

Contract and Grant Pre-award Responsibilities

Presented by
Sponsored Programs Administration

Contract and Grant Overview

Presenter: Bruce Morgan

Goals

- Provide participants with a basic overview of UCR's contract and grant processes
- Orient participants regarding the roles and responsibilities for contract and grant administration
- Inform participants about the most common preaward issues in contract and grant administration

UCR's Mission & Contracts & Grants



Key Central Offices

- Office of Research - Sponsored Programs Administration
 - Institutional approval of proposals
 - Responsible for negotiating and accepting extramural awards in support of UCR's mission
 - Liaison with extramural sponsors
 - Negotiate and execute subawards
 - Administrative close-out of awards
 - Office of record for proposals & awards

Key Central Offices

- **Sponsored Programs Administration**
 - Reports to the Assist Vice Chancellor for Research
 - Teams lead by Principal Contract and Grant Officers
 - Each team member is responsible for a portfolio of departments

Contract & Grant Orientation

Sponsored Programs - Mozilla Firefox

File Edit View History Bookmarks Tools Help

http://or.ucr.edu/SP/index.aspx

UCR UC Electronic Phonebo... UCR Find People OR Staff Mews

Sponsored Programs

UNIVERSITY OF CALIFORNIA RIVERSIDE

UCR Office of Research

Home Sponsored Programs Research Integrity Research Development Technology Commercialization Campus Veterinarian Policies Export Controls Events

Preparation | Pre-Award | Post-Award | Closeout | ERA | Quick Reference

About Sponsored Programs

Contract and Grant Lifecycle

- Proposal Preparation / Submission
- Pre-Award Administration
- Post-Award Administration
- Closeout

General Information

- Electronic Research Administration
- Annual Reports
- C&G Users Group
- Forms
- ListServ
- Managing Fed. Grants Portal
- Pamis (Including eCAF)
- Policies
- Staff Directory
- Training


Partner Offices

- Academic Planning & Budget
- Accounting
- Computing and Communications
- EH&S
- Human Resources
- Material Management
- Public Service and International Programs
- University

Sponsored Programs

About Sponsored Programs

The Office of Research (OR), through its Sponsored Programs Administration (SPA) unit, is UCR's institutional office responsible for reviewing, endorsing and submitting proposals to extramural sponsors for research, training, instructional and other activities. SPA is also responsible for preparing, negotiating, and accepting agreements for projects funded by federal and state agencies, foundations, corporations, and other public and private sources. Other responsibilities include: providing advice to faculty and staff regarding the management and administration of sponsored programs; interpreting the terms and conditions of awards, sponsor and university policies and government regulations; monitoring institutional compliance with government regulations and award requirements; drafting, negotiating, executing and monitoring subagreements under UCR's prime awards; coordinating pre-award and non-accounting post-award actions requiring either institutional or sponsor prior approval; and drafting, negotiating and executing various other agreements related to UCR's prime awards (e.g., data use agreements, collaboration agreements, etc.). In cooperation with other central offices, SPA provides research administration training courses to the campus community.




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for Research

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[Frequently Asked Questions](#)



[Contract and Grant Orientation](#)

Done

Contract & Grant Orientation



The screenshot shows a web browser window with the URL <http://or.ucr.edu/OrPortal/Reports/Reports.aspx>. The browser tabs include "Office of Research Intranet", "Office of Research", and "Reports". The page header features the "OFFICE OF RESEARCH WEB PORTAL" logo on the left and the "UNIVERSITY OF CALIFORNIA RIVERSIDE OFFICE OF RESEARCH" logo on the right. A welcome message "Welcome Bruce Morgan" is displayed, along with a "Log In/Out" link. A navigation menu contains "Home", "Forms", and "Reports/Inquiries". The main content area is divided into several sections:

- Reports**
 - Formatted Reports ***
 - [Current and Pending Support](#)

This option will allow you to run a current and pending report for any PI.
 - [PI Awards](#)

This options will allow you to run a general information report on awards for a PI.
 - Report Dumps ***
 - [Simple Proposal/Award Query](#)

This query has a simple interface and will allow you to pull selected fields from either the proposal or award database.
 - [Award Report](#)

This somewhat complex interface allows you full freedom to pull data from the awards table.
 - [Proposals Report](#)

This somewhat complex interface allows you full freedom to pull data from the proposals table.
- Inquiries**
 - [Award Inquiry](#)
- Campus Veterinarian Reports**
 - [Financial Spreadsheets](#)

