

University of California, Riverside  
Contract and Grant User Group  
December 12, 2007

I. eCAF Update

A. Enhancement

1. Reminder on submission times.
  - a. On the 'Create New Campus Approval Form' Screen - select New, Renewal, Supplement, or Continuation; designate the PI; select the Department/Unit; create.
  - b. OR Lead Time Statement: You will identify whether the proposal is standard or non-standard. There are links to the definitions and the C&G analyst staff assignments.
  - c. Your pop-up reminders from this point on will be based on this information.
  - d. Regular tab interfaces from this point on.

Question: If I indicate that my proposal was standard (3-days) and I have not completed it and I get a pop-up notice after 5 days, what happens?

Answer: The same thing that happens now, you get reminders; but the process still continues.

Question: What if I put standard; but it is actually a non-standard proposal?

Answer: The system will generate the reminders based on what you submitted. It won't know the difference.

Bruce mentioned that some people were having trouble uploading documents (Excel, Word, .pdf, etc.) into Pure Edge because Pure Edge saved the document using a slightly different extension; in other words .xsvl. Just change the extension to .xsv

Question: When will the new screen in eCAF take effect?

Answer: Should be sometime next week – December 17, 2007.

Question: I have a new PI; does he automatically have PI eligibility?

Answer: If he is in the PPS system and his appointment makes him eligible to submit proposals, then he is eligible.

Bruce has been receiving paper form for PI eligibility. The process should be as follows: SAA assigns the PI role, if the PI is not automatically eligible, an exception must be requested. The request should be processed through EACS according to the instructions that are provided with that system. After the request is submitted through EACS, OR receives the request through eCAF. The request is reviewed by the VCR and an approval decision is made. Once the approval decision is made, it is conveyed to the PI, CGA and SAA via eCAF and the role is changed as appropriate in EACS.

Question: I am having trouble uploading a word document. Once I converted it into a .pdf document I was able to upload.

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- Answer: It could be several things. What version of Microsoft Office are you using? Sometimes the newer versions aren't as good. Some are backward compatible. It could be virus. Have your IT guys take a look.
- Question: Will you ever have a 'resubmission' button available in eCAF?  
Answer: No, but we will have 'copy as new' as an option.
- Question: My agency only allows 10% IDC can I see that my C&G Officer (CGO) has requested the IDC waiver or has the IDC waiver number on any page in eCAF?  
Answer: No, you will not know if your CGO has requested an IDC waiver. When requesting a non-standard F&A cost rate, users should indicate whether a waiver exist to use the rate. In the case when no waiver exists or if it is not known that a waiver exists, the user should check the "waiver does not exist" box in eCAF. This will prompt them to complete a portion of the F&A waiver request form, which is then attached to eCAF and submitted to OR. OR works on the waiver request behind the scenes while the analyst and PI continue to work on the eCAF. Please contact your CGO for information about the status of the F&A waiver request. Whether the request is approved or denied, the analyst and PI are notified and the determination is reflected in the eCAF...

II. Office of Research Updates

- A. Request for exception to policy on eligibility to submit proposals.
  1. Draft Decision Tree Handout
  2. Draft Policy Handout
  3. Draft Request for Exception to Policy on Eligibility to Submit Proposals – new form
- B. In e-CAF a non-UCR Co-PI is for any non-UCR Co-PI who is **NOT** receiving funding. Any Co-PI who is not a UCR employee, but will receive funding, should be listed as a subcontractor.
- C. For Co-PIs outside of UCR, we need to secure the same certifications and representations that are applicable to our PIs, such as debarments, or other actions that would make them ineligible for receiving Federal funds.
- D. Not everyone is eligible to conduct research, so on the request form be certain you know which box to check. If you have questions, please contact your CGO or Bruce.
- E. With the Request for Exception Form scan a biosketch to OR. An actual biosketch, not a personnel form with home address or other personal

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information (i.e. social security number, cell phone number, home phone number, etc.).

Question: When the Request for Exception gets approved, how long does it stay in effect?

