

**DIVISION OF SOCIAL SCIENCES
RESEARCH GUIDE FOR PRINCIPAL INVESTIGATORS**

INTRODUCTION	2
I. RESEARCH ADMINISTRATION SUPPORT	2
A. Research Funding	
1. Extramurally Funded Awards	
2. Sub-Awards	
3. UC Funded Awards	
B. Research Support	
1. Your Research Analyst	
2. Budget Management	
II. REIMBURSEMENT GUIDELINES.....	4
A. Managing Your Expenses	
1. Allowability	
2. Reimbursement Options	
3. UCSC Credit Cards	
B. CruzBuy – Purchasing Goods & Services	
C. Direct Pay Form - Miscellaneous Expenses	
D. Travel Reimbursements	
1. Travel Forms	
2. Travel Advances	
3. Group Travel	
4. Before You Make Plans	
5. Making Travel Arrangements	
6. Car Rentals	
7. After You Return – Post Travel Reimbursement	
8. Reimbursing Foreign Nationals	
E. Entertainment Expenses	
III. FINANCIAL TRANSACTION GUIDELINES	7
A. Recharges	
B. Expense/Cost Transfers	
C. Fund Transfers	
IV. PAYROLL - HIRING STUDENT/STAFF/ACADEMIC POSITIONS	8
A. Course Relief – Grant Funded Academic Salary	
B. Summer Salary	
C. Graduate Student Researchers - GSR	
D. Undergraduates	
E. Academic Positions	
F. Staff Positions	
V. EFFORT REPORTING SYSTEM (ERS).....	9
VI. APPENDICES.....	9
Appendix 1: What is a FOAPAL?	
Appendix 2: Acronyms	

INTRODUCTION



The research administration world is one of compliance, regulation and procedure, and is in sharp contrast to the research world; the creation of new knowledge and advancing the human condition. The Division has and will continue to work towards simplifying your involvement in compliance issues as much as is possible.

We've tried to keep this information simple and concise by highlighting the most useful and common policies and procedures. The purpose of this guide is to provide you with the tools and information needed to efficiently manage your awards. Your primary resource is your research analyst.

Even though financial management is an important part of your responsibility, we understand that most of you would rather be focusing on your research. So, we have created this resource to help you navigate the University's research administration systems as quickly and easily as possible.

I. RESEARCH ADMINISTRATION SUPPORT

A. Research Funding

Each research account has a unique identifier called a FOAPAL, defined in Appendix 1. The most commonly used elements are the Fund, Org and Activity Code (AC). The fund is different for each extramural award, the org is usually unique to each PI and the AC is used as an additional identifier only if two awards have the same fund and org or to identify cost share.

- 1. Extramurally Funded Awards** - All extramural proposals must be submitted through the Office of Sponsored Projects (OSP).



Social Sciences' Director of Research Development, Ashlee Tews-ashleeac@ucsc.edu 459-1644, is available to help you locate and apply for grants. For more information on the proposal and award process, see OSP's PI resource page: <http://officeofresearch.ucsc.edu/osp/resources/index.html>

If a grant is awarded to two PI's in more than one division, funds can be split by OSP or, with a memorandum of understanding (MOU), split by specific expenses or scope of work.

- 2. Sub-Awards** - Some research awards include sub-awards to other entities. This is normally determined at the time the proposal is submitted. After an award is granted, at the PI's direction, OSP issues sub-award agreements. Once finalized, CruzBuy (our purchasing system) sets up a requisition for the amount of the sub-award. Sub-awards are then paid when the sub-awardee invoices UCSC. Like all other expenditures, you retain primary responsibility for assuring that the terms of the sub-award are being met. Sub-award invoices are sent to your RA. Your RA will email them to you. Your email reply approval, along with the invoice, is then sent to accounting which then pays the invoice.

- 3. UC Funded Awards**

Division Awards are provided for research and related purposes:

Start Up- Can be used for any research-related purpose including a computer or as defined in your startup letter. It cannot be used for office furniture or furnishings.