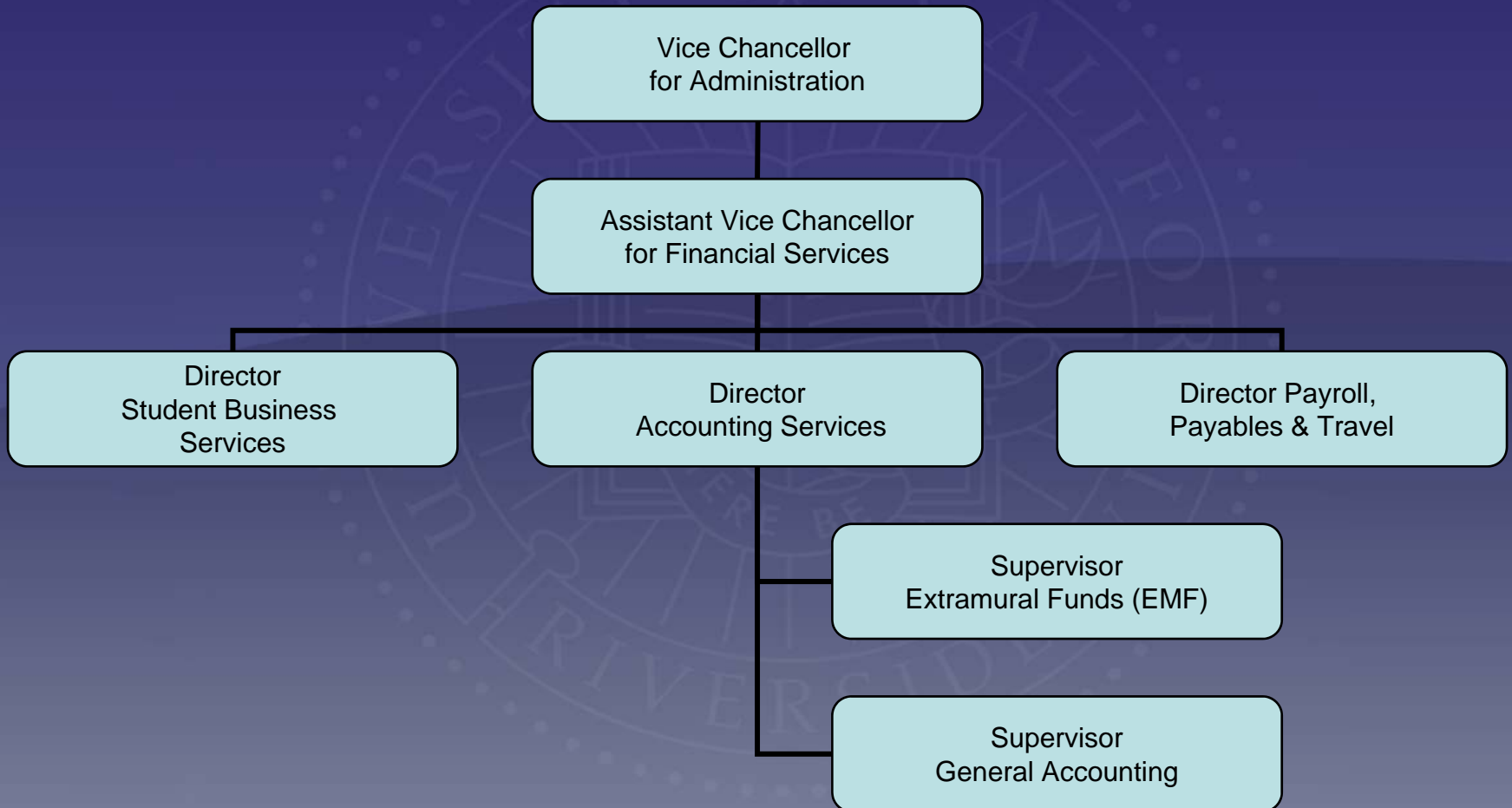
A "Please Note" box states: "All reports are generated from data collected beginning 07/2002. Please see our [annual report](#) page for data prior to this date and for our official year end reports. Queries produced using this Reports tool are extracted from the Office of Research data warehouse in real time. Since information is being added to the data warehouse on a regular basis, the actual number and dollar totals of proposals and awards as of a given date may not be complete until two to three months after that date due. This is primarily due to pending issues that have prevented the inputting of these awards into the data warehouse."

A feedback box at the bottom says: "Send your comments, suggestions, or requests to the OR [webmaster](#). This includes requests for additional reports."

Key Central Offices

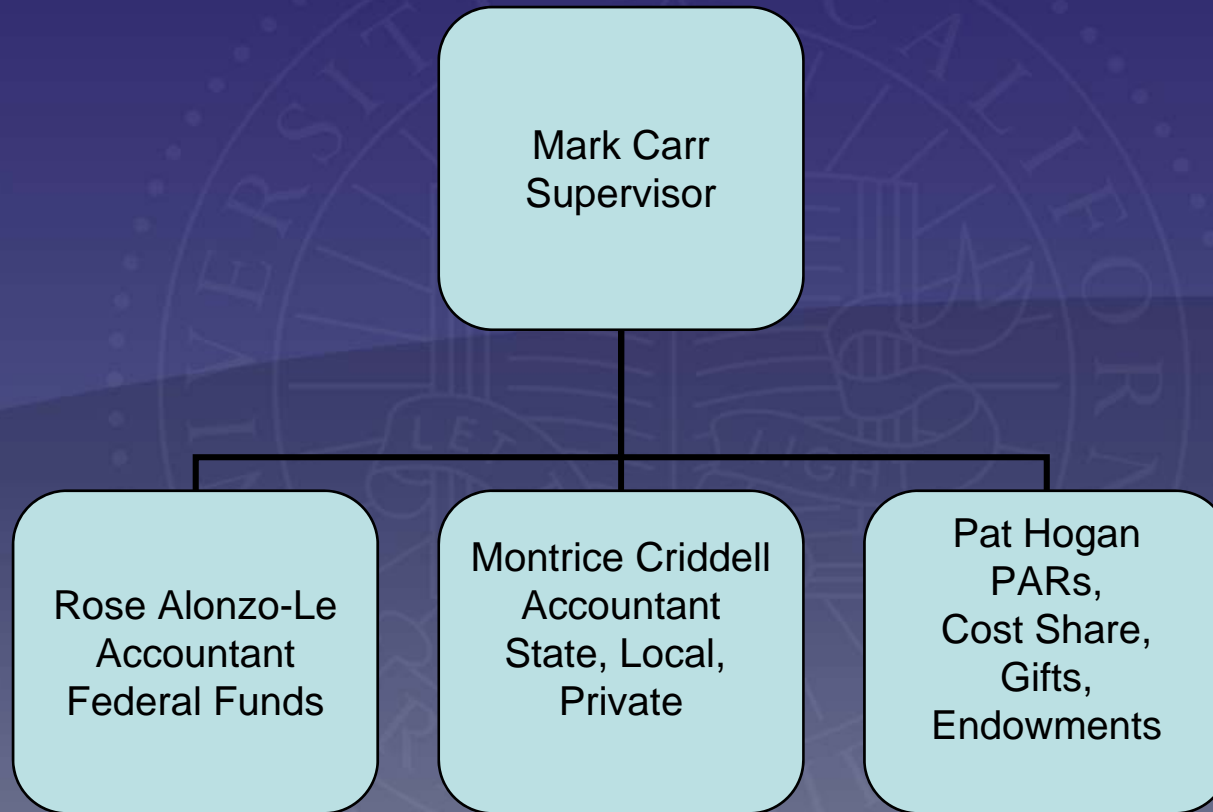
- **Extramural Funds Accounting**
 - Create Fund and attributes
 - Assess F&A costs
 - Prepares Invoices
 - Reports financial status
 - Collects & monitors Personal Activity Reports
 - Collects & monitors Cost Matching/Sharing Reports
 - Principal post award resource for C&G Analysts
 - Principal contact point for agency audits and reviews

Post Award Orientation Financial Services Organization



Post Award Orientation

Extramural Funds Unit



OMB Circular A-21

Presenter: Peter Kwon

What is OMB Circular A-21?

