

University of California, Riverside  
Contract and Grant User Group  
October 9, 2007

I. PPS Modification. Gabe Nwandu distributed a handout and discussed the PostDoc benefit posting error that had been going on for the last four years. The health, dental, and vision were posted together in one sum on the DOPE; however, on the ledgers it posts as an additional entry – STAFF BENEFITS in BC20 with an offset in BC30. Starting in September this problem has been solved.

Summer Salary issue – DOPE versus SuperDOPE does not balance. UCOP is working on the problem.

Gabe is working on more meaningful groupings for medical, insurance, etc.

UCRFStotals – Payroll entries will be available in greater detail in a future version of the web version of UCRFStotals. A target release date has not yet been announced.

Refer to POSTDOC BENEFITS POSTING ERROR CORRECTED beginning at page 4 for additional information.

II. eCAF User Group. Bruce Morgan and Millie Garrison posed the question – should we start an eCAF User's Group meeting separately or carve out time in the Contract and Grant User's Group Meeting? The consensus seemed to be to use some time within the C&G User's Group meeting. If anyone has any comments or feedback, please send to Bruce Morgan, Millie Garrison, or [ecaffeedback@ucr.edu](mailto:ecaffeedback@ucr.edu).

III. eCAF Definitions for Non-UCR Co-PI. Bruce Morgan distributed a handout that defined Non-UCR Co-PI, Principal Investigator, and Co-Principal Investigator as it relates to the eCAF PI information tab. There was some discussion as to which individuals must have a written request for PI eligibility submitted to, and approved by, the VCR. Bruce Morgan will have further clarification soon.

Refer to DEFINITION OF NON-UCR CO-PI beginning at page 11.

Question - If a PI is eligible at another UC campus, do I need the PI eligibility form?  
Answer - No.

Question – Are Farm Advisors at DANR eligible?  
Answer – Generally, no. After the meeting the Office of Research further researched this question. A policy issued November 20, 2000, discusses the eligibility of Cooperative Extension (CE) Advisors, but it is not clear that CE Advisor and Farm Advisor are synonymous. The policy covers requests from CE Advisors to participate as PI or Co-PI on campus projects involving one or more UCR faculty. Approval of the request will be made provided it is submitted with evidence of pre-approval from the relevant CE Regional Office. The full text of the policy may be found on the policy tab of the OR website (<http://or.ucr.edu/Policies/policies.aspx>) refer to Policy No. 527-2.

University of California, Riverside  
Contract and Grant User Group  
October 9, 2007

Question – If Co-PI is from another Institution and is listed on NSF face page and on eCAF?

Answer – Should be listed in eCAF as a Non-UCR Co-PI if no funding will be provided to the other institution and the Co-PI will be responsible for performing a substantive portion of the project work. Should be listed in eCAF as a Subcontractor if funding will be provided to the other institution and the Co-PI will be responsible for performing a substantive portion of project work.

Question – Can you define Collaborator?

Answer – Generally someone who provides advice and guidance on the project in the absence of payment and does not perform a substantive part of the work; it goes to the level of responsibility on the grant.

Question – Can you define Consultant?

Answer – a hired advisor.

Question – Can you define Cooperator?

Answer – Will look into, and will get back to the group.

Question – How is current/pending for Co-PI determined? Do you take Salary and Benefits or Salary and Benefits and Supplies and Expenses?

Answer – Take the level of effort; how will the level of effort be adjusted should this proposal get awarded.

Bruce Morgan distributed a handout with proposed guidance on Visa Processing Application Fees in Extramural Proposals and to Sponsored Awards. Because OR was not consulted when the proposed changes were discussed by the other offices, OR has asked for a delay so they may have some input.

Question – The Communication Worker Fee (CWF) is it still not going on grants?

Answer – It is still not being applied to grants.

Question – Can I share the memo regarding the fees with my PIs?

Answer – Yes.

IV. PostDoc Benefit Rate Analysis. The average is 25% for new PostDocs. For older PostDocs though you will need to use actual rates, the new rate will not be high enough. Bruce will draft some guidance, but basically if PostDoc is not known use middle step for a cushion.

