



Arecibo Observatory

Office of the Director

SUBJECT: Evaluation, monitoring and timely actions of non-compliance at Arecibo Observatory	Effective Date: 04-30-2020	Policy Number: AO-POAM016
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	Responsible Authority: AO Administration	

DATE OF INITIAL ADOPTION AND EFFECTIVE DATE: April 30, 2020

APPLICABILITY/ACCOUNTABILITY

This policy applies to all AO Staff.

GENERAL POLICY

This policy and procedure establishes procedures to evaluate, monitor and establish timely actions of non-compliance and reporting at the Arecibo Observatory.

DEFINITIONS

1. **AO staff:** all employee appointed to perform any job at Arecibo Observatory location.
2. **Arecibo Observatory Management:** is composed by the Site Director, Science Manager, Director of Operations, Sciences Manager, EPO Executive Director and the Heat Departments.
3. **PI:** acronym for Principal Investigator
4. **Subrecipient:** an entity that receives a subaward from a pass-through entity to carry out part of a sponsored program.

POLICY STATEMENT

The Arecibo Observatory (AO) will follow applicable institution, sponsoring agency, state, and federal guidelines to evaluate, monitor and timely actions of non-compliance. All AO employees will be subject to UCF Compliance policy and procedures outlined in compliance oversight AO-POAM15 Arecibo Observatory Compliance Oversight.

PROCEDURES

1. The PI and Site Director are responsible for monitoring research and service programs awarded to the Arecibo Observatory.
2. Arecibo Observatory employees are required to follow UCF policies and procedures and Office of Research guidelines as outlined in policy and procedure AO-POAM15 Compliance Oversight.
3. Arecibo Observatory Management is responsible for monitoring operational conditions and employee assignments. Management must monitor financial and administrative transactions to ensure internal controls in compliance with Federal, State and UCF requirements.
4. Identification or allegations of non-compliance should be brought to the attention of the employee's immediate supervisor, the Site Director and PI.
5. The PI will be responsible to document instances of non-compliance with UCF internal Control Office and Office of Research.
6. If applicable, the PI with Internal Control Office of Research at UCF will notify the subrecipient, will provide a report with all the findings of the non-compliance instances, the requirements for a corrective action plan with specifics deadlines.

CONTACTS

- Principal Investigator, ext. 212, 267
- Director of the Arecibo Observatory, ext. 212
- Business Operations Team, exts. 294, 219
- Business Manager, ext. 325

REFERENCES

UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS

<https://www.govinfo.gov/content/pkg/CFR-2014-title2-vol1/pdf/CFR-2014-title2-vol1-part200.pdf>

INITIATING AUTHORITY

Director of the Arecibo Observatory

POLICY APPROVAL	
(For use by the Office of the Director)	
Policy Number: AO-AM016 Evaluation, monitoring and timely actions of non-compliance at Arecibo Observatory	
Initiating Authority: _____	Date: _____
Principal Investigator: _____	Date: _____

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