- OMB Circular A-21 sets the Cost Principles for Educational Institutions.
- Purpose
 - establish principles for determining costs applicable to grants, contracts, and other agreements with educational institutions.

Composition of Total Costs

- Cost of a sponsored agreement is comprised of
 - allowable direct costs incident to its performance,
 - plus the allocable portion of the allowable F&A costs of the institution,
 - less applicable credits (see paragraph C.5. for information on applicable credits).

- **Cost Principles**

- used in determining the allowable costs of work performed by colleges and universities under sponsored agreements.
- apply to the costs of work performed by institutions under sub-grants, cost reimbursement subcontracts, and other awards made under sponsored agreements.

Allowable Costs

- Costs must be reasonable
- Costs must be allocable to sponsored agreements under the principles and methods provided in Circular A-21
- They must be given consistent treatment through application of those generally accepted accounting principles appropriate to the circumstances
- They must conform to any limitations or exclusions set forth in A-21 or in the sponsored agreement as to types or amounts of cost items

Reasonable Costs

A cost may be considered reasonable if the nature of the goods or services acquired or applied, and the amount involved therefore, reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made.

Allocable Costs

- It is incurred solely to advance the work under the sponsored agreement;
- It benefits both the sponsored agreement and other work of the institution, in proportions that can be approximated through use of reasonable methods;
- It is necessary to the overall operation of the institution and, in light of the principles provided in A-21, is deemed to be assignable in part to sponsored projects.

OMB Circular A-110

Presenter: Peter Kwon

OMB Circular A-110

- Applicable to Grants and other Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations.
- Purpose: Establish uniform administrative requirements; establish maximum & consistent requirements

Key Concepts in A-110

- The award or agreement binds the university to a scope of work that is specified to a substantial level of detail
- A line item budget is involved
- Preaward expenses require prior approval
- Financial reports are required and/or the expenses are subject to audit
- A period of performance is specified
- Unused funds must be returned to the sponsor
- The agreement provides for the disposition of either tangible or intangible properties (including equipment, records, formal activity reports, theses or dissertations, data rights, copyrights, inventions, and research-related material)

Key Concepts in A-110

- A-110 should be flowed down to subrecipients which are normally subject to it
- Agency decides on appropriate award instrument
- Additional requirements may be imposed by agencies if:
 - Recipient has a history of poor performance
 - Recipient is not financially stable
 - Recipient has management system that does not meet standards
 - Recipient has not conformed with terms and conditions of previous award
 - Recipient is not responsible

Key Concepts in A-110

- All reports must be submitted and obligations liquidated within ninety days
- Recipient shall refund any unobligated cash advance
- Recipient must account for real and personal property
- Agency retains right to recover disallowances until final audit

A-110 Final Report Requirements

Responsibility

- Institution's Sponsored Projects Office is usually responsible for overseeing the close-out of awards

Report	Responsible Person/Office
Technical	Principal Investigator
Equipment	Central Property Control Office
Patent/Invention	Sponsored Project Office PI and Technology Transfer Office
Fiscal	Accounting Office
Subrecipients	Sponsored Projects Office with PI and Accounting Office

Reports from Subrecipients are needed in advance in order to incorporate into reports to Sponsor

Proposal Submission Process

Presenter: Mayela Castillo

Proposal Submission to OR (Where & How)

Three options are available for submitting proposals to SPA. Please note that proposals should be submitted using only one option as this will start duplicate files for the proposal.

Proposal Submission to OR (Where & How)

- **Option 1**

Proposals can also be submitted through eCAF.

Proposal Submission to OR (Where & How)

- **Option 2**

Proposals@ucr.edu may be used to submit proposals to SPA. This e-mail in-box is routinely monitored and appropriately backed up to ensure that all proposals submitted to it are promptly logged in and routed to the appropriate team leader for assignment to a CGO.

Proposal Submission to OR (Where & How)

- **Option 3 (The Old-Fashioned Way)**

Proposals may be sent via campus mail or hand delivered to the Office of Research front office (Room 200, University Office Building). Please do not hand-deliver proposals to a Contract and Grant Officer (CGO) as this may result in delays in reviewing the proposal, as well as adversely impacting OR's ability to track proposals coming directly into SPA.

Proposal Review Lead Times

When should proposals be submitted to the
Office of Research?

3 business days (standard)

7 business days (non-standard)

OR Weblink:

<http://or.ucr.edu/SP/Lifecycle/Prepare/Endorsement.aspx>

Proposal Review Lead Times Standard Proposals

- **Defined as:**
 - submitted to a federal agency, UC program, State of California agency, U.S. institutions of higher education, or a private non-profit foundation;
 - submitted under broad sponsor guidelines for grants rather than a Request of Proposals or other solicitation or special announcement; and
 - Where the resulting award will be a grant, cooperative agreement, or subaward
 - does not contain any of the items or involve any of the issues listed below in the definition of non-standard proposals

Proposal Review Lead Times Non-Standard proposals

- **Defined as:**
 - The PI or a Co-PI has an appointment that requires approval of the VCR to submit proposals as PI and/or does not hold a UCR appointment for the full period of the proposed work.
 - submitted in response to an RFP, RFQ, RFA, or any other solicitation that requires acceptance of terms and conditions by virtue of submitting a proposal to the sponsor;
 - submitted to a for-profit organization, trade association or foreign sponsor (including foreign governments), or a non-California state government agency; or

Proposal Review Lead Times Non-Standard proposals (cont.)

- **Defined as:**
 - One or more subawards to outside entities
 - Intellectual Property Management Plan, Laboratory Safety Plan, or any other set of plans that would require coordination with other UCR offices
 - Institutional cost sharing requests of \$250,000 or more
 - Any institutional commitment that requires or necessitates the approval of the Dean, VCR, EVC or Chancellor

Proposal Review Lead Times

Non-Standard proposals (cont.)

- Use of a non-standard F&A cost rate not previously approved by the Office of The President or where a request for F&A rate waiver must be coordinated with the Office of the President
- Programs/projects involving a consortium of participants (e.g. other universities and/or for-profit entities)
- Total direct costs of more than \$5 million per year requested from the sponsor

Need a
Break?



Budget Preparation

Presenter: Tim LeFort, Sylvia Campos,
and Kerwin Lawrence

- **What is a Budget?**

A categorical list of anticipated project costs that represent the Principal Investigator's best estimate of the funds needed to accomplish the work described in a proposal.

