Overview

This tip sheet provides an overview of the Kuali Proposal Development (PD) module, offering definitions and guidance for institutional review of a PD. These guidelines are not intended to address every situation that may arise. Thus, RED Officers are expected to remain flexible, within reason, to facilitate the submission of PD's and to ensure institutional compliance.

Reviewing the Proposal Development

Prior to beginning the PD review, RED Officers should review the sponsor's guidelines (e.g., program announcement, requests of application, sponsor's application instructions, etc.) for the following:

- Verify institutional eligibility.

- Determine if UCR must submit certifications, assurances, or representations.

- Identify issues related to institutional commitments or concerns including, but not limited to:

    o Cost sharing requirement and/or policy.

    o Special institutional or regulatory approvals (e.g., approved IRB or IACUC protocol to be provided at proposal submission; Intellectual Property Plan, etc.)

    o F&A rate limitations

    o Special commitments or requirements that affect the whole institution (e.g., limited number of submissions, ambiguous language with the potential to infringe upon faculty academic freedoms, etc.)

    o Construction and/or renovation (review and evaluation of costs need to be confirmed with Planning, Design & Construction (PD&C) prior to submission).

- Determine if the sponsor's policies are consistent with UC's and UCR's governing principles, policies, and practices by reviewing proposed award terms and conditions (if available). Special areas of concern include, but are not limited to:
    o Patent rights
    o Copyrights
    o Ownership of records and data use rights
    o Publication restrictions (e.g., length of publication delay, sponsor approval and/or editorial rights)
    o Use and protection of confidential or proprietary information

Upon review of the sponsor's policies, determine if any noted concerns or issues need to be addressed with the sponsor at the time of PD submission (e.g., identify the issues or reserve a right to negotiate via a PD cover letter).

> ➢ *Publication restrictions, foreign national restrictions, citizenship requirements, performance of work that is not considered 'basic research' or 'applied research' in science or engineering, performance of classified work, receipt of Controlled Unclassified Information (CUI) or Controlled Unclassified Technology (CTI), or any other issue that would threaten or remove the fundamental research 'safe harbor' exemption under U.S. export control laws are all problematic terms that will require the RED Officer to consult with their supervisor to discuss next steps on how to proceed with the review of the PD.*

Determine if the PD is subject to review by the State Clearinghouse under Presidential Executive Order 12372. This review requirement is usually listed on the application cover page or in the program announcement, otherwise the RED Officer can go to the following website: http://cfda.opr.ca.gov. In the event the Assistance Listing number is not listed in the drop-down menu, no further action is needed. If it is listed, the RED Officer will need to fill out the online form, attach the signed SF424 and submit. Once submitted, an email confirmation will be provided to the RED Officer stating that a request has been sent to the State for review. The Clearinghouse will advise within 30 days whether the review requirement has been met. (For background information related to this review requirement, see UC Contract and Grant Manual Chapter 2, Section 2-584).

Intergovernmental Review of Federal Programs | OPR Home | Submissions | Registration | Login

State, federal, and local agencies must comply with all applicable statutory and regulatory requirements related to the Americans with Disabilities Act for documents posted and made available on internet websites (OPR Accessibility).

Applicant ↑↓	SF-424 Form ↑↓	Federal Agency ↑↓	CFDA Number ↑↓	City/Town ↑↓	County ↑↓	Assembly District ↑↓	Senate District ↑↓	Project Start Date ↑↓	Project End Date ↑↓	Date Received ↓
The Regents of the University of California, Riverside	Hoddle_SF424_signed. pdf	Animal and Plant Health Inspection Services	10.025	Riverside	Riverside	40	23	9/30/2024	9/26/2025	7/18/2024

> ✦ *NOTE: The email confirmation will not reference a specific proposal. Therefore, it is important to save the SF424 with the PI's name and PD number in the file name so that it can be easily identified on the State Clearinghouse website. When the confirmation email is received, it should be uploaded to the PD/Institutional Proposal (IP) in the event sponsor requests evidence of the submission.*

Getting Started

After you log into Kuali Research, you will see the Dashboard Home page. There are several sections called 'cards' – Proposals routing to me, Proposals not routing, Institutional Proposals work in progress, Proposal workload assignments (among others) – This Tip Sheet will focus on Proposal workload assignments.

> ➤ *If after logging into Kuali Research and you do not see the cards, click on the square icon in the left margin to access the **Dashboard** page (as shown below).*

Scroll down to Proposal workload assignments at the bottom of the page. There you will find a list of PDs that have been assigned among the RED Officer approvers.

This card shows each PD after it has been submitted into routing by the Initiator (also referred to as the Aggregator) for approval.

The "Current Request(s)" column shows who the current primary approver is (such as the Principal Investigator, All Personnel, Department, Department Approvers, Dean's Office Approvers, or RED

Officer Approvers). Prior to initiating the review of the PD, ensure that the RED Officer Approver is listed under the Current Request(s) column. This ensures all internal approvals have been obtained and the RED Officer is now authorized to proceed with their review of the PD. If the PD is ready for review but not yet at this stage in the approval process, the RED Officer should alert the Initiator and request that they reach out to the pending approvers to ensure the final PD is approved by the campus approvers at least two (2) full business days prior to the Sponsor's deadline.

In the event the final PD is received in RED less than two (2) full business days from the sponsor's deadline, or after the sponsor's deadline has passed (i.e., after-the-fact), the RED Officer will remind the PI/Initiator of the Two-Day Rule and the need for the PI to submit a justification addressing the reason why the PD could not be timely routed to RED, through the RED Officer, to request exceptional approval from Sr. RED Management. If the justification is received, the RED Officer will email the justification to the Associate Vice Chancellor for Research and Compliance (AVC) or the AVC's designee, to seek approval to proceed. The RED Officer may only proceed once this approval is received. (The RED Officer should exercise discretion to avoid jeopardizing the submission of the proposal and should consider the sponsor's deadline when awaiting feedback from the AVC/AVC designee.)

To initiate the PD review, click on the proposal number to view the record. (Note: Upon selecting a PD for review, it will automatically open the **Summary/Submit** tab of the proposal, as seen below.)

Proposal workload assignments									▼ Filter
Proposal Number	Principal Investigator	Sponsor	Lead Unit	Title	↓ Due Date	Last Action	Current Request(s)	Assigned Approver	
#1163	Zachariah, Michael R	NATIONAL SCIENCE FOUNDATION	D01005	Tunable Control of Bimetal Alloys from Geo-Inspired Perovskite Oxides	03/01/2024	02/29/2024 1:12 PM	RED Officer Approvers	Sissac, Victoria	
#1154	Barth, Matthew J	UC DAVIS	D01007	National Center for Sustainable Transportation	03/01/2024	03/01/2024 2:04 PM	All Personnel	Prins, Ursula N	
#1110	Men, Yujie	AUBURN UNIVERSITY	D01005	Abiotic and Biotic Aging of Microplastics Mediates Precursor Transformation and PFAA Transport at AFFF-Impacted DoD Sites	03/01/2024	02/27/2024 4:00 PM	RED Officer Approvers	Sissac, Victoria	
#1161	Abdulrazak, Khaleel	UNIVERSITY OF TEXAS SOUTHWESTERN MEDICAL CENTER	D01030	Sex-specific mechanisms of cortical circuit dysfunction in a mouse ASD model	03/01/2024	03/12/2024 10:05 PM	D01030 - Psychology Approvers	Prins, Ursula N	

Before we begin, below is an overview of each of the tabs and the PD information included therein.