Retention- Provided to faculty who have received an outside offer for employment, and have agreed to decline the offer and remain at UCSC.

Other- Funds for being a department chair, providing a division service, targeted research support and other agreements are also provided.

Academic Senate- A common source of campus funding for faculty research. If you are planning to present a paper at a conference or give a seminar, you can apply annually for a \$700 Academic Senate COR Travel award. In addition to travel grants, the Academic Senate offers annual FRG- Faculty Research Grants and SRG- Special Research Grants. See their website for awards, guidelines and application forms: <http://senate.ucsc.edu/>

UC's Multi Campus Research Program Initiatives (MRPI) or Research Initiatives (UCRI) provides targeted research funding such as the Human Rights Institute (UCHRI) and UCMEXUS. Some of these UC awards flow through OSP, some come directly from UCOP or the UC campus hosting the MRPI. RA's administers them in the same manner as extramural awards. More information can be found here: <http://www.ucop.edu/mrpi/>

B. Research Analyst Support

1. Your Research Analyst (RA)



Assistant Dean/Financial Officer Diane Castle supervises the Research Administration Manager, Mark Silva. RA's are your financial partners. They provide budget reports, financial management assistance and assistance navigating the University's administrative and financial systems. RA's are also responsible for assuring that all funds are spent appropriately, according to Federal, State, Funder and UC regulations, policies and procedures.

RA's are in Room 271, Humanities & Social Sciences (H2), fax number: 459-1296.

Mark Silva	Research Administration Manager	mssilva@ucsc.edu	459-2124
Kim Durham	Research Analyst	kimd@ucsc.edu	459-1278
Sherry Xie	Research Analyst	rxie4@ucsc.edu	459-3215
Lynn Crowder	Research Analyst	lcrowder@ucsc.edu	459-5120
Gilson Chagas	Research Analyst	gchagas@ucsc.edu	502-7520

This office is responsible for administering all research funds that flow through the Social Sciences Division. Your department manager handles funds that are provided for non-research purposes (e.g., department/division funds primarily for instructional purposes).

- 2. Budget Management** - Research administration and other offices on campus are here to assist you in managing your awards. As a PI, you have the primary fiduciary responsibility for your funds. Your primary budget management and monitoring tool are InfoView reports. UC policy requires following generally accepted accounting principles (GAAP) and reviewing your InfoView reports monthly, quarterly or semi-annually, depending on how often they are provided. This gives you the opportunity to ensure that all transactions are appropriate and valid. If any discrepancies or questions arise, discuss them with your RA as soon as possible. RA's will also send financial spreadsheets for awards with indirect rates, payroll or when projections are helpful. These spreadsheets provide a more accurate accounting of: Indirect costs, GSR fees, benefits and other expenses.

II. REIMBURSEMENT GUIDELINES

It is important to consider how you will pay for expenses **before** you incur any costs. All needed forms can be found here: https://financial.ucsc.edu/Pages/Forms_Directory.aspx

A. Managing Your Expenses

- 1. Allowability** - Before incurring an expense, it is important to know whether it is allowed by the funding source. Your RA can assist you if needed. In all cases, the expense must be allowable on the funding source, determined as follows:
 - ♦ *Allowable*- If you are not sure, check your award documents, or contact your RA.
 - ♦ *Appropriate*- Is it directly related to the goals of your funding source, determined by your award and budget? Was the expense incurred within the budget period of the award?
 - ♦ *Compliant*- Is it allowed by policy, law, agreement and/or professional standards? This is determined by UCSC policy and by controlling UC, state and federal regulations.
 - ♦ *Reasonable*- Does the nature and amount of the cost reflect what a prudent person would have done under the circumstances at the time the cost was incurred?
 - ♦ *Funded*- Is there sufficient funding to cover the expenses or an expenditure adjustment?
- 2. Reimbursement Options** - For reimbursements to non-UCSC employees, or employees who've never previously been reimbursed, a Payee Setup-204 form is needed. The Payee Setup form is required before you can get reimbursed. If your paycheck is already deposited electronically this form is still needed to set up electronic deposits for your reimbursements. Electronic deposits are set up in about three weeks. Payments are issued weekly.