Refer to OR DRAFT GUIDANCE dated October 9, 2007 beginning at page 12

University of California, Riverside  
Contract and Grant User Group  
October 9, 2007

V. F&A Adjustments. It was requested that tips and/or tricks for determining how to determine if BC80 – Overhead is out of balance be discussed – Steve Wilson mentioned that this was discussed at the last C&G User’s Group meeting in May. Refer to 4/10/2007 C& User Group Meeting Minutes posted at <http://or.ucr.edu/SP/UsersGroup/default.aspx>.

CONTRACTS AND GRANTS USERS GROUP MEETING

OCTOBER 9, 2007

POSTDOC BENEFITS POSTING ERROR CORRECTED

PPP5302/PPP530 /090105  
 RETN: SEE RPTS DISP SCHEDULE/DIST.  
 PROCESS MONTH: AUGUST

UNIVERSITY OF CALIFORNIA-RIVERSIDE  
 PAYROLL PROCESSING  
 DISTRIBUTION OF PAYROLL EXPENSE

PAGE NO. 008689  
 RUN DATE 09/04/77  
 FT MO: 0802 PG: 08689

ACTIVITY = 51736 UCMI Faculty & Resea  
 FUND = 19900 GENERAL FUNDS

FUNCTION = 44 Organized Research  
 COST CNTR =

PROJECT CODE =  
 PROJECT (CORP) =

MAIL TO: DS1192  
 UC MEXUS

L A -PAR-- EMPLOYEE EMPLOYEETITLE PERIOD  
 EIED C D NAME I.D. CODE DATE DOS TIME PAY D A GROSS LMATGNG GSTR/ OSDI / DENT/HLTH VI / WC / LIFE / IAP / TOTAL  
 TRRY T I S BUDGET CATEGORY: BCL4  
 BCPC L S N FSS/SMSP GSPER2 GSTR

01	021***BROWN, MICHAEL	856796510	3254083107	PPDW000:00H	0000	00	H	00	00	00	00	00	00	00	00	00	00	00	00	2989
02E5	021001		3252083107	REG .5455%	280500	153013	H	00	00	2218	00	153	2310	1093	00	00	00	00	00	5774
03E5	021***		3254083107	PPDW .0000%	00	00	H	00	00	00	00	00	00	00	00	00	00	00	00	2989
04	021***RUTTENBERG, BE856046098		3254083107	PPDW000:00H	0000	00	H	00	00	00	00	00	2989	00	00	00	00	00	00	2989
05E5	021001		3252083107	REG .5455%	280500	153013	H	00	00	2218	00	1055	2310	1093	00	00	00	00	00	35927
06E5	021***		3254083107	PPDW .0000%	00	00	H	00	00	00	00	00	00	00	00	00	00	00	00	00

CURRENT MONTH 3,06026 00 00 4436 29251 1208 10598 2186 00 47679

\*\*\*DEPARTMENTAL CHARGES MADE TO GENERAL LEDGER  
 ACCOUNT 3,060.26  
 Post Grad & Visit Post Doc Res 307110

Health Postdoc 257.65  
 Dental Postdoc 27.34  
 Vision Postdoc 7.52

292.51



PPP5302/PPP530 /090105  
 RPTN: SEE RPTS DISP SCHEDULE/DIST.  
 PROCESS MONTH: AUGUST

UNIVERSITY OF CALIFORNIA-RIVERSIDE  
 PAYROLL PROCESSING  
 DISTRIBUTION OF PAYROLL EXPENSE

PAGE NO. 008690  
 RUN DATE 09/04/07  
 FT MO: 0802 PG. 08690

ACTIVITY = 51736 UCMT Faculty & Resea  
 FUND = 19900 GENERAL FUNDS

FUNCTION = 44 Organized Research  
 COST CNTR =

PROJECT CODE =  
 PROJECT (CORP) =

MAIL TO: D51192  
 UC MEXUS

L A -PAR--  
 FIELD C D D EMPLOYEE EMPLOYEE TITLE PERIOD  
 TNRVU T I I NAME I.D. CODE DATE DOS TIME PAY D A GROSS IMATCHG GSTR/ OSDI/ DENT/HLTH UI/ WC/ LIFE/ IAP/ TOTAL  
 ECPC L S S RATE EARNINGSACONTRIB/ IAPOF MEDCR VTS/OPBE GSH ESP UCDD/ LEAVE BENEFITS  
 N FSS/SMSR