Basics - collects basic proposal details, delivery information, sponsor and program details, and organizations and performance locations.

Key Personnel - captures information for the Principal Investigator (PI), Co-Investigators (Co-Is), and Key Personnel.

Attachments – includes five (5) Attachment types for different aspects of the proposal, such as: Proposal (S2S submissions), Personnel (biosketch and current & pending support), Abstract (text block entries for S2S), Internal (internal use documents not utilized for S2S), and Notes (internal notes to the RED Officer).

Questionnaire - internal questions regarding Proposal Deadlines and UCR Proposal Questions focusing on questions

	such as: Intellectual Property, Research Security Controls, research specific questions, Research Integrity reviews, and Proposal Information pertinent to a RED Officers review. *(S2S information coming soon).*
	Compliance – captures relevant research compliance related information that is relevant to the project (e.g., proposals that include the use of human participants in research).
	Budget - displays the list of budget versions created for the proposal. Only a summary budget is required currently, which includes total direct costs, F&A costs, and cost-share, if applicable. (*S2S information coming soon*).
	Access - used to grant proposal specific rights and permissions provided by the Initiator.
	Summary/Submit - shows current PD status, provides a series of tabs with information across the entire proposal for easier review and includes action buttons based on the user's role in the PD.
	Notifications History - tracks system triggered notifications.

The Summary/Submit tab provides a series of tabs with information across the entire PD and allows the RED Officer to review the PD from a single access point. The Summary/Submit tab includes the following: Proposal Summary, Personnel, Compliance, Attachments, Questionnaire, Keywords and Budget Summary.

Proposal Summary

Field Name	Definition/Use
Title	This is the project title determined by the Principal Investigator (PI). Ensure that this title matches the title included in the proposal being submitted to the sponsor when utilizing a third-party system (e.g., Research.gov, ProposalCentral, etc.). In the event the title has changed since the PD arrived in the RED Officers queue, the title can be updated utilizing 'Data Override'.
Principal Investigator	The lead investigator responsible for the design, conduct and reporting of the project.
Lead Unit	Unit number and name of department. The Lead Unit is the administering department for the Proposal and will assume primary responsibility for administration of the proposal should it be funded.
Proposal Type	The type of proposal being reviewed. In the event the Initiator selects the incorrect Proposal Type, this can be corrected by the RED Officer by utilizing the 'Data Override' and selecting the correct Proposal Type.
	Pre Proposal - a preliminary proposal required by a sponsor prior to the full proposal submission and is required to be reviewed by RED (i.e., pre-proposal or letter of intent must be submitted by the RED Officer and/or the submission requires a budget).
	New - a proposal that has not previously been submitted to a Sponsor by UCR or which was submitted to another institution and is being transferred to UCR.
	New - Change/Corrected - a new proposal (already approved) which requires changes or corrections to be resubmitted to the Sponsor.
	Renewal - A renewal proposal is a competitively reviewed proposal that requests additional funds to extend a project beyond the current project period/competitive segment.
	Renewal - Changed/Corrected – A renewal proposal already approved which requires changes or corrections to be resubmitted to the Sponsor.
	Resubmission - A resubmission proposal is a proposal that was not selected for funding by the sponsor that has been modified following initial review and is being resubmitted for consideration.
	Resubmission – Changed/Corrected – A resubmission proposal already approved which requires changes or corrections to be resubmitted to the Sponsor.
	Supplement/Revision – A supplement/revision proposal is a proposal that requests additional funding to a currently funded award during an approved project period.
	Supplement – Changed/Corrected - A supplement/revision proposal already approved which requires changes or corrections to be resubmitted the Sponsor.

	Budget/SOW Update – This proposal type is used to modify an existing budget, update a proposal's SOW, or reflect a change in the F&A rate. It is most commonly utilized when a Sponsor provides additional funding above the amount requested in the initial submission. *Note: this option is not necessary if the sponsor has awarded funds less than originally requested.*
	Continuation (non-competing) - A non-competing continuation proposal that conveys the next budget increment* for a multiyear award, and such award does not result from a competitive peer review. *Note: The next budget increment may fall within the current budget period (where increments are issued more frequently than annually) or may fall in the next budget period.
	Other – Use this type only if the proposal does not align with any other category (e.g., change in PI, change in administering unit, etc.).
Activity Type	**Basic Research:** research directed toward more complete knowledge of a particular subject without regard to application.
	Applied Research: research that attempts to exploit scientific discoveries or improvements in technology, materials, processes, devices, or techniques.
	Developmental: systematic use of scientific and technical knowledge in the design, development, testing or evaluation of a potential new product or service.
	Training: this code is to be used for training activity, which may include, but not be limited to, training of graduate students, undergraduate students, or post docs.
	Instruction: this code is to be used for course development, course enhancements, or similar activities associated with teaching and courses.
	Scholarships/**Fellowship:** research activity that includes fellowships or support for dissertations.
	Unfunded Agreement: this code is only to be used when inputting unfunded research collaboration agreements, a memorandum of understanding (MOU), or a Data Use Agreement (DUA) when Department Chair approval is required for possible cost-sharing commitments.
	Confidential Disclosure Agreement: this code is only to be used when inputting confidential disclosure agreements (also known as non-disclosure agreements).
	Clinical Trial: the controlled, clinical testing in human subjects of investigational new drugs, devices, treatments or diagnostics, or comparisons of approved drugs, devices, treatments, or diagnostics, to assess their safety, efficacy, benefits, costs, adverse reactions, and/or outcomes.
	Other Research: research activity consisting of symposia, conferences, or travel.
	Public Service: in the context of sponsored projects, public service activity means externally sponsored projects where the sponsor desires to have the University provide the benefits of scholarly or professional training or services to individuals or sponsor designated recipient groups which are external to the University. The principal characteristic of public service is that individuals and groups external to the University are the intended beneficiaries.

	Other Service (Surveys, Evaluations): Other sponsored activities and services (rather than research) that the University provides or makes available which do not fit within the categories of Training or Public Service. **Equipment:** this code is to be used for awards whose purpose is the acquisition of equipment. ***Other – No Other Code Applies:*** *activities that cannot be classified by one of the above categories.* ⬥*NOTE: The activity type, combined with the on/off campus designation, is the basis for the applicable Facilities & Administrative Rate (F&A) that will be assessed for the project. It is important to ensure that the most appropriate Activity Type is captured to ensure accuracy in assessing F&A. If the Activity Type is not correct, the RED Officer can revise it utilizing 'Data Override'.*
Proposal Number	The Kuali Research assigned PD number.
Project Start Date	The requested start date of the project. The RED Officer should ensure this is consistent with the solicitation and/or any documentation/Sponsor policies.
Project End Date	The requested end date of the project. The RED Officer should ensure this is consistent with the solicitation and/or any documentation/ Sponsor policies.
Include Subaward(s)?	This field confirms if subaward(s) are included in the PD.
Sponsor Name	The name of the sponsor to which UCR is submitting. **NOTE:** *9850 Misc. Sponsor Code may only be utilized by the Initiator when a sponsor code does not exist in REMS.* The RED Officer will need to confirm if a sponsor code will need to be requested. If a sponsor code exists, the RED Officer should make note of the sponsor code (as no search feature exists in the Data Override). RED Officer can then make the correction by utilizing the 'Data Override' and inputting the correct sponsor code.
Prime Sponsor Name	If UCR is a subrecipient, the entity where the funding originated from is who should be listed as the Prime Sponsor. **NOTE**: *9850 Misc. Sponsor Code may only be utilized by the Initiator when a sponsor code does not exist in REMS.* When the sponsor code is 9850, the RED Officer will perform a search in REMS to confirm if a sponsor code already exists or one will need to be requested. If a sponsor code exists, the RED Officer should make note of the sponsor code (as no search feature exists in the Data Override). RED Officer can then make the correction by utilizing the 'Data Override' and inputting the correct sponsor code.
RED Deadline Date	The date the PD is due in RED, two business days prior to the Sponsor's deadline submission day and time.
RED Deadline Type	This indicates if the RED Deadline Date is a "Hard Deadline" mandated by the Sponsor or "Target Deadline" where the Sponsor provides a submission window of greater than one day.