3. UCSC Credit Cards

ProCards are available to charge routine, low-cost goods and services directly to a specific research account. ProCards can only be used for general supplies, ongoing monthly expenses and non-inventorial equipment. They cannot be used for travel, entertainment or gifts. A separate ProCard is needed for each account. Send the application to your RA upon completion. More details here: https://financial.ucsc.edu/Pages/Pro-Card_Main.aspx



Travel & Entertainment Cards allow you to pay for business related travel and entertainment expenses. It is not account specific and does not directly charge your account. If you expect to travel regularly, this card can provide you with cash advances and keep your business expenses separate from your personal expenses. You have to pay the balance due on the card each month. After you return from traveling, submit a Post-Travel form with receipts to get reimbursed as usual. The initial credit limit is \$2,000. Details here: https://financial.ucsc.edu/Pages/travel_guide.aspx - [Travel Card](#)

B. Purchasing Goods & Services with CruzBuy

<https://financial.ucsc.edu/Pages/ProcurementServices.aspx>

The Purchasing office is responsible for procurements and is your resource for using CruzBuy to purchase goods and services. Use the CruzBuy online purchasing system when you need to purchase supplies, services, inventorial equipment and computers.

IMPORTANT: You **MUST** use CruzBuy to pay for a service and inventorial equipment. A requisition must be set up in CruzBuy in advance of a service. Do not authorize service work until a requisition is set up.

Fill out the account setup form on their website to set up a CruzBuy account. Send to your RA for authorization. You'll receive an email with your password and login instructions. Telephone and email help is available: 459-2311, buy4me@ucsc.edu. When you create a requisition, CruzBuy automatically notifies RAs when their funding approval is needed.

NOTE: It is best to purchase computer-related equipment thru the Division's IT staff to ensure compatibility with campus systems and support.

A requisition must be submitted in CruzBuy and approved BEFORE any expenses are incurred. After a requisition is approved, CruzBuy sends the vendor a purchase order (PO) number. The PO creates an obligation against your account in the financial system. The vendor then provides the goods or services and submits invoices to get paid.

C. Direct Pay Form - Miscellaneous Expenses

You can pay out of pocket and submit reimbursements for expenses such as books, supplies, memberships, subscriptions and professional dues, as well as non-inventorial equipment. Original itemized receipts are required.

This form is also used to pay scholarships, fellowships, honoraria, participant support and subject payments. For scholarships or fellowships, the fellowship/scholarship worksheet must also be completed. For Honoraria, include the Honorarium Employment Status form.

D. Travel Reimbursements



Free trip insurance is required through UC prior to traveling. This insurance is comprehensive and includes: medical care and evacuation, loss of personal property (UC employees only), extraction for political and weather-related reasons and more. More information and the simple sign up form can be found here: <http://www.ucop.edu/risk-services/loss-prevention-control/travel-assistance/index.html>

Detailed travel resources and forms are here: https://financial.ucsc.edu/Pages/Travel_Main.aspx

- 1. Before You Make Plans** - It is important to make sure that the funding source allows for the trip being taken. Consult with your RA if you have questions. Do not purchase hotel-airfare bundles. It is against UC policy because the expenses are not itemized.
- 2. Travel Advances** - Advances are available if you do not have a travel card and would like some expenses paid or reimbursed up front, such as airfare, lodging, conference fees or cash for travel expenses. Complete a Travel Advance Request (TAR) and send to your RA. A A trip number will be emailed to you to use on your Post Travel form after you return.
- 3. Group Travel** - Group Travel is an option when 3 or more people are traveling together for the same purpose. One person is designated Group Leader. The group leader pays for all or some of the groups expenses. A TAR can be used if a cash advance is needed. The group leader retains receipts for the travelers expenses they are paying, to get reimbursed.
One other way this option is useful is when paying and getting reimbursed for the travel expenses of visitors. Prior to the trip, submit a TAR and include the names of the travelers the group leader is paying for. Pay for travel expenses. After the trip is completed, submit a Post Travel form to get reimbursed.
- 4. Travel Forms** - Always use the most up to date form from the website above to help avoid processing delays. Send it to your RA after completing and signing. A Post Travel form is used for all expenses incurred while on travel status, regardless of type.

