

UNIVERSITY OF CALIFORNIA, RIVERSIDE

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To: UCR Research Community
PIs, Co-PIs, Deans, Department Chairs, Center/Institute Directors,
Unit C&G Analysts, SAM Group Members

From: Charles F. Louis
Vice Chancellor for Research

Re: Lead times for the submission of sponsored proposals to the Office of
Research for review and approval

It is important for Principal investigators to be assured that the Office of Research guarantees that all proposals submitted to the Office of Research in a timely manner will be processed and transmitted to agencies on time. For the Office of Research to provide this guarantee to all investigators, it is essential to establish specific amounts of lead time to allow the required steps of approval for all types of proposals. *The campus policy on proposal lead times has not changed in more than 10 years;* however, more and more proposals are being submitted later than the established lead times, often within a few hours of the agency deadlines. New submission methods (e.g., electronic forms and systems) and new layers of agency requirements have made it impossible to effectively manage the number of proposals appearing in the Office of Research within less than 72 hours of agency deadlines. Therefore, it is necessary to remind all investigators of the long-standing campus policies regarding required lead times for all proposals submitted to the Office of Research.

UC POLICY REGARDING PROPOSAL SUBMISSION

UCR employees who receive any part of their salary through the University of California, or whose activities use any University of California resources or facilities, per UC policy are required to submit all proposals requesting extramural support to the Office of Research in a timely manner for review and approval (UC Operating Guidance No. 95-1).

WHEN TO SUBMIT TO THE OFFICE OF RESEARCH

(See the following section for definitions of Standard and Non-Standard Proposals.)

The Office of Research guarantees that it will complete all required reviews and approvals and that proposals are available for submission in time to meet the sponsor due date/time when proposals are received by the Office of Research with the following lead times:

1. **Standard Proposal Lead Time** – three (3) full business days prior to the sponsor due date*.
2. **Non-standard Proposal Lead Time** – a **minimum** of seven (7) full business days prior to the sponsor due date**.

If proposals are submitted after these lead times, the Office of Research will complete their review and approval **after** all other proposals complying with the required lead times have been reviewed and approved.

* The Sponsor Due Date is the date the proposal is due at the sponsor, or if electronic submission, the time on the date that the proposal is to be electronically submitted.

**Principal Investigators are strongly encouraged to start working with their unit administrator and Office of Research at least one month prior to the sponsor due date for Non-Standard proposals. This will ensure that the Office of Research can assist the unit with terms, conditions, budgets, etc. that require review and approval by offices external to UCR.

PROPOSAL TYPES

1. **Standard proposals** – New, continuing or renewal proposals to:

1. U.S. federal government departments, agencies and entities; State of California departments and agencies; University of California entities, including UC-managed DOE labs; U.S. institutions of higher education, or U.S. non-profit sponsors (e.g., foundations, charitable trusts, etc.); and
2. Where the resulting award will be a grant, cooperative agreement or subaward; and
3. Do not involve any of the elements of a non-standard proposal.

2. **Non-Standard proposals** – New, continuing or renewal proposals that involve any of the following:

1. 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.

2. A Request for Proposals, Request for Quotes or any other solicitation stating that the resulting award may be, or will be, a contract and where the submission of a proposal indicates acceptance of the award terms and conditions contained in the solicitation.
3. A sponsor's requirement to submit an intellectual property management plan; laboratory safety plan; or any other set of plans that would require coordination with other UCR administrative offices;
4. One or more subawards to entities outside of UCR;
5. Construction, alterations/renovations of existing space, special space requirements (e.g., renting or leasing space off-campus, approval to access non-UCR facilities);
6. Institutional cost sharing requests of \$250,000 or more.
7. Any institutional commitment that requires or necessitates the approval of the Dean, Vice Chancellor for Research, Executive Vice Chancellor and Provost, or the Chancellor.
8. Use of non-standard Facilities and Administrative (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;
9. Total direct costs of more than \$5 million per year requested from the sponsor.
10. Proposals to establish a new center or institute on the campus.
11. Programs/projects involving a consortium of participants (e.g., other universities and/or for-profit entities)

WHAT TO SUBMIT TO THE OFFICE OF RESEARCH

When submitting a proposal for review, the following forms/information must be provided for the Office of Research to start its review and approval process:

1. Campus Approval Form (completed and signed)
2. Either a draft or final version of the proposal Experimental Plan/Work Plan
3. Proposal forms/information:
 - a. The face page and any other pages that require the signature of an institutional official (e.g., representations and certifications)
 - b. Proposal Abstract – this can be in draft form
 - c. The budget for all years of the proposed work plus budget detail if this is required by the sponsor, and the budget justification; these should be the final versions intended to be submitted to the sponsor.

- d. Facilities or resources page/information, if required by the sponsor
 - e. Commitment letters if the proposal involves cost sharing or consultants
 - f. Subcontract proposals (scope of work, budget, justification) and commitment letters, if applicable
4. A copy of the sponsor's proposal announcement if the sponsor has any non-standard terms, conditions, F&A, cost sharing or other requirements.

cc: Bruce Morgan