

Overview

Research conducted at accredited academic institutions is a complex and heavily regulated endeavor. Given the recent increase in sponsor scrutiny, it has become vital to emphasize the utmost commitment to upholding institutional standards in supporting research applications. One key commitment in this regard is ensuring that Principal Investigators (PIs) actively engage with the Kuali Research proposal development Compliance Questionnaire and complete the PI Certification.

The Compliance Questionnaire serves as a crucial component during the preparation of each research application, as it collects essential project information for which the PI possesses unique qualifications to ensure factual accuracy. Incomplete or inaccurate responses to the questionnaire pose significant risks regarding compliance with institutional and sponsor requirements concerning conflict of interest, export control, foreign influence, human research, health and safety, and PI eligibility. The questionnaire's answers trigger a series of institutional actions designed to ensure that information flows to the appropriate compliance offices, aligns with federal, state, and UC requirements, and accurately classifies the project for transparency and institutional reporting.

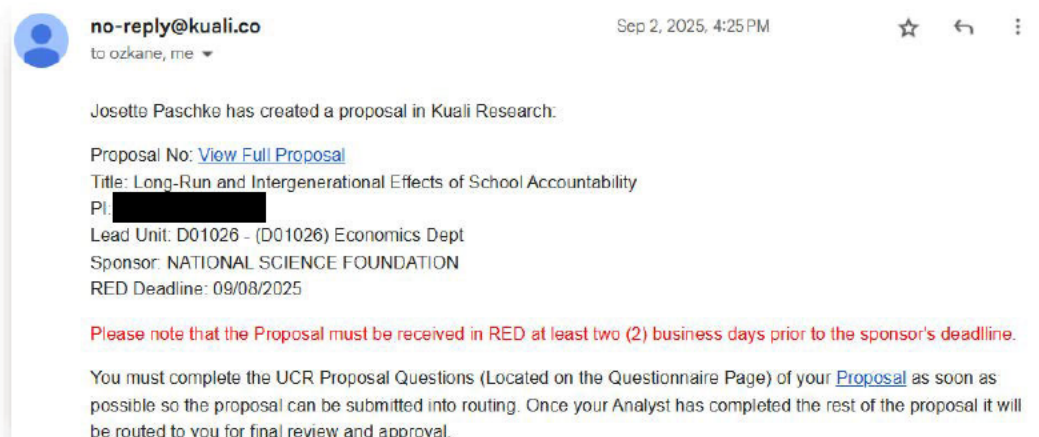
The PI Certification offers the necessary assurances to acknowledge the institutional obligations required by federal, state, and UC regulations, on behalf of the PI. These assurances encompass the following points:

- Submission of true, complete, and accurate information.
- Acknowledgment that any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil, or administrative penalties.
- Acceptance of responsibility for the scientific conduct of the project and commitment to providing the required progress reports if the application results in an awarded project.
- Confirmation that neither the PI nor any member of the research team "Key Personnel" is currently Debarred, Suspended, or proposed for debarment or suspension, and a commitment to promptly notify the University of any changes in this status.
- Assurance that no federal funds were utilized for lobbying activities related to the proposal.

It is crucial, for these reasons, that the Compliance Questionnaire be completed by the PI themselves, rather than by an administrator. Your cooperation ensures compliance with the highest standards and helps to maintain our institutional reputation.

Steps to Take

1. PI receives an email notification and PI clicks the "View Full Proposal" hyperlink



2. PI logs into Kuali Research System
3. PI answers the questions and clicks "Save and Continue" when complete, then "Close"

Kuali Research

Questionnaire

Document was successfully saved.

Proposal Deadlines UCR Proposal Questions

UCR Proposal Questions (Incomplete)

Proposal Function
44 - Research

Intellectual Property
Is this project likely to result in Intellectual Property?
☐ Yes
☒ No

Export Controls
Will travel outside of the U.S. occur in the performance of this project?
☐ Yes
☒ No

Is the destination a sanctioned country or country of concern (e.g., Iran, Syria, North Korea, Russia, etc.)? (See current [Listing of Current Sanctioned Countries](#))
☐ Yes
☒ No

Will any equipment, materials or software be exported to other countries?
☐ Yes
☒ No

Will any foreign subrecipients/subcontractors or foreign collaborators be involved?
☐ Yes
☒ No

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

Are Any of the Following Involved?
 Does the project involve Substances Abuse research?
☐ Yes
☒ No

Does this project involve Cannabis research?
☐ Yes
☒ No

Does the project involve Investigational New Drugs?
☒ Yes
☐ No

Back Save **Save and Continue** Close

4. PI is directed to their Kuali Research Dashboard and can “log out” or take additional action

The screenshot displays the Kuali Research Dashboard interface. On the left is a navigation sidebar with links for Dashboard, Dashboard Tools, All Links, Help, About, Logout, User, Switch Apps, and Collapse Menu. The main content area is titled 'Dashboard' and contains several sections:

- Proposals routing to me:** A section with a large arrow pointing right and the text 'All Clear!'.
- Proposals not routing:** A list of proposals with details including Proposal Number, PI, MedInvestigator, HS/Trainee/ST Training, Sponsor, Title, My Important Project, Due date, and Last action.
- Post award in progress & negotiations:** A section with a large arrow pointing right and the text 'All Clear!'.
- Proposal notification assignments:** A table listing assignments for various proposal numbers.

Proposal Number	Principal Investigator	Sponsor	Unit	Title	Due Date	Last Action	Primary Approver	Assigned Approver
202028	MphInvestigator Barry Teal	NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA)	202028	My NOAA Proposal/Title	12/14/2020	12/02/2019 9:51 AM		
202029	MphInvestigator Barry Teal	NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA)	202029	My NOAA Proposal/Title	12/14/2020	12/02/2019 9:51 AM		
202030	MphInvestigator Barry Teal	NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA)	202030	My NOAA Proposal - Bp	12/14/2020	12/02/2019 9:51 AM		
202031	MphInvestigator Barry Teal	NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION (NOAA)	202031	COPY - My NOAA Important Project - CEO	12/14/2020	12/02/2019 9:51 AM		