\*\*\*DEPARTMENT TOTALS: EARNINGS.....3,060.26 BENEFITS.....476.79

\*\*\*EMPLOYEE BENEFITS CHARGED TO ACCOUNT: XXXXXX-51736-19900-44- 00 00 4436 29251 1208 10598 2186 00 47679  
 CURRENT MONTH

\*\*\*DEPARTMENTAL CHARGES MADE TO GENERAL LEDGER  
 TOTAL BENEFIT CHARGES: 47679

BENEFIT TYPE	ACCOUNT	BUDGET	CHARGE	ACCOUNT	BUDGET	CHARGE
UCRS - BASIC	600240	BC30	0.00	400250	BC20	0.00
UCRS - BASIC	600240	BC30	0.00	400250	BC20	0.00
PERS	600250	BC30	0.00	400260	BC20	0.00
IAP OFFSET	600350	BC30	0.00			
GRAD STUDNT TUFT						
OASDI	600130	BC30	0.00	401140	BC21	0.00
HEALTH	600270	BC30	0.00	400130	BC20	0.00
HEALTH POSTDOC				400280	BC20	0.00
OPBE	600370	BC30	0.00	400281	BC20	257.65
LIFE INSURANCE	600310	BC30	0.00	400320	BC20	0.00
UC PD DISABILITY	600330	BC30	0.00	400340	BC20	0.00
WORKERS COMP	600150	BC30	0.00	400160	BC20	46.20
UNEMPLOYMENT INS	600170	BC30	0.00	400180	BC20	3.06
LEAVE ACCRUALS	600200	BC31	0.00	400210	BC22	0.00
INCENTIVE AWARD	600340	BC30	0.00			
DENTAL INSURANCE	600300	BC30	0.00	400310	BC20	0.00
DENTAL POSTDOC				400311	BC20	27.34
MEDICARE	600140	BC30	0.00	400140	BC20	44.36
VISION	600260	BC30	0.00	400270	BC20	0.00
VISION POSTDOC				400271	BC20	7.52
GRAD-STUDENT-FEE			0.00	401130	BC21	0.00
EMPLOYER SUPPORT	600180	BC30	0.00	400190	BC20	0.00
CORE MEDICAL	600190	BC30	0.00	400200	BC20	0.00
CORE LIFE	600230	BC30	0.00	400240	BC20	0.00
GRAD STUDNT HLTH				401110	BC21	0.00
GRAD STU P FEE 2				401150	BC21	0.00
FAC SUM SALARY				400350	BC20	0.00
PSBP DISABILITY				400341	BC20	0.00
PSBP LIFE - AD&D				400321	BC20	14.56
PSBP BROKERADM				400291	BC20	7.30
PSBP EDW WRK CMP				400160	BC20	9.02
BENEFIT ADMIN	600360	BC30	0.00	400360	BC20	59.78
SR MGMT SUPPL	600380	BC30	0.00	400380	BC20	0.00

292.51

2

Parameters:

Business Unit: UCR  
Fiscal Year: 2008  
Accounting Period: 2  
ACTIVITY: D51192  
Function: ALL  
Fund Code: ALL  
Account: ALL  
Description Type: Journal Line

ORGANIZATIONAL STRUCTURE  
ORG530 - UC MEXUS  
DIV5151 - UC MEXUS  
D51192 - UC MEXUS  
A51736 - UCMI Faculty & Research Exchng  
Fund 19900 - GENERAL FUNDS  
Function 44 - Organized Research