To Perform a Data Override

The Data Override option is available in the top header of the PD ✐ Data Override

Once clicked it will bring up a popup window for a RED Officer to select from the Field to Edit to choose the configured field the RED Officer wishes to correct. Note: The Data Override does not provide the option to amend budget information (e.g., F&A rate type or rate).
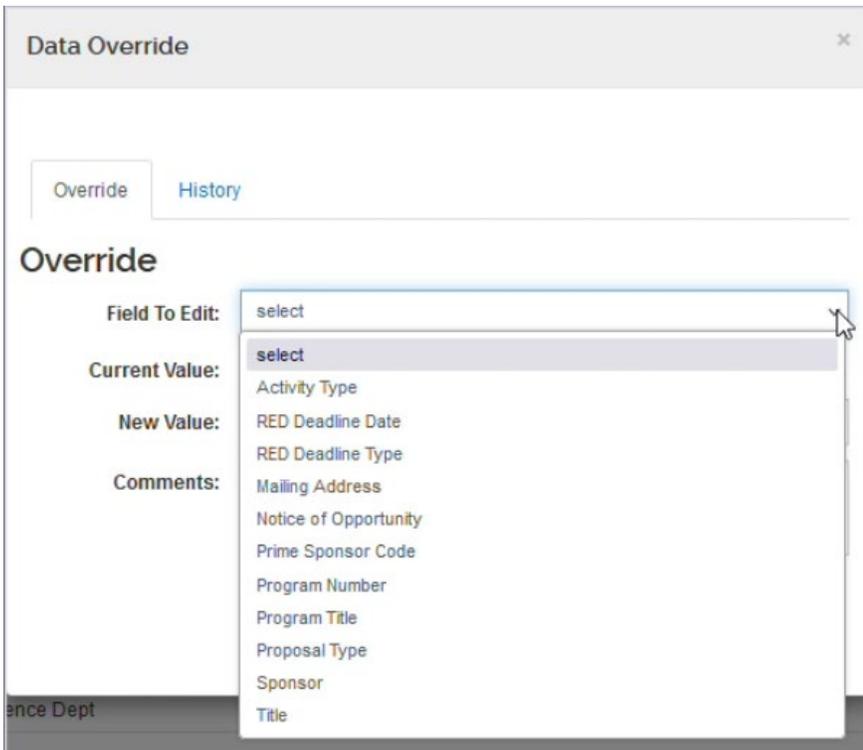
Once selected, it will prefill the existing entry from the PD (if there is one) in the Current Value field. You can then update via the New Value field; depending on how the field is configured this could be a dropdown or manual entry. You can then add additional notations on the change in the Comments field.

When you click the 'Create Override' button it will give you the option to send a notification regarding the update to desired recipients; the Initiator is the default recipient. Once a Data Override action has been performed on a PD the pencil icon beside Data Override in the proposal toolbar will be orange instead of gray.

Any override(s) performed can be seen by the Initiator as an information box is presented with the notice that a data override action has occurred. The RED Officer can see all changes made by clicking on the Data Override History tab.

While the Proposal Summary tab provides much of the information needed to conduct a review of the PD, the Basics tab is also necessary as additional information is provided that is not covered elsewhere. To view, navigate to the Basics tab.

Basics

Proposal Details: This subtab includes the Proposal Type, Lead Unit, Activity Type, Project Dates, Project Title, Sponsor Name including Sponsor Code, Prime Sponsor Code and Keywords. This information is provided in other tabs of the PD but is useful for confirming the Sponsor and Prime Sponsor codes, when needed.

Delivery Info:

Submission By	Describes which party is responsible for physically submitting the authorized proposal to the sponsor. This will either reflect "RED" or "Department."
Submission Description	Optional field for explanatory information about the delivery. This is an open field that allows the Initiator to specify special proposal submission requirements, such as: a) Electronic Submission through Sponsor website. b) Specify if the proposal is due by a specific time/time zone (which may also be included in the Questionnaire, Proposal Deadlines). c) Original signature required for a paper submission. RED Officers should review this section to determine how and when the proposal needs to be submitted to the Sponsor and coordinate accordingly with the Initiator and PI.

Sponsor and Program Information: This subtab includes information relevant for S2S submissions. Additional information will be provided once S2S is live.

Organizations & Locations:

Applicant Organization	This tab auto populates with UCR's official address and includes UCR's Congressional District. The Initiator has the ability to add additional Congressional Districts to the PD, if necessary. *(S2S information coming soon)*
Performing Organization	This tab auto populates with UCR's official address and should not be changed
Performance Site Locations	The Performance Site Location is the name assigned to the place(s) where the project is being performed, internal or external to UCR. This field is synonymous with "project site" or "performing site."
	↓ *This tab is **NOT** for subawardees. If the RED Officer notes that the subrecipient is added here, they will need to return the PD for correction.*
Other Organizations	This tab is used to name other performing organizations; collaborating institutions and subaward/subcontract locations where the project will take place. Each organization needs to be entered separately by the Initiator. If the Initiator has advised their RED Officer that they are unsuccessful at locating the applicable organization to add, the RED Officer should reach out to the Subawards Team at **subawards@ucr.edu** to request that the subrecipient be added. Information that must be included in the request is full name of subrecipient, address and website at a minimum.

Personnel

The personnel section shows all Key Persons included in a PD.

Verify that the PI(s), Co-Investigator(s), and Key Personnel included in the proposal/budget are included under the Personnel tab. If a Key Person is not included, the PD will need to be returned to the Initiator for edits. The following roles are available to the Initiator: PI/Multiple, Co-Investigator, and Key Person. When the 'Key Person' role is selected, the Initiator must specify the Key Person's role. Once the PD has been put into routing, the PI will complete all required certifications for the overall proposal, and each Key Person will provide their respective approval(s).

> 🔸 *NOTE: For NIH proposal submissions that list multiple PD/PI's, the PI/Multiple will be utilized for all PD/PI's listed in the proposal. For NIH Fellowships, such as F31 and F32 submissions, the Fellow must be included as Key Personnel (to capture COI disclosure) and Fellow should be used as the Role. Non-UCR personnel should not be included – if included the PD will need to be returned to the Initiator to remove.*

Compliance

The compliance tab is where the regulatory approvals necessary to conduct the research are captured, as seen below. The snapshot provided below indicates that human subjects research will be conducted.