Answer: At the bottom of the form it indicates approval/not approved, and approval period – indefinite or an end date. It will be approved on a case-by-case basis. It will stay in place until the VCR rescinds it or they leave or the appointment ends. We are trying to minimize the need to submit renewal requests on an annual basis.

Question: I have a non-UC Co-PI who is also non-academic.

Answer: Under policy this will also need a Request for Exception form. The VCR will look at the qualifications and experience relative to the project. It might be beneficial to know why the person is being asked to be the Co-PI. “Why doesn’t the person have a non-salary appointment with the University?”

Bruce is working with the VCR to have a separate section on the web site for research policy. This will be first priority in January 2008.

Proposal applications to NIH currently have a 5 business day window to correct errors. As of January 8, 2008, this will be reduced to 2 business days. NIH will probably do away with that window as well. Take note of errors and learn from them to eliminate repeating them in the future. There is no software that we have to catch the errors.

III. Accounting Updates. None

IV. Users Group Requested Topics. None

V. User Group Session

- A. ERS training. Sharon Shanahan offered to repeat the training. Sharon will ask to have it put on agenda for a future meeting.
- B. ERS listserv request. Currently upgrades, updates, news, etc. is not being disseminated to all ERS users. Can this information be put on iViews in the News or Highlights section? Can a listserv be generated from the C&G User group listserv?
- C. One of the members will bring a sample of a PPS download that contains a macro that she uses to upload all PPS information into her ERS statement.

December 11 Handouts;

- DRAFT Implementation to UC Policy on the Eligibility to Submit Extramural Proposals

Next scheduled meeting January 8, 2008 beginning at 2:30 PM – PLEASE NOTE TIME

# DRAFT

## Research Policy

### Implementation of UC Policy on the Eligibility to Submit Extramural Proposals

University of California, Riverside

#### References

- University of California Faculty Handbook, Research Section, Extramural Funding Subsection
- University of California, Contract and Grant Manual, Chapter 1-500

#### Background and Purpose

The University of California, Riverside is an institution of higher education with a robust and diverse research enterprise that is predominately funded through sponsored awards provided by external sponsors.

The purpose of this policy is to address the campus implementation of University of California policy by defining and clarifying who may submit extramural proposals to solicit sponsored awards and lead sponsored programs at UC Riverside.

#### Applicability and Effective Date

This policy implementation rescinds and supplants all previous policy implementations, is applicable to all extramural proposals and awards for sponsored programs, and is effective insert date.

#### Definitions

**Principal Investigator** means a UCR employee who is eligible (per UC policy or by an approved policy exception) to submit extramural proposals and who has primary responsibility for the design, conduct, management and reporting of a research, training or public service project, and who will be/is involved in the project in a significant manner. The title **Program Director** is generally used to denote the Principal Investigator of a training or public service project. Similarly, the titles **UCR Co-Program Director**, **UC Co-Program Director** and **Non-UC Co-Program Director** may be used to denote an individual's role in a UCR training or public service project, consistent with the definitions noted below.

**UCR Co-Principal Investigator** means a UCR employee who is eligible (per UC policy or by an approved policy exception) to submit extramural proposals and who has responsibility for the design, conduct, management and reporting of a research, training or public service project, and who will be/is involved in the project in a significant manner.

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**UC Co-Principal Investigator** means a University of California employee who is eligible (per UC policy or by an approved policy exception) to submit extramural proposals and lead sponsored programs at their home campus/office/location, who has responsibility for the design, conduct, management and reporting of a UCR research, training or public service project, and who will be/is involved in the project in a significant manner.

**Non-UC Co-PI** means an employee of a non-University of California academic institution who is eligible (per the individual's institutional policy or by an approved policy exception) to submit extramural proposals and lead sponsored programs at their home institution, who has responsibility for the design, conduct, management and reporting of a UCR research, training or public service project, and who will be/is involved in the project in a significant manner.

## Policy Statement

A project may be proposed and led by one or more eligible academic appointees who will personally participate in the project in a significant manner in the role(s) of Principal Investigator, UCR Co-Principal Investigator, UC Co-Principal Investigator, or Non-UC Co-Principal Investigator.