ACCOUNT DESCRIPTION	JRNL REF	DATE	CC	DEPT	CORP SOURCE	JRNL #	APPROPRIATIONS	EXPENDITURES	BALANCE	ENCUMBRANCES	BALANCE W/ENCUM
FUNCTION 44 - Organized Research, ACTIVITY A51736 - UCMI Faculty & Research Exchng, FUND 19900 - GENERAL FUNDS SUMMARY REPORT											
ACHEN - SL, BENEFITS - ACADEMIC							76,089.66	1,538.62	74,551.04	0.00	74,551.04
ACSAI - SL, ACADEMIC SALARIES							677,332.44	6,120.52	671,211.92	0.00	671,211.92
FACILT - SL, FACILITIES							-586.47	30.78	-617.25	0.00	-617.25
S&E - SL, GENERAL SUPPLIES & EXPENSES							21,494.74	1,893.22	19,601.52	520.78	19,080.74
STBEN - SL, BENEFITS - STAFF							12,296.51	-585.02	12,881.53	0.00	12,881.53
STSAI - SL, STAFF SALARIES							48,000.00	0.00	48,000.00	0.00	48,000.00
UNALL - SL, UNALLOCATED							-144,772.78	0.00	-144,772.78	0.00	-144,772.78
TOTAL FOR:							689,854.10	8,998.12	680,855.98	520.78	680,335.20
FUNCTION 44 - Organized Research, ACTIVITY A51736 - UCMI Faculty & Research Exchng, FUND 19900 - GENERAL FUNDS SUMMARY REPORT											

BC13 - BC, Academic Admin

Prior Period Balance Forward  
Current Period Activity  
TOTAL BC13 - BC, Academic Admin

307110 ACCUMULATED SALARIES

08/31/07

PPS FDR0038568

615,638.44

2,060.26

612,578.18

0.00

612,578.18

Current Period Activity  
TOTAL BC14 - BC, Academic - Other

08/31/07

PPS FDR0038568

615,638.44

2,060.26

609,517.92

0.00

609,517.92

BC20 - BC, Benefits - Academic

Prior Period Balance Forward  
400140 ACADEMIC BENEFITS  
400160 ACADEMIC BENEFITS  
400180 ACADEMIC BENEFITS  
400271 ACADEMIC BENEFITS  
400271 STAFF BENEFITS  
400281 ACADEMIC BENEFITS

08/31/07  
08/31/07  
08/31/07  
08/31/07  
08/31/07  
08/31/07

PPS FDR0038568  
PPS FDR0038568  
PPS FDR0038568  
PPS FDR0038568  
PPS FDR0038568  
PPS FDR0038568

76,089.66

769.32  
44.36  
105.98  
2.06  
7.52  
257.63

75,320.34

0.00

75,320.34

3

Parameters:

Business Unit: UCR  
 Fiscal Year: 2008  
 Accounting Period: 2  
 Activity: D51192  
 Function: ALL  
 Fund Code: ALL  
 Account: ALL  
 Description Type: Journal Line

ORGANIZATIONAL STRUCTURE  
 ORG530 - UC MEXUS  
 DIV151 - UC MEXUS  
 D51192 - UC MEXUS  
 A51736 - UCMI Faculty & Research Exchng  
 Fund 19900 - GENERAL FUNDS  
 Function 44 - Organized Research

ACCOUNT DESCRIPTION	JRNL RFP	DATE	CC	PROJECT	DEPT	CORP SOURCE	JRNL #	APPROPRIATIONS	EXPENDITURES	BALANCE	ENCUMBRANCES	BALANCE W/ENCUM
400281 STAFF BENEFITS		08/31/07		PPS	FDR0038568				257.65	1		
400291 ACADEMIC BENEFITS		08/31/07		PPS	FDR0038568				9.02			
400311 ACADEMIC BENEFITS		08/31/07		PPS	FDR0038568				27.34	2		
400321 ACADEMIC BENEFITS		08/31/07		PPS	FDR0038568				7.30			
400341 ACADEMIC BENEFITS		08/31/07		PPS	FDR0038568				14.56			
Current Period Activity												
TOTAL BC20 - BC, Benefits - Academic								0.00	769.30			0.00
TOTAL BC20 - BC, Benefits - Academic								76,089.66	1,538.62			74,551.04
BC25 - BC, Staff Appointments												
Prior Period Balance Forward								48,000.00	0.00			0.00
Current Period Activity												
TOTAL BC25 - BC, Staff Appointments								48,000.00	0.00			0.00
BC30 - BC, Benefits - Staff												
Prior Period Balance Forward								12,296.51	-292.51			0.00
600260 STAFF BENEFITS		08/31/07		PPS	FDR0038568				27.52	3		
600270 STAFF BENEFITS		08/31/07		PPS	FDR0038568				-257.65	1		
600300 STAFF BENEFITS		08/31/07		PPS	FDR0038568				-27.34	2		
Current Period Activity												
TOTAL BC30 - BC, Benefits - Staff								0.00	-292.51			0.00
TOTAL BC30 - BC, Benefits - Staff								12,296.51	-585.02			12,881.53
BC40 - BC, Travel												
Prior Period Balance Forward								14,628.16	1,014.59			520.78
710110 10095640 SUNWARD ADV				DBGRC								125.40
710130 10094182 PRINCESS SH				DBGRC								20.00
710140 10002764 SEA & SAND				DBPRO								27.48
712110 10052008 SUNWARD ADV				DBPRO								61.32
712110 10052438 SUNWARD ADV				DBPRO								30.66
712110 10062754 SUNWARD ADV				DBPRO								255.92