The Initiator inputs the relevant regulatory approvals based on the responses provided by the PI under the Questionnaire tab. To confirm that all regulatory approvals have been included, the RED Officer will now navigate to the Questionnaire tab and select the UCR Proposal Questions tab.
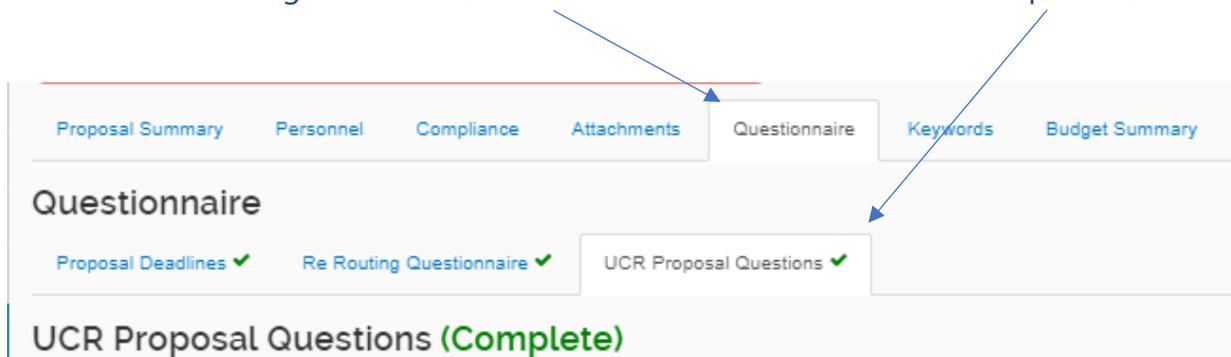
Scroll about halfway down the page to the Environmental Health and Safety and Research Integrity Committee Approvals section of the questions. As indicated below by the PI and circled in 'red', the project will include Human Subjects Research. This indicates that the Compliance tab has been accurately completed and will not require the PD to be returned to the Initiator for correction.

➕ *NOTE: The options available to the Initiator are Animal Usage, Human Subjects, Biohazard Materials, Radioactive Isotopes, International Programs, Recombinant DNA and Human Pluripotent Cells (SCRO).*

Attachments

The Attachments tab includes multiple sub tabs (e.g., Proposal, Personnel, Abstracts, Internal and Notes). Currently, only the Internal and Notes tab are being utilized; Proposal, Personnel and Abstracts are tied to Kuali S2S submissions. Here you can view attachments that have been uploaded by the Initiator for this PD. The Internal attachments tab includes all the relevant documents to be reviewed for the PD. For Cayuse submissions, only the Proposal Announcement Guidelines, Internal Budget, and Budget Justification are required. If the proposal includes subrecipients, the following attachments must be uploaded for each subrecipient: Letter of Institutional Approval, Budget, Budget justification, and Scope of Work.

The Internal tab may contain documents or forms required to be completed by the RED Officer. When unsigned or incomplete documents or forms are attached, the RED Officer will need to download the file, by selecting the file name. In the event of an email submission, the RED Officer can click the [Download All] button and a zip file will appear with all files.

Once downloaded, the RED Officer will complete the form, as necessary, provide endorsement and re-upload the file to the PD. To upload revised file, the RED Officer will need to navigate to the Attachments tab, locate the file to be revised, select the Details button under the Actions column.

This will provide a pop-up window where the RED Officer can replace the Current File with a New File. Once the New File is selected, the RED Officer will click "Save" and the file will be replaced. Once the file is replaced, the 'File' name, 'Updated By' and 'Posted Timestamp' fields will update.

The Initiator may also utilize the Notes tab to include any relevant PD information not captured in other tabs.

Questionnaire

The Questionnaire tab includes multiple sub tabs, such as the Proposal Deadlines, Re Routing Questionnaire and UCR Proposal Questions. Here you will see the responses provided by the Initiator and PI for this PD.

⬩ *NOTE: The Re Routing Questionnaire sub-tab will populate upon the return of a PD to the Initiator for edit.*
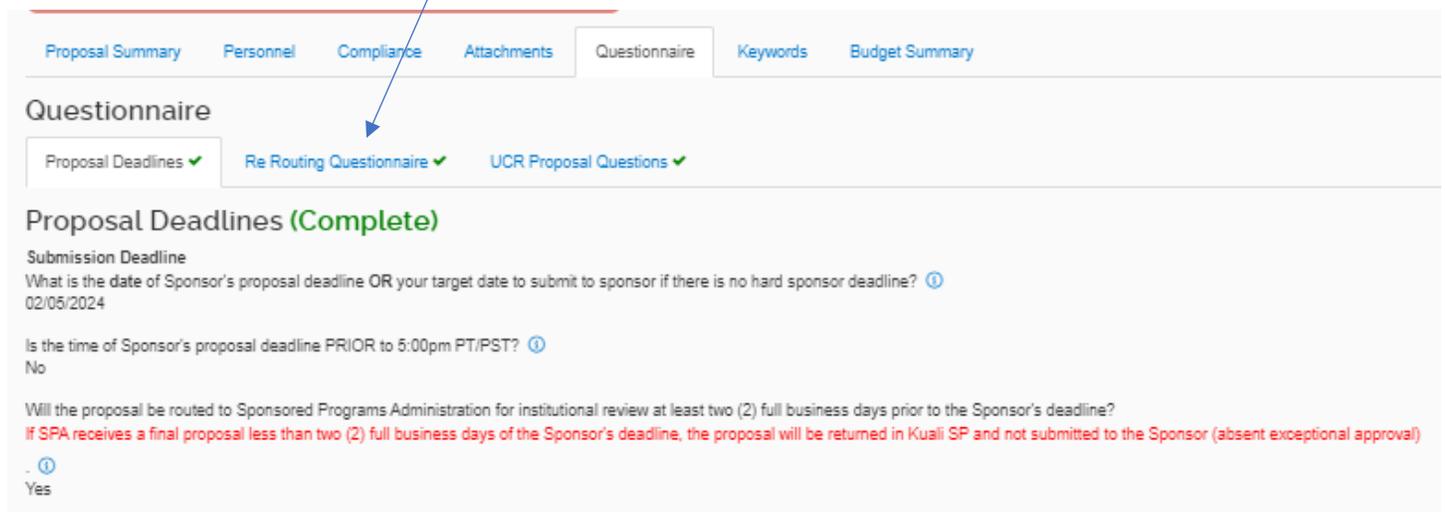
Proposal Deadlines
This tab includes the Sponsor's proposal deadline OR submission target date set by the Initiator for this submission. Sponsor's proposal deadlines are hard deadlines and take precedence over submission target dates. For a Sponsor's proposal deadline, the Initiator will also confirm if the submission is prior to 5pm PT/PST. If marked 'yes', the Initiator is required to input the submission deadline time.

Re Routing Questionnaire

When a PD is returned to the Initiator for revisions, the Initiator will be provided with a series of questions to provide a Yes/No response. These questions will determine, based on the Initiator's response, whether the PD will route to all approvers (hard return) OR bypass prior workflow approvers and route directly back to the RED Officers queue (soft return). If the Initiator responds in the affirmative that the PD includes major revisions, the remaining questions are not triggered, and the PD will route to the PI and all approvers.

