along with the cheque is sent to Special Projects Department for the creation of an account for the project.
8. Financial Statements and invoices along with other supporting documents (e.g. receipts) are submitted to MORI by the Principal Investigator.
9. MORI then submits the documents listed in step 7 to the contracting institution for processing, if it a reimbursable contract.
10. Please note that while there will be one-on-one interaction between the Principal Investigator of the collaborating institution, all queries regarding the terms of the contract and payment matters should be routed through MORI.
11. Upon completion of the project MORI in collaboration with the Principal Investigator and the Special Projects Unit should ensure that closing terms are carried out. The Mona Office for Research & Innovation (MORI) will engage in continuous monitoring to ensure that the terms of the agreement are adhered to including reporting schedules, audits and all other reporting requirements.