(K)



Parameters:

Business Unit: UCR  
Fiscal Year: 2008  
Accounting Period: 3  
Account: ALL  
Fund Code: ALL  
Function: ALL  
Description Type: Journal Line

ORGANIZATIONAL STRUCTURE  
ORG530 - UC MEXUS  
DIV5151 - UC MEXUS  
D51192 - UC MEXUS  
A51736 - UCMI Faculty & Research Exchng  
Fund 19900 - GENERAL FUNDS  
Function 44 - Organized Research

ACCOUNT DESCRIPTION	JRNL REF	DATE	CC	DEPT	CORP	SOURCE	JRNL #	APPROPRIATIONS	EXPENDITURES	BALANCE	ENCUMBRANCES	BALANCE W/ENCUM
FUNCTION 44 - Organized Research, ACTIVITY A51736 - UCMI Faculty & Research Exchng, FUND 19900 - GENERAL FUNDS SUMMARY REPORT												
ACBEN - SL, BENEFITS - ACADEMIC								76,089.66	2,015.43	74,074.23	0.00	74,074.23
ACASL - SL, ACADEMIC SALARIES								677,332.44	9,180.78	668,151.66	0.00	668,151.66
FACILIT - SL, FACILITIES								-586.47	52.39	-638.86	0.00	-638.86
S&E - SL, GENERAL SUPPLIES & EXPENSES								21,494.74	2,448.58	19,046.16	139.46	18,906.70
STREN - SL, BENEFITS - STAFF								12,296.51	-585.02	12,881.53	0.00	12,881.53
STGAL - SL, STAFF SALARIES								48,000.00	0.00	48,000.00	0.00	48,000.00
UNALL - SL, UNALLOCATED								-313,272.78	0.00	-313,272.78	0.00	-313,272.78
TOTAL FOR:								521,354.10	13,112.16	508,241.94	139.46	508,102.48
FUNCTION 44 - Organized Research, ACTIVITY A51736 - UCMI Faculty & Research Exchng, FUND 19900 - GENERAL FUNDS SUMMARY REPORT												

<b>BC13 - BC, Academic Admin</b>												
Prior Period Balance Forward								61,694.00	0.00	61,694.00	0.00	61,694.00
Current Period Activity												
TOTAL BC13 - BC, Academic Admin								61,694.00	0.00	61,694.00	0.00	61,694.00
<b>BC14 - BC, Academic - Other</b>												
Prior Period Balance Forward								615,638.44	6,120.52	609,517.92	0.00	609,517.92
307110 ACCUMULATED SALARIES		09/30/07				PPS	FDR0038963		2,060.26			
Current Period Activity												
TOTAL BC14 - BC, Academic - Other								615,638.44	3,060.26	606,457.66	0.00	606,457.66

<b>BC20 - BC, Benefits - Academic</b>												
Prior Period Balance Forward								76,089.66	1,538.62	74,551.04	0.00	74,551.04
400140 ACADEMIC BENEFITS		09/30/07				PPS	FDR0038963		44.38			
400160 ACADEMIC BENEFITS		09/30/07				PPS	FDR0038963		105.98			
400180 ACADEMIC BENEFITS		09/30/07				PPS	FDR0038963		3.06			
400271 ACADEMIC BENEFITS		09/30/07				PPS	FDR0038963		7.52			
400281 ACADEMIC BENEFITS		09/30/07				PPS	FDR0038963		257.65			
400291 ACADEMIC BENEFITS		09/30/07				PPS	FDR0038963		9.02			



Parameters:

