



Guidance for Staff Involved in Externally Funded Grants

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OVERVIEW

The Guidance for Externally Funded Grants (Guidance) at The University of the West Indies (UWI) Cave Hill Campus is coordinated by the Office of the Deputy Principal in collaboration with the Bursary, Human Resources (HR) and the Office for Institutional Planning and infrastructural Services (INPLAIS). Updated versions can be found on the website of the Office for Research Innovation and Community at Cave Hill ([RICCH](#)).

Purpose. This document provides broad guidance for the administration of externally funded grants from application to the end of the grant. The process is to ensure efficiency, clarity and compliance with the regulations of The UWI, Cave Hill Campus and donor agencies, particularly in administrative and financial processes.

Outline. It covers the **Pre-Award Phase** which is the application process; the **Award Phase** from the time the donor announces that the grant will be awarded and, includes actions such as internal financial set-up and management, procurement of consultancy services, hiring of persons, and reporting; and finally, the **Post-Award Phase** when the funded project has ended and the grant is closed.

Intended Recipient. This Guidance document is meant to guide all Campus stakeholders involved in grant administration, specifically Principal Investigators (PI) and their Administrators; and for staff in the Bursary, HR and INPLAIS. *It is not a Standard Operating Procedures document.* It is not intended for external stakeholders but provides guidance for the PI on contractual and payment arrangements for external stakeholders.

PRE-AWARD PHASE

The phase involves the preparation and submission of the grant application by the PI.

Sourcing Supporting Information

1. General information on The UWI for grants → [RICCH website](#)
2. Campus Statistics:
 - 2.1. Annual Reports → [Campus website](#) (Reports also contain information on Campus activities)
 - 2.2. Customised student data → INPLAIS
 - 2.3. Customised student admissions data → Admissions Department
 - 2.4. Salary scales for project staff → HR
3. UWI Charter, The UWI and Campus policies, rules and regulations → Office of the Campus Registrar; [UWI Policy Repository](#)
4. Campus Audited Financial Reports → Financial Manager Budgets and Projects.

Special Notes

1. **PI Responsibility:** The PI is responsible for gathering all of the information, documents and data required for the application including editing and submission.
2. **Administration Fee:** A 15% Campus Administrative Fee should be included in budget. If the donor does not permit this, consult with the Bursary Financial Projects Manager on the best way forward.
3. **Grant Applications involving UWI Centre and or other Campuses:** These applications will be coordinated by The UWI Office of Research.
4. **Approval at Application Stage:** There is no requirement to advise Campus Administration that an application will be submitted.
5. **Applications that Require Signature by a Senior Official:** If the grant application must be signed by a senior Campus official, then the application should be sent to INPLAIS who will forward it to the Principal's Office for signature.

AWARD PHASE

This phase includes institutional approvals, financial set-up and engagement of external stakeholders. The administrative process starts once the PI has been notified that the grant has been awarded. Soon after, the Donor normally provides a Grant Agreement to the PI.

Institutional Approvals

1. The final grant agreement and budget should be submitted to INPLAIS and the Bursary before it is forwarded to the Principal's Office for signature by INPLAIS. (INPLAIS will determine if the Campus Lawyers should be involved).
2. A copy of the fully signed grant agreement should be sent to INPLAIS, the Bursary and HR.
3. The PI can now submit a request to the Donor for the disbursement of funds.

Grant Creation

1. Upon receipt of a copy of the signed grant agreement, the Bursary will create a project Fund and input the budget.
2. Once this has been completed, the Bursary will notify the PI and their Administrative Assistant so that spending can commence.
3. Project Inception Meeting for *new* PIs. This meeting is convened by the Bursary and involves the PI and those assisting with the administration of the grant, HR and if necessary, The UWI Office of Research. The following points are discussed:
 - Identity of the source and timing of funds to be received
 - Specific staffing requirement (e.g. contract requirements)
 - The procurement process and any unusual circumstances
 - Use of Campus' duty-free status
 - Payment of Invoices: local and international
 - Special financial needs, such as international purchases and payments
 - Grant Agreement reporting deadlines
 - Approvals required for Campus financial documents to be sent to Donor
 - Recording of technical and financial reports
 - Extension of the Grant Agreement.

Engaging Consultants, Vendors, Hiring Staff

Consultants

1. Consultants require a Contract for Services and are engaged for a defined period of time with specific deliverables as stated in the Terms of Reference (TOR).
2. Individuals as Consultants: The following documents should be submitted to HR: 1) Police Certificate of Character -for persons who have never been contracted by The UWI, 2) Curriculum Vitae, and 3) signed TOR.
3. **Payment of Consultant:**
 - 3.1. PI should sign invoice received from Consultant and submit same to payroll@cavehill.uwi.edu for payment. The Consultant should also sign the invoice.
 - 3.2. The Invoice must reproduce the relevant contract terms.
 - 3.3. The invoice must carry the same information as one being paid via purchase order (PO).
 - 3.4. It should also include the duties performed and the basis for the invoice total. For example, 50% of work completed; or 12 hours at agreed rate of \$10/hour.

Vendors

1. Venders – for goods and services - should be engaged using The UWI's PO process:
2. PI to approve selected vendor quotation and submit signed request on Banner for creation of a PO.
3. For payment, the Vendor submits tax invoice with PO number included, which PI signs and emails to payables@cavehill.uwi.edu.

4. *Invoices must have a unique invoice number, that must be different from any other invoice previously submitted to the Bursary for payment.*

Hiring Project Staff

1. Ensure all project staff engagements are processed through HR, including contract preparation and updates.
2. If the PI already knows the persons to be hired for the project, a request should be sent to HR for a service contract along with payment to be offered, TOR and CV and other details such as the fund number, name of donor and account to be charged. (It would be helpful to attach the Grant Agreement for expediency).
3. For long term projects, the PI can request assistance from HR to advertise the posts and for guidance on the selection process.
4. **Note that NIS deductions are mandatory for anyone earning above the statutory minimum, regardless of funding source or contract type. These payments should be included in the project budget.** Be aware that NIS deductions can only cease with written confirmation from the NIS, and that individuals should apply to the NIS directly for any refunds.
5. Submit complete documentation to HR in a timely manner (start dates, contract terms, amendments).

Financial Reporting

1. Bursary will generate financial reports as required by Donor at the times stipulated in the Grant Agreement.
2. Technical and financial reports generated by PI are to be submitted to the Bursary and Principal's Office for recording purposes.
3. If the PI has responsibility for uploading financial reports to a Donor ICT system, a printed copy must be provided to the Bursary and Principal's Office.
4. Financial reports should not be sent to Donor without the Bursary's approval.
5. Any budget revisions or extensions must be approved by Bursary and HR.

Document Submissions and Contact Points

DOCUMENT TYPE	SUBMISSION CONTACT
Vendor invoice	payables@cavehill.uwi.edu
Consultant invoice	payroll@cavehill.uwi.edu
Grant agreement & budget	INPLAIS, Bursary
Signed agreement	Bursary, Registry, HR

POST-AWARD PHASE

1. If Donor requests a dedicated project Audit, this cost should be included in the budget. Grant projects fall under the remit of the Campus' Annual Audit.
2. Ensure that all payments are made before the project ends since POs cannot be processed after the project ends.