

College of Humanities, Arts, & Social Sciences Proposal Incentive Plan

Purpose:

The purpose of the **CHASS Proposal Incentive Plan (CHP In)** is to recognize, reward, and encourage faculty to seek extramural funding. CHP In Awards are granted for eligible proposals meeting the criteria below and are in addition to the direct receipt of overhead or indirect cost recovery (IDC) that is allocated from the Campus. Currently the campus allocation is 5% to PIs and 10% to the PI's Department for funded proposals that contain IDC as of July 1, 2016.

Effective:

PIs/Co-PIs submitting proposals on or after July 1, 2017 are eligible to receive CHP In funds under these amended guidelines.

Principles:

CHP In funds are to be used by the Principal Investigators (PIs) at their discretion for research and/or instructional support purposes, within University of California policies and procedures. These Funds **may not** be used as additional compensation and should be expended in a timely manner – within one calendar year of receipt of funds.

Eligibility:

To be eligible to receive CHP In funds:

1. The proposal must be submitted by University of California, Riverside College of Humanities, Arts, and Social Science PI-eligible faculty members (see Research and Economic Development's (RED's) submission policy # 527-3 <http://or.ucr.edu/about/policies-ucr.aspx> through a CHASS Department or Unit. If an eligible PI chooses to share a CHP In Award with an eligible co PI, the co PI must also be a faculty member of a CHASS Department.
2. The proposal must be complete, well-prepared, and not a resubmission of or substantially similar to another proposal submitted within the last two fiscal years.
3. The proposal must have been submitted per the College's and RED's (527-4) review, approval, and submission policies: Submission of proposals to RED using an eCAF and in accordance with the following lead times: Standard Proposal Lead Time – three (3) full business days prior to the Sponsor's Due Date, Non-standard Proposal Lead Time – a minimum of seven (7) full business days prior to the Sponsor's Due Date.
4. Intramural fellowship proposals (funds from UCR to UCR; e.g. Hellman Foundation) do not require an eCAF; however, they do have a submission process and guidelines. If this process is followed and all other eligibility criteria are met – see below – intramural fellowship proposals will also be eligible for CHP In funds.
5. CHASS PIs who have never submitted a proposal at UCR will receive \$1,000. Funds will not be divided among first-time PI/Co-PIs by CHP In Administrators, however, they may be shared with Co-PIs at the PI's discretion or arrangement by the PI's Department.
6. CHASS PIs will receive \$500 per proposal after their first submission. Funds will not be divided among PI/Co-PIs by CHP In Administrators; however, funds may be shared with CO-PIs by the PI's department at the PI's discretion or arrangement.
7. Fellowships of \$25,000 or more will be eligible.

College of Humanities, Arts, & Social Sciences Proposal Incentive Plan

8. Contract/grant proposals with a minimum of 10% indirect cost recovery and which total \$25,000 or more are eligible.

Please note: When proposals that *do not* require and ecaf are submitted to a sponsor, a verification of the date of submission, the sponsoring agency, the amount requested, and the proposal must be submitted (via email) to the CHASS Dean's Office Contract and Grant Unit within 60 days of submission to be eligible. Email to: reginah@ucr.edu

Policy:

The CHP In funds are subject to the availability of Indirect Cost Recovery Funds allocated to the College. These funds are based on the previous year's Facilities and Administrative (F&A) Rates – or overhead – returned to the College, per Campus Policy Number 300-26. <http://fboapps.ucr.edu/policies/index.php?path=viewPolicies.php&policy=300-26>

- CHP In funds may be used by the PI/Co-PI at his/her discretion, within University of California policies and procedures.
- Faculty stipends or salary augmentations are not allowed with CHP In Funds.
- Professional development, research related expenses, or course releases (as approved by the Department) are allowed with CHP In Funds.
- PIs/Co-PIs that retire or leave the University: If the PI plans to continue to perform research/projects as an emeritus faculty member, the Funds will remain available for use. If the PI leaves the University, the program will reclaim the remaining funds.
- CHP In Funds may not be used for matching requirements.
- Post-Doctoral Researchers, Graduate and Undergraduate Students are not eligible for CHP In Funds; therefore, faculty members acting as PIs on these submissions do not meet the criteria.
- Funds should be expended in a timely manner – within one calendar year of receipt of funds.
- Awards are capped at \$2,500 annually per PI.

Procedure:

- Once a quarter (October, January, April, and July) the C&G Unit Senior Analyst will review the previous quarter's proposal submissions via RED's reporting system.

College of Humanities, Arts, & Social Sciences Proposal Incentive Plan

- PI's will be notified of eligibility via email. The following personnel will be cc'd: Department Chair, Department FAO/MSO by the CHASS C&G Senior Analyst.
- Funds will be transferred quarterly (October, January, April, and July), based on the previous quarter's submissions, to PI's department via the Budget Adjustment/Entry (BEA) application. Funds will be identified in the BEA as CHP In funds, and the notification email will provide the fund number and date of the funds will be available.
- The historically used departmental Activity Code will be used for the BEA. If a different Activity Code is desired by the department, the department may transfer funds to a different Activity Code.
- Departments must use PI/Co-PI Cost Center and CHP In Project Code (KACHP) when charging expenses to budgeted funds.
- If the PI requests the department to "split" his or her award with a CO-PI, the department should notate how and to whom that award was split for future reference.
- Professional development, research related expenses, or course releases (as approved by the Department) will be reimbursed per Campus Policies found at <http://accounting.ucr.edu/policies.html>

Please contact CHASS Contract and Grant Senior Analyst, Regina Hazlinger for any questions or concerns. reginah@ucr.edu

Definitions:

Criteria for Standard and Non-Standard Proposals

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 sub-award; and
3. Do not involve any of the elements of a non-standard proposal.

Non-Standard proposals – Proposals that involve any of the following:

College of Humanities, Arts, & Social Sciences Proposal Incentive Plan

1. The PI or a Co-PI has an appointment that requires approval of the VCR to submit proposals as PI and/or will not hold a UCR appointment for the full period of the proposed work.
2. The sponsor's solicitation states that the resulting award may be, or will be, a contract.
3. Submission of a proposal indicates acceptance of award terms and conditions contained in the sponsor's solicitation.
4. A sponsor's requirement to submit an intellectual property management plan; laboratory safety plan; or any other set of plans that requires coordination with other UCR administrative offices.
5. One or more sub-awards to entities outside of UCR.
6. Construction, alterations/renovations of existing space, special space requirements (e.g., renting or leasing space off-campus, approval to access non-UCR facilities).
7. Any institutional commitment, including cost sharing, which requires or necessitates the approval of a Dean, Vice Chancellor, the Executive Vice Chancellor and Provost, or the Chancellor.
8. Use of a non-standard Facilities and Administrative (F&A) cost rate not previously approved by the Office of the President or where a request for an 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).

Institutional review and approval prior to 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 are required to submit all proposals requesting extramural support to the Office of Research for institutional review and approval prior to proposals being submitted to an extramural sponsor.