If the revisions are not considered a Major revision, then the Re Routing Questionnaire will include two additional questions, as seen below.

| Proposal Summary | Personnel | Compliance | Attachments | Questionnaire | Keywords | Budget Summary |

Questionnaire

Proposal Deadlines ✔ | Re Routing Questionnaire ✔ | UCR Proposal Questions ✔

Re Routing Questionnaire (Complete)

Does the proposal include major revisions?
Major revision(s) is/are defined as:

Budget change: 25% or greater
Change in the Indirect Cost Rate
Major change in scope of work (e.g., scope change which will impact the budget)
Change in cost sharing (e.g., commitment, source and/or type)
Change in the Principal Investigator
Addition or Removal of a co-Investigator and/or any Key Personnel
Addition or Removal of any Subrecipient/Subcontractor
At Submitter's determination (e.g., due to a major revision other than as defined above)
At RED's request
ⓘ
No

Have the project personnel approved this proposal during a previous workflow submission? ⓘ
Yes

Have all Chair(s) and/or Dean(s) already approved this proposal as part of a prior workflow submission? ⓘ
Yes

UCR Proposal Questions
This tab provides information regarding Intellectual Property, Export Controls, and specific research and proposal related questions. The PI completes this tab of the Questionnaire as the questions are related to the research proposed under the PD.

| Proposal Summary | Personnel | Compliance | Attachments | Questionnaire | Keywords | Budget Summary |

Questionnaire

Proposal Deadlines ✔ | Re Routing Questionnaire ✔ | UCR Proposal Questions ✔

UCR Proposal Questions (Complete)
Proposal Function ⓘ
44 - Research

Function

Intellectual Property
Is this project likely to result in Intellectual Property? ⓘ
No

Research Security
Will travel outside of the U.S. occur in the performance of this project? ⓘ
Yes

Does the project involve an individual or entity located in, or affiliated with, a sanctioned country (e.g., Cuba, Iran, Syria, North Korea, Russia, etc.)? See current Listing of Current Sanctioned Countries ⓘ
No

Will any equipment, materials or software be exported to other countries? ⓘ
Yes

Will any foreign subrecipients/subcontractors or foreign collaborators be involved? ⓘ
Yes

Do you anticipate the receipt of any sponsor-owned equipment, materials, technology or software in support of the project? ⓘ
No

Does the project involve an individual or entity located in, or affiliated with, a country of concern (i.e., Qatar, Saudi Arabia, United Arab Emirates, the People's Republic of China (including Hong Kong and Macau), North Korea, Russia, Iran)? ⓘ
No

Does the project involve any Critical and Emerging Technology (CET) as identified by the National Science and Technology Council (NSTC)? See CET list here. ⓘ
No

Are any proposed project personnel a participant of a Malign Foreign Talent Recruitment Program (MFTRP) as defined in Section 10638(4) of the CHIPS and Science Act of 2022 (Public Law 117-167)?

ⓘ
No

Proposal Function: The RED Officer should ensure that the correct option is chosen as this selection is tied to the F&A Rate to be populated in the proposal. Options available are

Instruction, Summer Session, Academic Support, Research, Clinical Operations, Library, University Extension, Public Service, Operations and Maintenance of Plant, Student Services, Institutional Support, Auxiliary Enterprises, and Financial Aid. The most utilized proposal functions are Research, Public Service, and Instruction.

Intellectual Property: This response confirms if the PI feels that the research may result in some form of intellectual property, such as a Patentable Invention. If the response is "Yes", the RED Officer should ensure that the proposal submission includes appropriate markings to ensure any background IP or Proprietary Information included in the proposal is protected.

Research Security: A response in the affirmative will result in an auto-generated email to the Export Control Officer within RED to alert them of a proposal that contains potential export controls. Such email will look like the following:
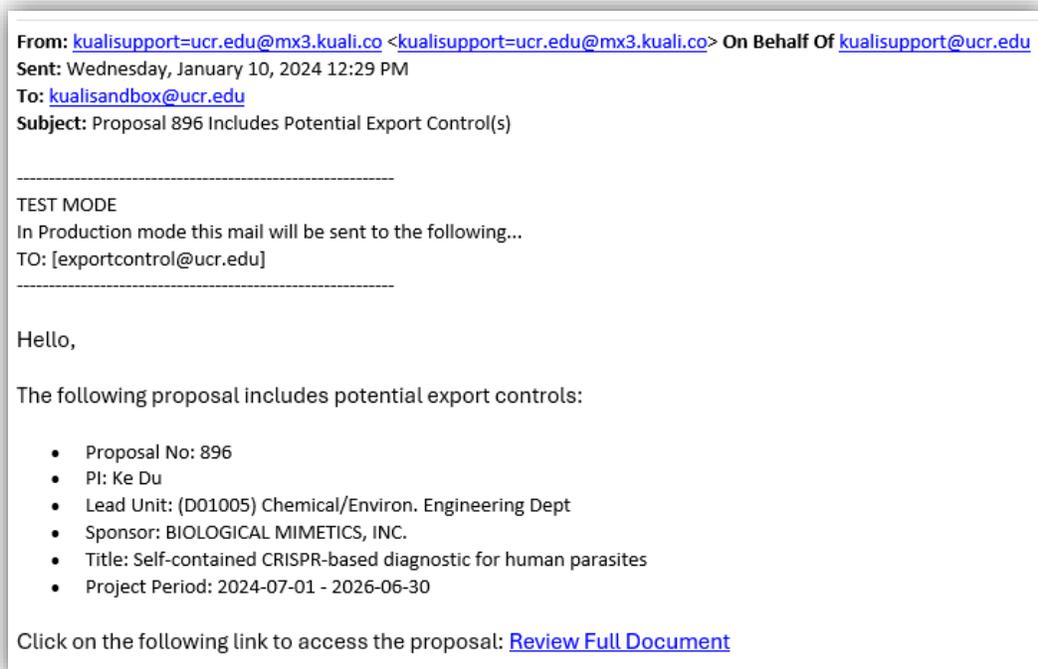
> 🞣 *NOTE: In the event the following question is answered in the affirmative, immediately send an email to researchsecurity@ucr.edu and copy your supervisor.*

Are any proposed project personnel a participant of a Malign Foreign Talent Recruitment Program (MFTRP) as defined in Section 10638(4) of the CHIPS and Science Act of 2022 (Public Law 117-167)?

ⓘ

PI's or any project personnel participating in a Malign Foreign Talent Recruitment Program are prohibited from participating on federally funded awards and this must be addressed immediately with the PI to ensure UCR is compliant with the CHIPS and Science Act of 2022.

UCR Proposal Questions, cont.

Are Any of the Following Involved?

Does the project involve Substance Abuse research? ⓘ

No

Does this project involve Cannabis research? ⓘ

No

Does the project involve Investigational New Drugs? ⓘ

No

Does the project involve Sustainability Research?
(Sustainability research addresses, directly or indirectly, any of these topics:

    living within limits imposed by available resources and the carrying capacity of our environment;

    examining the interconnections among the economy, social well-being, and the environment; or

    equitably distributing resources and opportunities for advancement across places and among generations.)

ⓘ

No

If the PD is for Substance Abuse research, the RED Officer will need to ensure the research does not include illegal drugs. Research involving Cannabis may require additional licenses, such as a DEA License. Projects that involve Investigational New Drugs, alerts the RED Officer that the PD involves pre-clinical or clinical research. When marked 'Yes', the RED Officer will need to alert the PreAward Manager for possible re-assignment of the proposal.

UCR Proposal Questions, cont.