When a proposed project involves more than one investigator with an eligible academic appointment, the investigators will collectively determine which of them will serve as the primary individual responsible for the conduct, administration and financial management of the project, and that individual will be recognized by UCR as the Principal Investigator. UCR will recognize the other investigators as UCR Co-Principal Investigators, UC Co-Principal Investigators or Non-UC Co-Principal Investigators.

Some extramural sponsors make awards that recognize multiple principal investigators. In such cases, Principal Investigators and UCR Co-Principal Investigators may be named in a proposal as principal investigator, as that term is defined in the sponsor's policy. Each investigator so listed must satisfy the eligibility criteria contained in both the sponsor's and UC's policy. UC Co-Principal Investigators and Non-UC Co-Principal Investigators may also be named in a proposal as principal investigator or co-principal investigator, as those terms are defined in sponsor policy, provided:

- i) that each investigator so listed satisfies the eligibility criteria contained in both the sponsor's and UC's policy (or their home institution policy, as applicable);
- ii) that their eligibility is verified by their home UC location or home institution; and
- iii) each UC Co-Principal Investigator and Non-UC Co-Principal Investigator named in a proposal as a principal investigator or co-principal investigator completes the same campus and sponsor certifications, representations and assurances as those required of Principal Investigators and UCR Co-Principal Investigators.

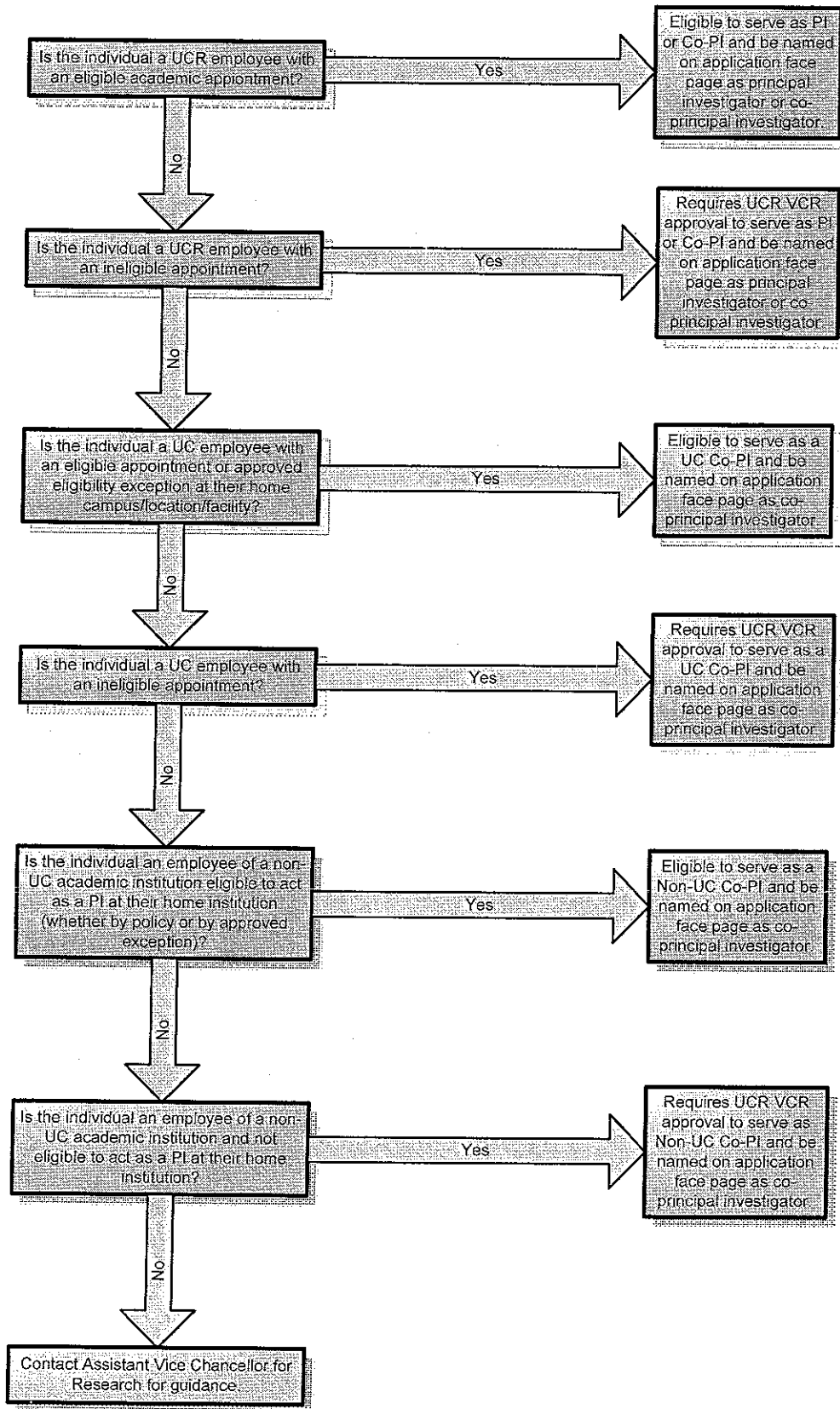
When a sponsor's policy regarding eligibility to submit proposals is not congruent with UCR or UC policy, decisions relating to any matters resulting from conflicts between the policies shall be made by the Vice Chancellor for Research or his/her designate.