Major Cost Categories

- Direct Costs
 - Salaries and Wages
 - Fringe Benefits
 - Equipment
 - Travel
 - Materials and Supplies
 - Other Direct Costs
- Facilities and Administrative Costs
- Cost Sharing

Total Project Budget



Project Period

Budget
Period 1

Budget
Period 2

Budget
Period 3

Budget
Period 4

Budget
Period 5

Key Principles and Policies

The background features a large, faint watermark of the University of California seal. The seal is circular and contains the text 'UNIVERSITY OF CALIFORNIA' at the top and 'RIVERSIDE' at the bottom. In the center, there is a sunburst above a book, with a banner below it that reads 'LET THERE BE LIGHT'. The seal is rendered in a light blue color that blends with the dark blue background.

Principles & Policies

- Office of Management and Budget (OMB)
Circular No. A-21
- University Regulation No. 4
 - “For all tests and investigations made for agencies outside of University, a charge shall be made sufficient to cover all expenses, both direct and indirect.”

Developing a Proposal Budget



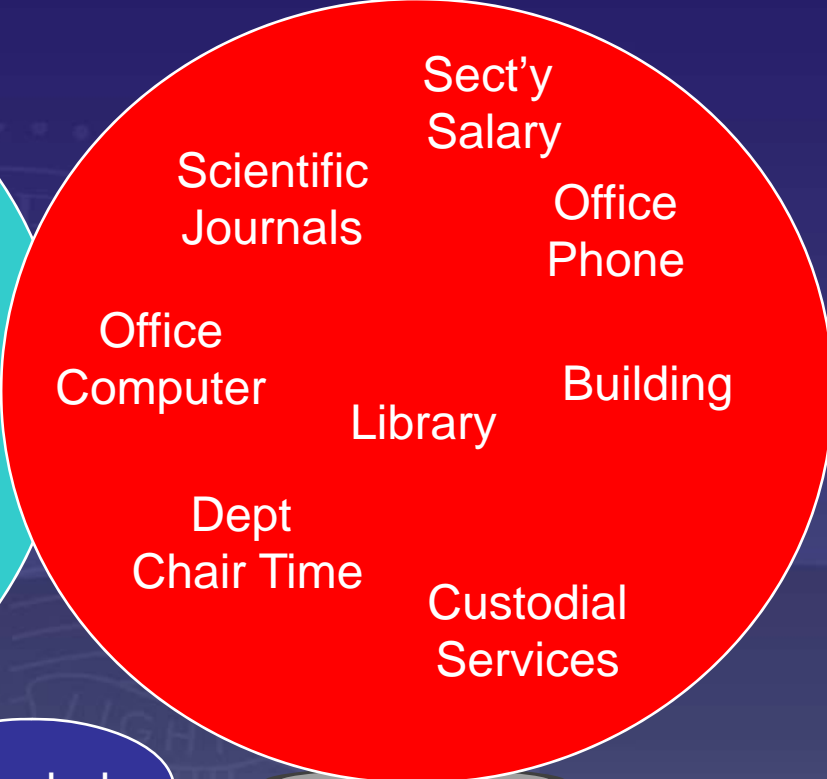
Budget Categories

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Contract & Grant Orientation

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DIRECT COSTS



Unallowable



F&A COSTS

Salaries

- **Academics**

- Professorial Series, Research Series, Specialist Series, Project Scientist, etc.
- Postdoctoral researchers
- Graduate Student researchers

- **Staff**

- Technicians
- Staff research associates
- Research or Lab Assistants
- Other staff that will work directly on the project

Salaries

- Personnel

- List only UCR employees
 - Employer/Employee relationship must exist
 - Budget non-UCR employees as consultants or as subaward personnel
- Includes % Time or person months & dollar amount of salary requested
 - Apply range adjustments/merit increases as appropriate
- Use actual institutional base salaries

Salaries

- Personnel (cont.)
 - Use UCR's Title and Pay Plan for open positions
 - Don't budget stipends as salary
 - Stipends are payments made to an individual under a fellowship or training grant to provide for living expenses during the training period
 - Only use hourly rates if an employee is paid an hourly wage

Student Support

- Is charged to a sponsored agreement as either
 - Salaries and wages - compensation paid to students for services rendered
 - Stipend - subsistence payment to a registered student unrelated to services rendered (training)
 - More information at
<http://or.ucr.edu/SP/Lifecycle/Prepare/distinguishing.aspx>

Student Support

• Tuition Remission

- Partial Fee Remission (PFR) and Graduate Student Health Insurance (GSHIP)
 - must work 25% or more time to be eligible
- Non-Resident Tuition Remission (NTR)
 - must work 45% or more time to be eligible
- PFR/GSHIP & NTR are included in the fringe benefits category but excluded from the indirect cost calculation
- More information at
<http://or.ucr.edu/SP/Lifecycle/Prepare/index.aspx?T=3>
and
<http://or.ucr.edu/SP/Lifecycle/Prepare/studenttuition.aspx>

Fringe Benefits

- Health Insurance
- Dental & Vision Insurance
- Workers Compensation
- Disability
- Social Security
- Retirement
- Tuition & Fees
- Graduate Student Health Insurance Program

Fringe Benefits

- **Project Personnel**
 - Actual Rate (existing personnel)
 - usually most accurate
 - Composite Rate (open positions)
 - Paid from the same funding source as salaries
 - Requested for all individuals in the "Personnel" category
 - University established rates

<http://or.ucr.edu/SP/Lifecycle/Prepare/index.aspx?T=4>

Fringe Benefits

- Benefits for Graduate Student Researchers (GSRs)
 - Graduate Student Health Insurance Premium (GSHIP)
 - Partial Fee Remission (PFR)
 - Non-Resident Tuition Remission (NRTR) (appointment must be least 45% time)

<http://or.ucr.edu/SP/Lifecycle/Prepare/index.aspx?T=3>

Consultants

- **Consultant Costs**

- Costs associated with experts in a scientific field not employed by the institution submitting the proposal
- Per day or per hourly rate
- Includes travel and per diem expenses
- Formal agreement required
- Agreement prepared by Purchasing

Equipment

- **Equipment**
 - Articles of nonexpendable, tangible personal property
 - Normal life expectancy of more than one year
 - Acquisition cost of \$5,000 or more per unit