Business Unit: UCR  
Fiscal Year: 2008  
Accounting Period: 3  
Activity: 051192  
Function: ALL  
Fund Code: ALL  
Account: ALL  
Description Type: Journal Line

ORGANIZATIONAL STRUCTURE  
ORG530 - UC MEXUS  
DIV5151 - UC MEXUS  
D51192 - UC MEXUS  
A51736 - UCMT Faculty & Research Exchng  
Fund 19900 - GENERAL FUNDS  
Function 44 - Organized Research

ACCOUNT DESCRIPTION	TRNL REF	DATE	CC	PROJECT DEPT	COMP SOURCE	TRNL #	APPROPRIATIONS	EXPENDITURES	BALANCE	ENCUMBRANCES	BALANCE W/ENCUM
400311 ACADEMIC BENEFITS		09/30/07		DEGRC	PPS	FDR0038963		27.34			
400321 ACADEMIC BENEFITS		09/30/07		DEGRC	PPS	FDR0038963		7.30			
400341 ACADEMIC BENEFITS		09/30/07		DEGRC	PPS	FDR0038963		14.56			
Current Period Activity											
TOTAL BC20 - BC, Benefits - Academic							76,089.66	476.81	74,074.23	0.00	74,074.23
Current Period Balance Forward											
BC25 - BC, Staff Appointments							48,000.00	0.00	48,000.00	0.00	48,000.00
Current Period Activity											
TOTAL BC25 - BC, Staff Appointments							48,000.00	0.00	48,000.00	0.00	48,000.00
Current Period Balance Forward											
BC30 - BC, Benefits - Staff							12,296.51	-585.02	12,881.53	0.00	12,881.53
Current Period Activity											
TOTAL BC30 - BC, Benefits - Staff							12,296.51	-585.02	12,881.53	0.00	12,881.53
Current Period Balance Forward											
BC40 - BC, Travel							14,628.16	1,014.59	13,613.57	520.78	13,092.79
Prior Period Balance Forward											
710110 10095640 AMERICAN EX	ENCBALFW			DEGRC	ATP	PD00488077		125.40		125.40	
710110 10095640 AMERICAN EX	ENCBALND	09/05/07		DEGRC	ATP	PD00488625		39.78		0.00	
710130 CLAUDE G MASTERLAIN	T110195	09/07/07		DEGRC	ATP			0.00		0.00	
710130 10094182 PRINCESS SH	ENCBALND			DEGRC				0.00		0.00	
710140 10002764 SEA * SAND	ENCBALND			DEGRC				0.00		0.00	
712110 10052008 SUNWARD ADV	ENCBALND			DBPRO				20.00		20.00	
712110 10052438 SUNWARD ADV	ENCBALND			DBPRO				27.48		27.48	
712110 10062754 AMERICAN EX	ENCBALFW			DBPRO				61.32		61.32	
712110 10062754 AMERICAN EX	ENCBALND			DBPRO				30.66		30.66	
712110 10062754 AMERICAN EX	ENCBALND	09/05/07		DBPRO	ATP	PD00488077		255.92		255.92	
712110 10062754 AMERICAN EX	ENCBALND			DBPRO				-255.92		-255.92	
Current Period Activity											
							0.00	421.10		-381.32	

6

# C&G User Group Meeting October 9, 2007

## Definition of Non-UCR Co-PI Definition of PI Definition of Co-PI

The following definitions are located in eCAF on the PI Information Tab

### **Non-UCR Co-PI**

An individual who:

- will assume the role and responsibilities of a Co-PI
- is not a UCR employee, and
- will perform a portion of the scope of work without the benefit of receiving project funding through a subaward, subcontract, subagreement or other means of transferring project funds.

Please note that prior to submitting a proposal to an extramural sponsor that includes a non-UCR Co-PI, a written request for PI/Co-PI eligibility should be submitted to, and approved by, the Vice Chancellor for Research. The form for requesting PI/Co-PI eligibility is available on the [Office of Research Website](#).