Proposal Information

In addition to the resources available in the administering department (excluding recharge services), will this project require the use of space, equipment or other resources NOT under the direct control of the department? ⓘ
No

Is this proposal in response to a Limited Submission program? ⓘ
No

Is Participant Support included in this proposal? ⓘ
No

Does the solicitation require Program Income to be reported? ⓘ
No

Does this proposal anticipate COVID funding? ⓘ
No

Does the eligibility requirements of the solicitation require the applicant to have the designation as being either a Hispanic Serving Institution (HSI), Asian American and Native American Pacific Islander (AANAPISI), or Minority Serving Institution (MSI) under Title III and/or Title V of the Higher Education Act of 1965, as amended by the Higher Education Opportunity Act of 2008 (HEA), to submit? ⓘ
No

By electronically approving this proposal you agree to the following statement:

Endorsement by Department(s) and College(s) indicates:

Approval of project
Cognizance of project's risks and of administrative obligations
Confirmation that appropriate space and facilities are/will be available
Proposed cost share funds are available
Confirmation that applicable Conflict of Interest requirements have been addressed according to policies and regulations

The Proposal Information questions above alerts the Departmental Approver of potential space, equipment or other resources required for the PI to conduct the project as proposed. The remaining questions inform the RED Officer that the PD is in response to a limited submission requiring internal confirmation of approvals to submit as well as other budgetary concerns regarding Participant Support Costs, and Program Income.

The final question pertains to special program requirements UCR may apply to under Title III and/or Title V programs. See SPA's Institutional Information webpage for UCR's current eligibility letter.

Key Words - Skip

Budget Summary

The Budget Summary shows the summary level budget including any cost share amounts. Information here should tie to other details captured in the proposal, including attachments (i.e., sponsor limitation on IDC). Only a summary budget is required currently, which includes total direct costs, F&A costs, and cost-share, if applicable. *(S2S information coming soon)*

| Proposal Summary | Personnel | Compliance | Attachments | Questionnaire | Keywords | Budget Summary |

Budget Summary

Cost Sharing Amount:	0.00	Underrecovery Amount:	0.00
Program Income:	0.00	F&A Rate Type:	MTDC

	P1(09/01/2024 - 08/31/2025)	P2(09/01/2025 - 08/31/2026)	P3(09/01/2026 - 08/31/2027)	P4(09/01/2027 - 08/31/2028)	P5(09/01/2028 - 08/31/2029)	Totals
Non-personnel						
Calculated Direct Costs	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Non-personnel Subtotal	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Totals						
Total Direct Cost	$541,610.00	$542,918.00	$543,869.00	$543,673.00	$544,290.00	$2,716,360.00
Total F&A Costs	$254,744.00	$220,929.00	$219,485.00	$221,569.00	$219,923.00	$1,136,650.00
Totals Subtotal	$796,354.00	$763,847.00	$763,354.00	$765,242.00	$764,213.00	$3,853,010.00

▼ F&A Rates

Description	On Campus Flag	Fiscal Year	Start Date	Institute Rate	Applicable Rate
MTDC	No	2023	07/01/2022	26.00	26.00
MTDC	Yes	2023	07/01/2022	57.50	57.50

Click to expand the carrot on the F&A rates section to review the rates being applied to this proposal.

To view additional budget details, the RED Officer will need to navigate to the Budget Tab of the PD.
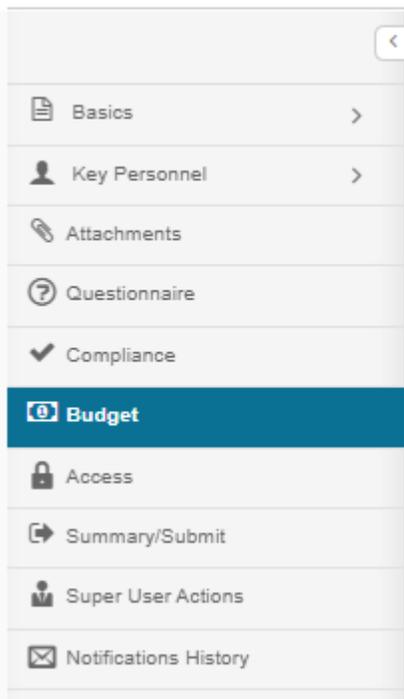
Budget

The Budget tab in the PD will list all available budget versions (if any added) with the below information.

- Name: the budget version description entered when added to the proposal. Click on the user entered Name to open the budget version.
- Version: Each budget version added is assigned a sequential budget version.
- Direct Cost: the direct funding level for the budget version.
- F&A: the indirect costs for the budget version.
- Total: the combined direct and indirect (F&A) costs for this version.
- Start: the start date of the budget.
- End: the end date of the budget.
- Status: Incomplete or Complete. The Complete version will be reviewed.
- Comments: optional text entered by the user for informational purposes.

To review all details of the budget, select the Budget marked Status Complete, a pop-up window will appear and select Open Budget Document.

Periods & Totals:

The Periods & Totals tab pre-populates with a row for each 12-month budget period which defaults from the Start Date and End Date in the proposal details and provides Total Sponsor Cost (Direct Cost plus applicable F&A Cost), any Cost Sharing that is being committed, as well as any cost limits inputted by the initiator.

Rates:

The Rate types and classes that appear below are driven by the Proposal and Activity Type selected by the campus Initiator. The Applicable Rates are pre-populated with the university's approved rates included in the university's F&A Rate Agreement.

NOTE: As these rates will pre-populate in the Award module, it is important to verify that the campus initiator has made the appropriate revision(s) to the Rates table and provided such rate under the appropriate Description (i.e., MTDC, None, Other, S&W, TDC, etc.).

The system automatically defaults to the on-campus rate, unless revised by the campus Initiator under the Budget Settings located at the header as circled above. Currently, the proposal is set to 'Default', as seen in the first screenshot below. If the proposal is an off-campus project or a mix of both on and off-campus with more than 51% of the salaries for the project is for work conducted off-campus, then the campus Initiator will revise this to 'All Off', as seen in the second screenshot

below and upload the [On_Off Campus IDC Rate Determination Spreadsheet](#) to the PD for confirmation on why the off-campus rate was utilized for the proposal.

On-campus

Budget Settings	
Project Start Date	09/01/2024
Project End Date	08/31/2029
Total Direct Cost Limit	0.00
Budget Status	Complete
On Campus Flag	Default
Residual Funds	0.00
Total Cost Limit	0.00
Unrecovered F & A Rate Type	MTDC
F&A Rate Type	MTDC
Comments	
Modular Budget:	No
Submit Cost Sharing:	Yes
Exclude Subcontract F&A from Direct Cost Limit:	No

Close

Off-campus

Budget Settings	
Project Start Date	07/01/2024
Project End Date	06/30/2026
Total Direct Cost Limit	0.00
Budget Status	Complete
On Campus Flag	All Off
Residual Funds	0.00
Total Cost Limit	0.00
Unrecovered F & A Rate Type	MTDC
F&A Rate Type	MTDC
Comments	
Modular Budget:	No
Submit Cost Sharing:	Yes
Exclude Subcontract F&A from Direct Cost Limit:	No

Close

Personnel Costs

The Personnel Costs tab includes two sub-tabs, Project Personnel and Assign Personnel to Periods. All Key Persons included under the Key Personnel tab will be listed here along with their appointment type and base salary.

Data Validation (off) Budget Settings Summary Budget Versions Data Override Help

Project Personnel

Personnel added to the proposal are shown below. Review, configure, and add additional personnel to the budget.