Reference: 2 CFR Part 220 (formally-OMB Circular A-21) , Section J.18

Equipment

Scientific Equipment
Direct Cost

General Purpose
Equipment
F&A Cost

Individual Computers (e.g., desktop, lap top,
etc.) and Computer Systems

Supplies & Materials

- **Supplies and Materials**
 - Expendable and directly related to the project
 - Include sales tax & shipping/delivery costs as appropriate
 - Estimate based on
 - Historical costs for like project
 - Catalog prices
 - Vendor quotes
 - Recharge or cost center rate tables

Travel Costs

- **Travel Expenses**

- Transportation (air and ground)
 - US flag carriers must be used on federally funded projects or where required by the terms and conditions of the award
- Lodging and subsistence
- UCR per diem/mileage rate
- Transportation/parking fees
- Directly related to/benefit the project
- List the total cost of domestic and foreign travel separately in the budget

Subaward Costs

- **Subaward** (e.g., subagreement, subcontract, etc.)
 - Agreements that transfer a substantive portion of the scope of work under a prime award to another institution or organization

Subaward Costs

- Secure a written proposal
 - Statement of work, budget and budget justification
 - Signed by Key Investigator and authorized organizational official
- Incorporate subrecipient proposal(s) into UCR's proposal
- List total cost of all subawards as a single cost item in the other direct costs section of the budget

Other Direct Costs

- Other Direct Costs
 - Computer Expenses
 - Supercomputer
 - Publication/Printing Costs
 - Service Fees
 - Maintenance Agreement
 - Recharge Center Fees
 - Estimate acquisition cost including
 - Sales tax
 - Shipping/delivery charges as appropriate

Time for
LUNCH!

Facilities and Administrative Costs

Presenters: Tim LeFort, Sylvia Campos,
and Kerwin Lawrence

Facilities and Administrative Costs

- F&A Costs (aka overhead or indirect costs)
 - Costs incurred for common or joint objectives and cannot be identified readily and specifically with a particular sponsored project.
 - Recovery of research infrastructure expenses

Reference: 2 CFR Part 220 (formally-OMB Circular A-21) and UC Contract & Grant Manual Section 6-520

Facilities and Administrative Costs

- Sponsored agreement budget and expenditures are comprised of:
 - Allowable direct costs required to meet project objectives
 - Allocable portion of the allowable F&A costs of the institution

Reference: 2 CFR Part 220 (formally-OMB Circular A-21)

Facilities and Administrative Costs

- Determining factor in distinguishing direct from the F&A of sponsored agreements:
 - Identification with sponsored work rather than the nature of the goods and services involved

Reference: UC Contract & Grant Manual, Chapter 6-520

Facilities and Administrative Costs

- To determine applicable F&A Rate:
 - Nature of the Activity
 - Organized Research
 - Instruction
 - Other Sponsored Activities (outreach, public service)
 - Location of the Activity
 - On-campus v. Off-campus v. Both
 - Sponsor Policy

Facilities and Administrative Costs

- F&A Costs Negotiated Rate with Cognizant Agency
 - Department of Health and Human Services (DHHS)

Nature of Activity

- **Instruction**

- All teaching and training activities (excluding research training)
- Departmental research (not separately budgeted for)

- **Organized Research**

- All research and development activities that are separately budgeted for and accounted for (Sponsored Research & University Research)

- **Other Sponsored Activities**

- All activities that are not instruction or organized research. Primarily public service programs.

Facilities and Administrative Costs Riverside campus

07/01/06 - 06/30/08

On-campus research	50%
Off-campus research	26%
On-campus instruction	54%
Off-campus instruction	26%
On-campus "other"	53%
Off-campus "other"	26%

Location of Activity

- **On-Campus**
 - Facilities owned by university
 - Facilities leased by university
 - Cost of leased space not charged as direct cost
- **Off-Campus**
 - Facilities not owned or leased by University
 - Cost of leased space charged as a direct cost

Location of Activity

- Projects conducted partially off campus and partially on campus
 - Charge the rate consistent with where the majority of the work is to be performed
 - Salary costs are generally accepted as a measure of work performed in terms of the total project

(F&A rate agreement, August 16, 2006)

Location of Activity

- Use of both on-campus and off-campus rates
 - May be justified if both rates can clearly be identified with a significant portion of the salaries and wages of a project
 - Significant portion = 25% or more of total costs and project's total salary and wage costs exceed \$250,000

(F&A rate agreement, August 16, 2006)

Modified Total Direct Costs

Expenses Excluded from Base for Calculation of F&A Costs

NRPFR	\$ 8,095
GSHIP	1,860
NRTR	15,429
Equipment	50,000
Subcontract Amount over \$25,000	<u>7,000</u>
TOTAL EXCLUSIONS	\$ 82,384
Total Direct Costs	221,466
F&A Exclusions	<u>82,384</u>
MODIFIED TOTAL DIRECT COSTS (MTDC)	\$139,801

Other types of rates/bases

- **TDC – Total direct costs**
 - no exclusions to base
 - F&A rate other than standard rate
- **TC – Total costs**
 - no exclusions to base
 - F&A rate calculated on total budget request
- **Administrative fees**
 - Agency guidelines determine restrictions
- **UC Campus subawards**
 - Each UC campus entitled to recover the allowable F&A costs
 - Prime campus does not recover F&A on the first \$25,000
 - UC subaward excluded from base

F&A Cost Rate Reductions & Waivers

- Reductions in F&A cost rates should be coordinated through the Office of Research
 - Requests should be based on sponsor policy or campus vital interest
 - May be requested through eCAF
- UC Office of The President is the final decision point for all waiver/reduction requests

Budget Justification

Presenter: Mayela Castillo

Budget Justification

A written description of the cost estimation methods used to prepare a project budget, as well as an explanation and description of the types of individual costs that make up a larger budget category.