# DRAFT

When an investigator is not eligible to submit extramural proposals and lead sponsored programs at UCR, their home UC location or their home institution, such individuals may serve as Principal Investigator, UCR Co-Principal Investigator, UC Co-Principal Investigator, or Non-UC Co-Principal Investigator (consistent with the above definitions) upon the approval of UCR's Vice Chancellor for Research. The Request for Exception to Policy on Eligibility to Submit Proposals form is to be used to submit such requests.

If an individual's primary employment is with an entity other than UCR, but the individual holds a UCR academic appointment (paid or unpaid), the individual will first be evaluated for eligibility to submit extramural proposals, or considered for an eligibility exception, as a UCR employee. If an individual's UCR academic appointment does not make them eligible to submit extramural proposals, then their appointment at their home institution will be used.

# Eligibility to Submit Proposals Decision Tree



**DRAFT**

## REQUEST FOR EXCEPTION TO POLICY ON ELIGIBILITY TO SUBMIT PROPOSALS

**APPLICANT INFORMATION** - Please attach a current biosketch (3 pages maximum) that includes information about the applicant's current employment appointment and home department/unit or UC campus/office/division/facility or home institution, as applicable.

**Last Name:**

**First Name:**

**Middle Initial:**

**Request:**     Principal Investigator/UCR Co-Principal Investigator     UC Co-Principal Investigator  
                   Non-UC Co-Principal Investigator

**Please select the proposal type(s) that the applicant plans to submit:**

Basic Research     Applied Research     Developmental Research     Other Research  
 Training             Public Service             Other Service             Equipment  
 Other (Please describe):

**Is the applicant a student?** If Yes, please provide the name of the UCR faculty member who will have overall responsibility for the project or program:

### SIGNATURES AND APPROVALS

#### Applicant

By signing this request, I understand and confirm (as applicable) that approval of this exception to policy neither implies that UCR or UC will extend or increase my current appointment period nor does it create an obligation to do so; and that this request has been submitted through my home department/unit. In addition, by signing this request, I certify that I will lead, conduct and participate in UCR's sponsored programs with integrity; and that I will comply with sponsored award terms and conditions, all applicable federal laws and regulations, state statutes and codes, and UC/UCR policies and procedures regarding research and sponsored programs.

\_\_\_\_\_  
Applicant Signature

\_\_\_\_\_  
Date

#### Department Chair / Research Unit and Center Directors

By signing this request, I certify that:

- this request is in the best interest of the department/unit and its academic and research programs and plans; and
- that in the event the applicant is no longer able or willing to participate in UCR research programs, the department/unit will collaborate with the Office of Research to appoint a qualified individual as a replacement or resolve the matter consistent with sponsored programs award terms and conditions and UC/UCR policy.

\_\_\_\_\_  
Chair/Director Signature

\_\_\_\_\_  
Date

#### Vice Chancellor for Research

Approved            Approval Period:  Indefinite    End Date: \_\_\_\_\_  
 Not Approved

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

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