Person	Job Code	Appointment Type	Base Salary	Actions
From Proposal Development				
Kimberley Dawn Lakes (PI)	DEFAULT (AA000)	12M EMPLOYEE	256,200.00	Details

Sidebar navigation:
- « Return to proposal
- Periods & Totals
- Rates
- Personnel Costs
  - Project Personnel
  - Assign Personnel to Periods
- Non-Personnel Costs
- Subawards
- Project Income
- Modular
- Budget Notes
- Budget Summary

Remainder of this page has been left intentionally blank

The Assign Personnel to Periods sub-tab will be utilized under S2S submissions *(coming soon)*.
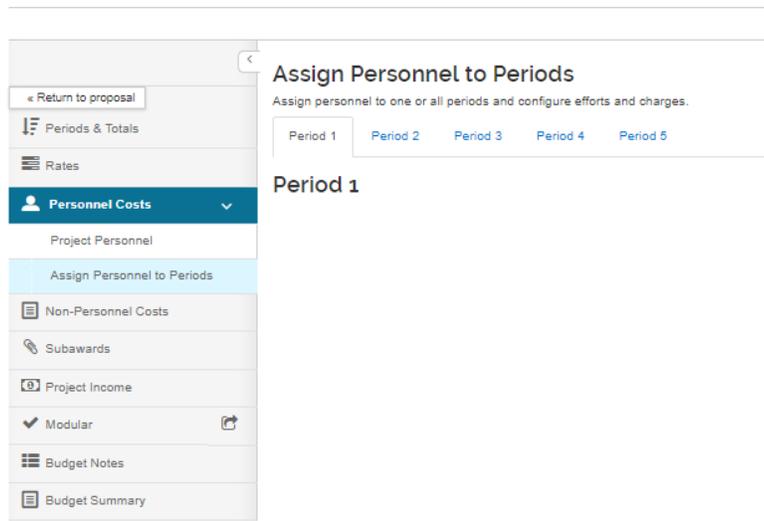
Non-Personnel Costs

The Non-Personnel Costs tab will be utilized under S2S submissions *(coming soon)*.
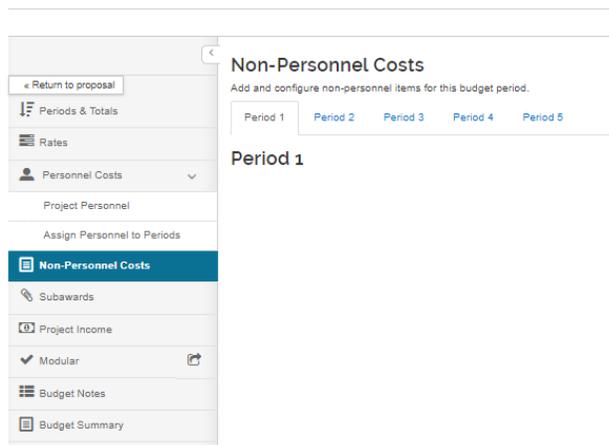
Remainder of this page has been left intentionally blank

Subawards

The Subawards tab allows the Initiator to upload a pre-formatted subaward budget for an S2S submission *(coming soon)*

Institutional Commitments

If the PD includes Cost Share, an additional tab will be added to the Budget menu to allow the Initiator to provide summary information such as the budget period the cost share is provided to, the source of the cost share, amount and whether the Cost Share is mandatory or voluntary.

Remainder of this page has been left intentionally blank

Project Income

The Project Income tab will capture any program income anticipated to be generated under the project.
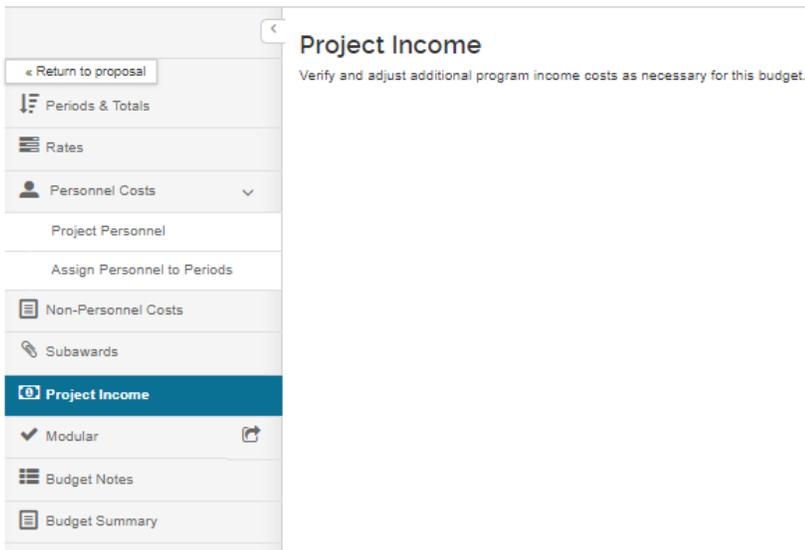
Modular Budget

The Modular Budget tab provides the Direct Costs, Indirect Costs, Modular Total Direct and Indirect Costs and Cumulative Budget amounts for S2S submissions that contain a Modular Budget. Additional information and guidance will be provided soon.

Budget Notes

The Budget Notes allow the Initiator to compile a list of justification notes to utilize in a Budget Justification, if utilized.

Budget Summary

The Budget Summary provided here is identical to the Budget Summary discussed above.

Once the RED Officer has completed their review of the Budget tab, the RED Officer will select the Return to Proposal button on the upper left task bar. This will return the RED Officer to the Budget tab.
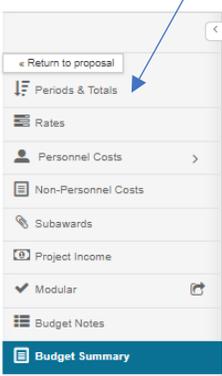
Navigate back to the Summary/Submit tab. Now that the review of the PD is complete, in the event the RED Officer identified any institutional issues or concerns requiring revision by the Initiator, the PD will need to be returned for revision. To return the PD, the RED Officer will select

the Return button at the bottom of the Summary/Submit screen.

A pop-up window will appear, and the RED Officer will be required to include the reason for the return. The RED Officer can provide their notes here for the Initiator, or if more feasible, the RED Officer can refer to an email or upload an attachment, if necessary. Once completed, select the OK button. The PD will be returned to the Initiator and the Initiator will be required to complete the Re Routing Questionnaire, as discussed above.

If the PD did not require revisions, the RED Officer can proceed with providing final approval of the PD by selecting the "Approve" button.

Once you select the 'Approve' button, a pop window will appear allowing the RED Officer to include an 'Approval Comment' such as, "Cayuse submitted proposal" or "Research.gov submitted proposal" and attach a PDF of the proposal. The 'Approval Comment' will populate under the Description header of the Attachments tab along with the file uploaded.