Explains:

- why each cost is essential to performing project
- how project costs were estimated
- any special circumstances applicable to the project

Budget Justification

- It is important to include a budget justification with the proposal budget
 - Only opportunity to describe why proposed costs are essential for conducting the project
- Retain supporting documents
 - Demonstrates how costs were estimated

The Importance of Documentation

- **What is documentation?**
 - The source documents that support
 - How costs were estimated
 - The reason why costs were proposed
- **Documentation is the key to surviving an audit**
 - Auditor will focus on the source documents that were relied upon during the preparation of the budget and justification

Examples of Source Documents

- Source Documents
 - Payroll records
 - Published salary scales, job descriptions or job summaries, Personnel Activity Reports (PARs), time sheets
 - Approved composite fringe benefit rates
 - Published merit increases and range adjustments
 - Catalogs, vendor quotes, proposals, etc.
 - Documents evidencing historical costs for like projects

Revising a Budget

Presenter: Mayela Castillo

Budget Revisions

- Prior to award - revising a proposal budget
 - Budget restrictions that apply are those provided by the Sponsor or were in the original guidelines

Budget Revisions

- At time of award - if amount awarded differs from proposed budget
 - Office of Research requests a revised budget
 - Department inputs revised budget in PAMIS BEA
- At time of award
 - Approved budget vs PAMIS BEA
 - Budget restrictions apply

Cost Sharing
&
Cost Matching
(Cash/In-Kind)

Presenter: Charles Greer

Cost Sharing

- The portion of costs of a project not paid for by the sponsor and paid by the University (UCR).
- Whether offered voluntarily or in response to a mandatory requirement, any cost share commitments contained anywhere within a proposal (text or budget) become required commitments if the proposal is funded.
- All cost sharing must be tracked, documented and reported.

Cost Share

- Documentation Required for Cost Share Commitments other than time/effort
 - Written commitment
 - Signature of Chair/Director & Dean
 - Describes the amount/value of the commitment and source of UC funds, if applicable

Cost Matching

- The portion of project costs contributed by a third party (i.e., not the sponsor or University)
- Cost matching may be in the form of cash and/or in-kind (non-cash) contributions.
- All cost matching must be tracked, documented and reported.

Cost Matching

- **Documentation Required**
 - Written commitment from third party that includes
 - description of commitment
 - value of commitment
 - methodology used to value commitment, if in-kind

Cost Sharing/Matching

- Sponsor cost sharing requirements may be a flat \$ amount or % of an award
- Most common commitments:
 - UCR employee salaries/benefits paid from unrestricted funds
 - Unrecovered F&A cost
- Some sponsors may require both cost matching and cost sharing on the same award

Eligibility to Submit Proposals

Presenter: Charles Greer

PI Eligibility

- Who is Eligible to Submit Proposals?
 - Academic appointees who
 - personally participate in the project in a significant manner; and
 - serve as the Principal Investigator or Project Director/Administrator

PI Eligibility

- **Academic appointees**
 - Members of the Academic Senate, including emeriti
 - Appointees in the Agronomist series, including emeriti
 - Salaried appointees at 50 percent or more of full time in the -
 - **Adjunct Professor series**
 - **Clinical Professor series**
 - **Professional Research series**
 - **Cooperative Extension Specialist**

PI Eligibility

- With appropriate approval a person with one of the following salaried appointments may submit a proposal for a training or training-related research contract or grant:
 - Cooperative Extension Specialist (Advisor) series
<http://www.ora.ucr.edu/ORACONTRACTANDGRANT/PISTATUSCOOPERATIVEEXT.HTM>
 - University Extension Specialist series

eCAF PI Eligibility

- **Requesting PI Eligibility**

- Systems Access Administrator (SAA) can request PI role for the individual through EACS (Enterprise Access Control System)
- List of criteria to meet
- If the criteria is not met, then a PI Eligibility Form must be completed
- For departments that do not have access to eCAF, then a PI Eligibility Form must be completed

- **PI Eligibility form**

<http://www.ora.ucr.edu/home/Forms.aspx>

eCAF Overview

Presenter: Charles Greer

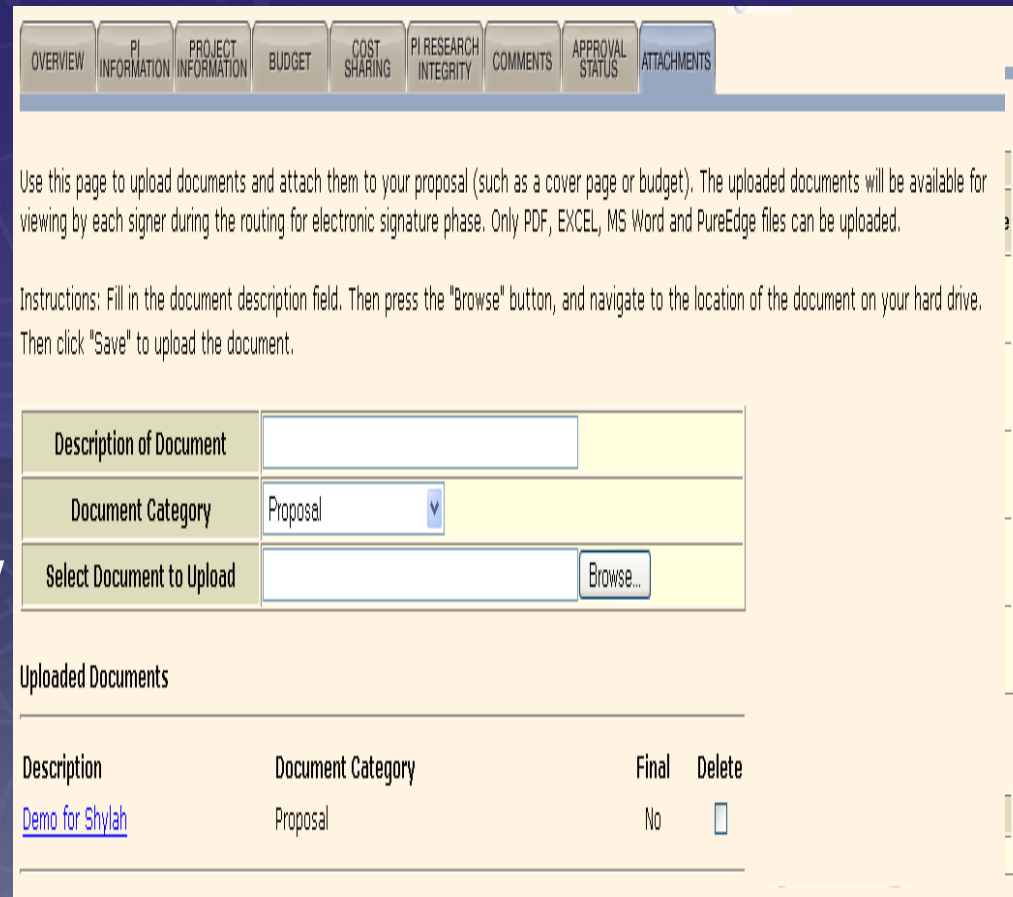
eCAF Overview

- The P in PAMIS
- Web-based system
- Makes proposal routing & approval process transparent
- Minimizes proposal data entry by eliminating multiple proposal data input
- Facilitate/create an efficient proposal routing & approval process