### **Principal Investigator**

A UCR employee with an academic appointment or other eligible appointment under University policy who has overall responsibility for the design, scientific/technical conduct, administrative management and reporting of a research, training, or public service project supported by extramural funding sources. The Principal Investigator confirms that the entire proposal meets the requirements outlined in the sponsor's solicitation and/or application instructions. While the Principal Investigator may delegate this responsibility to departmental staff, the Principal Investigator remains responsible and accountable for the final proposal. In addition, the Principal Investigator is responsible for acting as the Contact PI on all NIH proposals and awards involving multiple PIs

### **Co-Principal Investigator**

A UCR employee with an academic appointment or other eligible appointment under University policy who is responsible for a portion of the design, scientific/technical conduct and reporting of a research, training, or public service project supported by extramural funding sources

**Note:** PIs and Co-PIs are subject to the same academic eligibility qualifications (i.e., if an individual is not eligible to serve as a PI, then they cannot serve as a Co-PI unless an exception to policy has been approved by the Vice Chancellor for Research)

## Office of Research

### Guidance

#### ***Budgeting and Allocating Visa Processing and Application Fees in Extramural Proposals and to Sponsored Awards***

Effective [insert date], the International Scholar Center (ISC) will implement a fee-for-service model for visa processing services. (Please refer to [insert URL] for information regarding the processing fees.) The following guidance is provided to assist PIs, departments and research units address any impact that the ISC's implementation of a fee-for-service cost structure may have on extramural proposals and sponsored awards

#### **Circumstances Where Budgeting and Allocating Visa-related Fees May Be Allowable**

The following are examples of circumstances when it may be allowable to budget and allocate the ISC visa processing fee and the visa application fee in extramural proposals and to sponsored awards:

1. A position that is essential to the conduct of a project will be (or has been) recruited and the recruitment will more than likely result (or has resulted) in the hiring of a person other than a U S. citizen or a U S permanent resident
2. The research team on a sponsored program includes a current UCR employee who is neither a U S. citizen nor U S permanent resident, whose visa will expire during the project period and where the employee's continued participation in the research is essential to the conduct of the project
3. A proposal includes an international exchange of visitors and the purpose of the program is, in part, to provide support for the travel of such visitors to enable face-to-face research collaborations.

The preceding is not an all-inclusive list of examples. Rather, it is meant to promote a thoughtful analysis and to illustrate that each situation is unique and should be evaluated based on the relevant facts and circumstances

#### **Allowability**

Several factors may impact the allowability and allocation of visa processing and application fees as a direct cost budgeted in extramural proposals, and consequently as a direct cost charged to sponsored awards. These factors include, but are not limited to:

- The terms and conditions of the sponsored award
- Sponsor proposal and award policies and regulations
- UC/UCR costing policies, including UCR's cost accounting disclosure statement filed with the Department of Health and Human Services
- Code of Federal Regulations - 2 CFR, Part 220 (OMB Circular A-21, Cost Principles for Educational Institutions)

# DRAFT

October 9, 2007

## Budgeting Visa Processing and Application Fees in Extramural Proposals

Visa processing and application fees may be budgeted in extramural proposal when such costs are allowable, allocable and will directly benefit a proposed project. Such costs should be proposed as a direct cost in an appropriate budget category consistent with the sponsor's policies and UCR/UC policy and procedure.

## Allocating Visa Processing and Application Fees to Sponsored Awards

Visa processing and application fees may be charged as a direct cost to sponsored awards when such costs are allowable, allocable and directly benefit sponsored program. Such costs should be allocated to the sponsored award using an appropriate expenditure account and in a manner consistent with the sponsor's policies and UCR/UC policy and procedure.

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## Awards Resulting from Proposals Submitted Prior to [Insert Effective Date]

In the event that circumstances warrant the allocation of visa processing and application fees to a sponsored award that resulted from a proposal that was submitted prior to [insert effective date], the Principal Investigator should determine if the sponsored award has sufficient funds to cover such an expense. In the event that it does not have sufficient funds, the Principal Investigator should:

- Determine if there is sufficient unrestricted funding under the custodianship of the Principal Investigator to support the additional expense;
- Request funding from his/her home department or other appropriate unit; or
- Request a partial waiver of the ISC visa processing fee in accordance with the procedure at [insert URL or other procedure source], and arrange for the balance to be charged to the sponsored, unrestricted funds or departmental funds.

**Comment [bm1]:** Under discussion and consideration at the present time. A waiver process may or may not be established based on many factors that are currently being considered by senior campus management.