Once the RED Officer clicks [OK], a pop-up window will appear to send a notification to the Initiator and the PI.
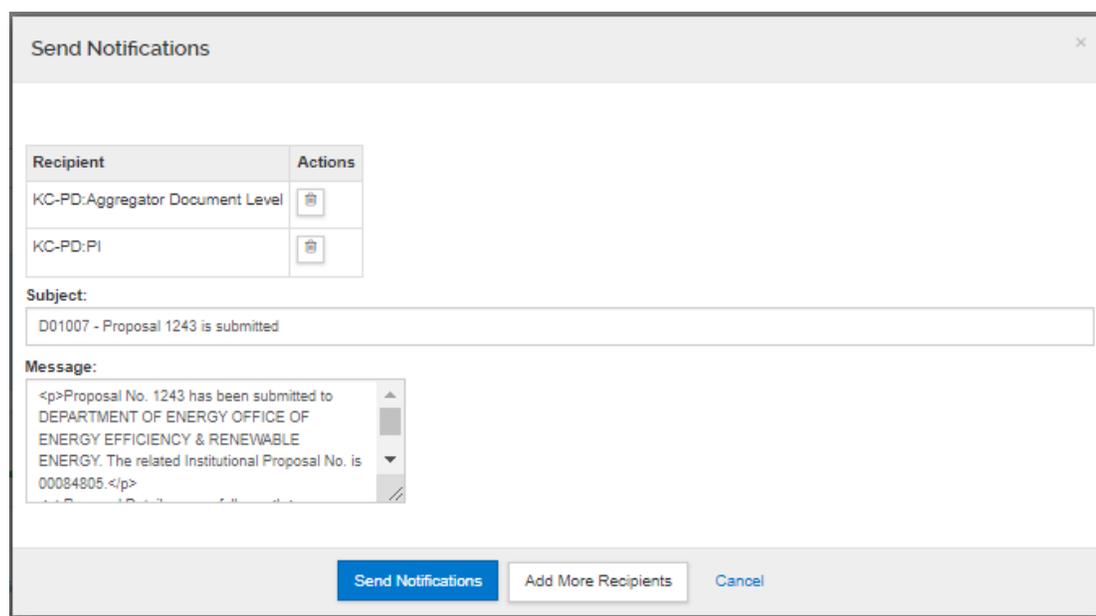
The notification will include the PD number as well as the sponsors' name and the related Institutional Proposal (IP) number generated. Once the RED Officer clicks the [Send Notifications] button, a message will appear confirming that the PD has been successfully approved, the PD has been saved and an IP number has been generated.
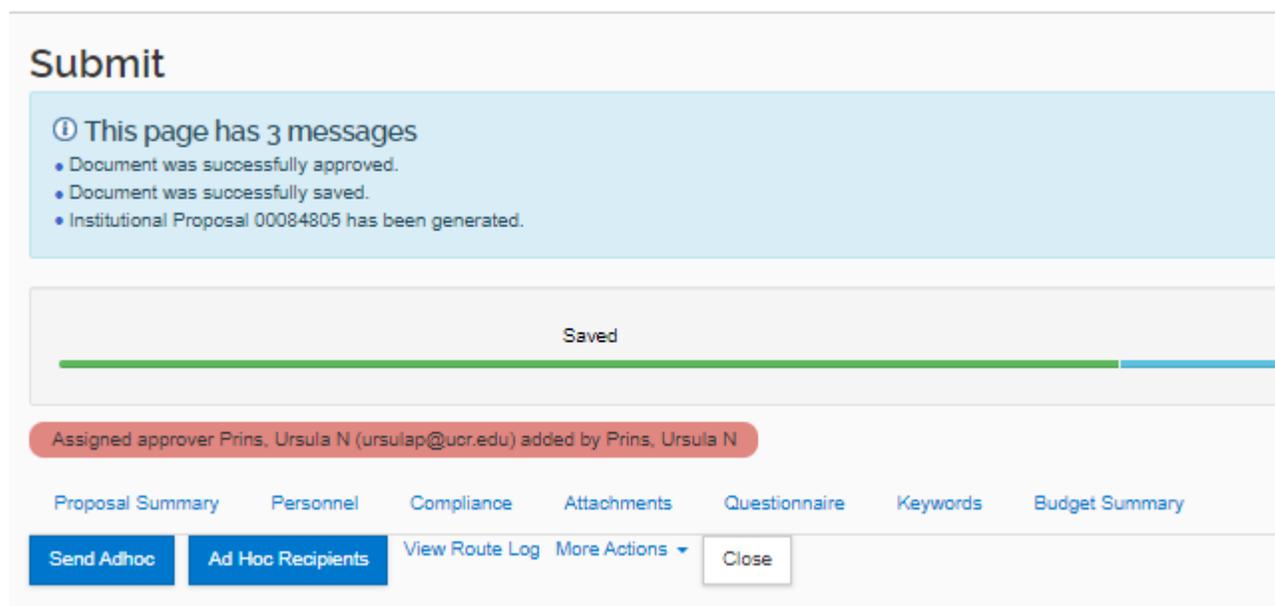
The RED Officer can now click [Close] to close the PD.

Some Proposal Types will provide a different pop-up window, prior to the 'Send Notifications" screenshot above, with the following Institutional Proposal Generation Options:
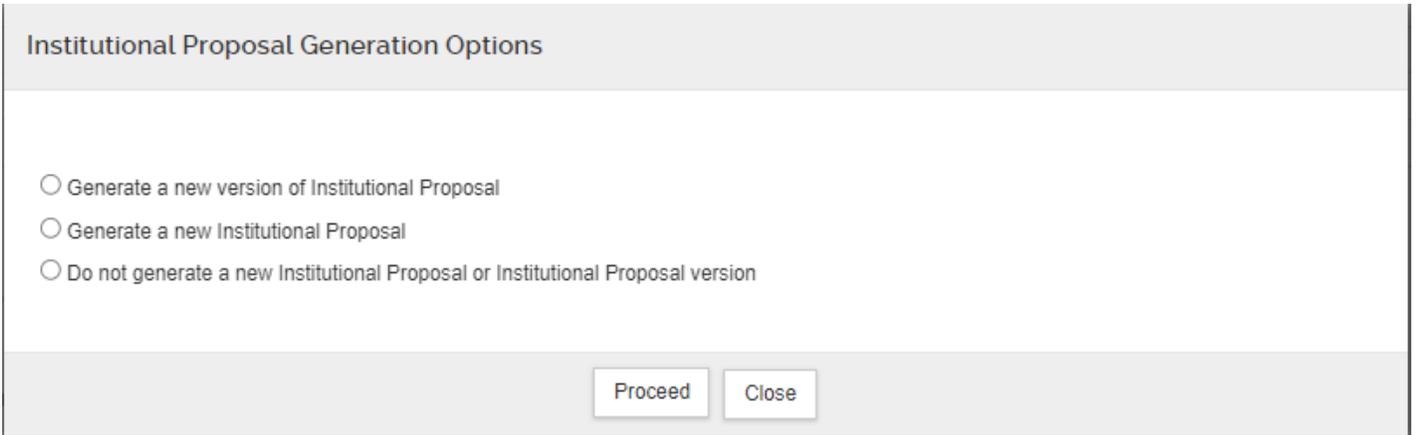
Institutional Proposal Generation Options

○ Generate a new version of Institutional Proposal
○ Generate a new Institutional Proposal
○ Do not generate a new Institutional Proposal or Institutional Proposal version

Proceed   Close

Most of the time, "Generate a new Institutional Proposal" will be chosen (i.e., Renewal, Resubmission, Continuation and Supplement/Revision) but there are instances where another option may be more appropriate.

When the proposal type is New - Change/Corrected, Renewal – Change/Corrected, Resubmission – Change/Corrected, or Supplement - Change/Corrected, or Budget-SOW Update, the first option, "Generate a new version of Institutional Proposal" is appropriate as creating a version to the original IP will incorporate the changes/corrections being made. Once the correct option is selected, click Proceed.

⬥ NOTE: Never select "Do not generate a new Institutional Proposal or Institutional Proposal version".