The Electronic Campus Approval Form

- PI Information
- Project Information
- Budget
- Cost Sharing
- PI Research Integrity
- Comments
- Approval Status
- Attachments



The screenshot shows the 'ATTACHMENTS' tab of the Electronic Campus Approval Form. It includes a navigation bar with tabs for OVERVIEW, PI INFORMATION, PROJECT INFORMATION, BUDGET, COST SHARING, PI RESEARCH INTEGRITY, COMMENTS, APPROVAL STATUS, and ATTACHMENTS. The main content area contains instructions for uploading documents and a form with three rows: 'Description of Document' with a text input field, 'Document Category' with a dropdown menu set to 'Proposal', and 'Select Document to Upload' with a text input field and a 'Browse...' button. Below the form is a table titled 'Uploaded Documents' with columns for Description, Document Category, Final, and Delete. One document is listed: 'Demo for Shylah' with a 'Proposal' category, 'No' for Final, and a delete icon.

Use this page to upload documents and attach them to your proposal (such as a cover page or budget). The uploaded documents will be available for viewing by each signer during the routing for electronic signature phase. Only PDF, EXCEL, MS Word and PureEdge files can be uploaded.

Instructions: Fill in the document description field. Then press the "Browse" button, and navigate to the location of the document on your hard drive. Then click "Save" to upload the document.

Description of Document	<input type="text"/>
Document Category	Proposal <input type="button" value="v"/>
Select Document to Upload	<input type="text"/> <input type="button" value="Browse..."/>

Uploaded Documents

Description	Document Category	Final	Delete
Demo for Shylah	Proposal	No	<input type="checkbox"/>

Departmental Routing

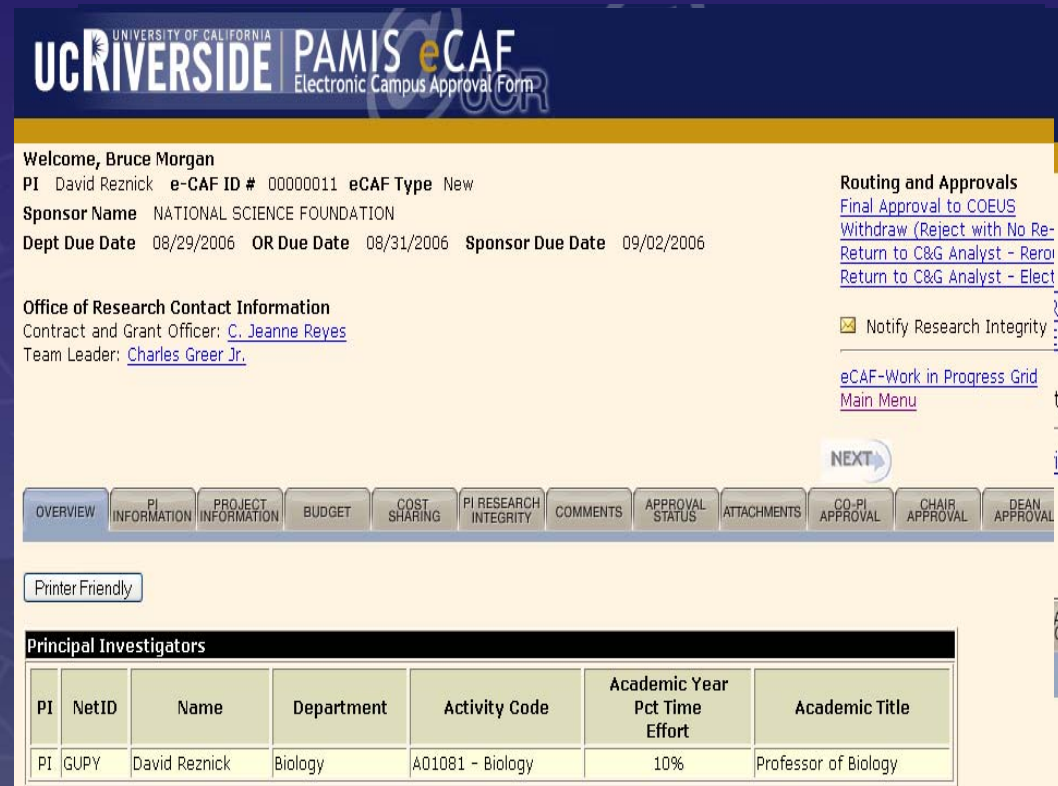
- C&G Analyst begins eCAF
- PI / Co-PI completes Research Integrity
- Chair(s) provide approval

College Routing

- Dean provides approval
Special Cases Only

Office of Research Routing

- eCAF received / processed in OR
- OR provides preliminary approval
- OR provides final approval which creates official proposal



The screenshot shows the UC Riverside PAMIS eCAF Electronic Campus Approval Form interface. The header includes the UC Riverside logo and the text "PAMIS eCAF Electronic Campus Approval Form". The main content area is divided into several sections:

- Welcome, Bruce Morgan**: A yellow banner at the top of the main content area.
- PI David Reznick e-CAF ID # 00000011 eCAF Type New**: A line of text providing user and form details.
- Sponsor Name NATIONAL SCIENCE FOUNDATION**: A line of text providing sponsor information.
- Dept Due Date 08/29/2006 OR Due Date 08/31/2006 Sponsor Due Date 09/02/2006**: A line of text providing due dates for different stages.
- Office of Research Contact Information**: A section with contact details for the Contract and Grant Officer (C. Jeanne Reyes) and Team Leader (Charles Greer Jr.).
- Routing and Approvals**: A section with links for "Final Approval to COEUS", "Withdraw (Reject with No Return to C&G Analyst - Rero)", and "Return to C&G Analyst - Elect".
- Notify Research Integrity**: A checkbox with a checked mark.
- eCAF-Work in Progress Grid**: A link to a grid view.
- Main Menu**: A link to the main menu.
- Navigation Buttons**: A row of buttons for "OVERVIEW", "PI INFORMATION", "PROJECT INFORMATION", "BUDGET", "COST SHARING", "PI RESEARCH INTEGRITY", "COMMENTS", "APPROVAL STATUS", "ATTACHMENTS", "CO-PI APPROVAL", "CHAIR APPROVAL", and "DEAN APPROVAL".
- Printer Friendly**: A button for printing the page.
- Principal Investigators**: A table listing the principal investigators.

PI	NetID	Name	Department	Activity Code	Academic Year Pct Time Effort	Academic Title
PI	GUPY	David Reznick	Biology	A01081 - Biology	10%	Professor of Biology

- Transparency
 - CGAs may view any eCAF under their ORG structure at any time using a variety of tools
 - View open eCAFs
 - Search for eCAFs
 - eCAF Summary Report
 - eCAF statistics
 - Campus summary report
 - Departments using eCAF

- eCAF User Support
 - eCAF Web Page and User Guides
 - ecaffeedback@ucr.edu
 - Staffed by several individuals with technical and administrative knowledge about the system
 - eCAF briefings for faculty and/or training for staff is available upon request
 - Contact Millie Garrison at x23006 or millie.garrison@ucr.edu
 - Contract and Grant Officer assigned to your unit

Agency Review

Presenter: Charles Greer

Agency Review

- Agency May Request Additional Documentation from Office of Research and/or the Principal Investigator
 - Revised Budget
 - Specific areas or items be cut
 - Reductions <10%
 - Reductions >10%
 - Current/Pending Support
 - Request updated information
 - Compliance Issue
 - Updated protocol approvals
 - Proof of project staff training

Agency Review

- **Review Completed**
 - Review comments provided to PI
 - Agency informs PI of final funding decision
 - **Denial letter**
 - **Informal notice that an award is forthcoming**
 - Office of Research normally does not receive a copy of the technical reviewers' comments and is generally not aware that an award is forthcoming until the award is received

Need a
Break?



Preaward Processing

Presenter: Charles Greer

Preaward

- Incurring costs prior to the official acceptance of an award:
 - Request for Preaward Expenditure form to OR with required signatures
 - Must have a FIRM COMMITMENT from the Sponsor
 - Maximum of 90 days
 - Marketing Boards - 180 days
 - Maximum of 25% of anticipated award
 - Marketing Boards - 50%

Preaward

- Incurring costs prior to the official acceptance of an award:
 - Establish a preaward budget through PAMIS
 - The preaward budget may not be exceeded without requesting additional approval
 - If the award is not received before preaward expires an extension should be requested

Preaward

- **Why is the Preaward Process Necessary?**
 - Department/Dean's Acknowledgement of Responsibility for Potential Losses
 - Limit Risk & Liability to University
 - Provides Overdraft Authorization
 - Unauthorized overdrafts increase the likelihood of negative audit findings, disallowances, and fines

Preaward

- **References**

- OMB Circular A-21, J.36-Preagreement Costs
- OMB Circular A-110, __.C25e(1)
- Federal Demonstration Partnership
- Campus Policy Number: 550-80

- **Preaward documentation**

- <http://ora.ucr.edu/home/Forms.aspx>

- **Form**

- Request for Approval to Incur Pre-Contract/Grant Expenditures

Preaward

- **Approval Processing**
 - Preaward form completed by the department/PI
 - FAU must be provided
 - Department Chair
 - Approval signature required
 - Provide assurance that department will “provide funding for any loss incurred as a consequence of the approval” of the request
 - Dean’s Office signature (if applicable)
 - Forward to OR

Preaward

- **OR Officer**
 - Checks form for accuracy (approvals & FAU are present)
 - Contact agency grants office for confirmation of FIRM COMMITMENT
 - Award approval
 - Project period and amount
 - Officer signs
- Forward to AVC Research for OR approval
- Forward to Extramural Accounting for processing and Fund #

Preaward

- Reasons Why a Preaward may be Delayed or not Approved
 - Unapproved Protocols (Animal, Human Subject & Biosafety)
 - Missing Conflict of Interest Disclosures
 - COI Disclosure under review by Committee
 - Missing FAU

Preaward

- Reasons Why a Preaward may be Delayed or not Approved (cont.)
 - Unable to obtain Firm Commitment
 - Department Chair and College Dean unwilling to take responsibility for potential losses - preaward should not be submitted to OR
 - Sponsor does not allow Preaward expenditures
 - Planned Preaward expenditures are unallowable
 - Sponsor has a track record of defaulting on commitments

Award Acceptance

Presenter: Charles Greer

Award Acceptance

- Factors that may delay or prevent acceptance of an award
 - Revised budgets
 - Unapproved Protocols (Animal, Human Subject & Biosafety)
 - Unresolved Conflict of Interest Issues
 - Unacceptable award terms and conditions
 - Non-standard reporting or documentation requirements

Award Acceptance

- Award terms and conditions reviewed for unacceptable/non-standard clauses
 - Rights in Data
 - Patent Rights
 - Publications
 - Indemnification
 - Invoicing
 - Export Control - Foreign Persons

Award Acceptance

- Only the Office of Research is authorized to officially accept awards from extramural funding sources for research, training and public service activities conducted at UCR
- Once the award has been accepted OR processes a Notice of Award for electronic distribution through PAMIS to Extramural Accounting, Principal Investigator, and Department.

Proposal and Award Management System (PAMIS)

Presenter: Charles Greer

PAMIS Process

- UCR's system for linking the pre-award (OR) and post-award (Accounting) administration of contracts and grants

Office of Research

- **Award Setup**

- Office of Research inputs award information into COEUS
- Issue the Notice of Award (NOA)
 - **Results in information moving from COEUS into PAMIS**
 - **Campus notified by email**
 - E-mail notification (PAMIS Notice of Award) sent to Accounting, PI and Department* that award has been processed
 - **Available PAMIS Award documents**
 - NOA, scanned Agency award & budget

* based on roles established within EACS

The background features a large, faint watermark of the University of California Riverside seal. The seal is circular and contains the text "UNIVERSITY OF CALIFORNIA" at the top and "RIVERSIDE" at the bottom. In the center, there is a star above a shield with a book and a lamp, and a banner below with the motto "LET THERE BE LIGHT".

Questions?