5. Making Travel Arrangements

NOTE- US flag carriers must be used whenever possible when using federal funds.

CONNEXXUS is a UC travel program that features negotiated rates for air travel, hotel accommodations and car rentals. Everything is done through a secure web portal.

Options include online booking and full agent assistance. More information:

https://financial.ucsc.edu/Pages/Travel_Main.aspx

UCLA Travel <http://www.travel.ucla.edu> is a full-service travel agency offering ticketing services for all airlines and some hotels. If you decide to use their service, please complete a TAR form and send it to your RA who will forward to accounting. Your trip number will be emailed it to you. Use this number to book your flight with UCLA Travel. Your expenses will be charged directly to your research account.

- 6. Car Rentals** - UCSC has agreements with Enterprise, Hertz and National. Please use one of these companies; they will give you the best deals. Be sure to specify when making a reservation that you are traveling on UC business to receive the discount.

IMPORTANT: UC Policy will only reimburse for an economy or smaller car unless there are extenuating circumstances or you have document health issues. Otherwise, an exception to policy is needed. Free upgrades are fine. More details here:

https://financial.ucsc.edu/Pages/travel_guide.aspx



UCSC does not reimburse for car insurance because it is covered in their agreements with the three approved car rental agencies. The cost for GPS devices is not reimbursable.

UCSC's **Fleet Services** rents vehicles for UCSC related business. More information can be found here: <http://www2.ucsc.edu/fleets/>

- 7. After Your Return – Post Travel Reimbursement** - A Post Travel form (PT) is needed for reimbursement of travel expenses and to reconcile Travel Advances (TAR). The PT is set up with one day per column and one week per page or for longer trips, one week or month per column. The Traveler must sign this form. The PI (tier 1) signs authorizing payment if they are not the traveler or provides an email approval.

IMPORTANT: Original itemized receipts are required for airfare, conference registration, hotel, rental cars and any single expense of \$75 or more. Otherwise, receipts are not required.

A maximum of **\$62 per day**, including tax and gratuity for meals is allowed for domestic travel. While receipts are not required for food, the amount you claim should be the actual costs of your meals. Hotel expense are capped at a maximum of **\$275 per night**. There is no domestic per diem unless you stay in one place for 30 days or more. Travel must include an overnight stay for meals to be reimbursable. **Alcohol** is not allowed on most funding sources. Use of **Foreign Travel Per Diem is strongly encouraged**. The per diem covers lodging, food and miscellaneous expenses and no receipts are required for these expenses. Maximum rates vary by location. See the travel guide link above.

NOTE: **Currency Conversions** - Please convert foreign currency expenses into U.S. dollars on each receipt or on your Post Travel form. **Do not estimate**. Use the following site for currency conversion rates and attach the OANDA printout(s) to your post-travel form: <http://www.oanda.com/currency/converter>

8. Reimbursing Foreign Nationals - Payments for expense reimbursements, participant support, travel arrangements on behalf of, or fellowships require several pieces of documentation prior to making any reimbursement commitments. Detailed information and forms are here: http://financial.ucsc.edu/Pages/Payments_ForeignNationals.aspx - benefits

E. Entertainment Expense Reimbursement

These expenses include food or drink purchases for any purpose including during travel.

Meals are only allowable if they are indispensable to the project and they are a necessary and integral part of the business meeting, not a matter of personal preference. Meal expenses are not allowable when two or more employees from the same work location choose to go to lunch together to continue their business as an incidental part of the meal, or when the meeting could have been scheduled during regular working hours.

Note the following maximum allowable costs per meal per individual: Breakfast: \$27; Lunch: \$47; Dinner: \$81; Light Refreshment: \$19. This includes food and beverage, tax and gratuity. Not all funding sources will pay for entertainment costs. Check with your RA if you're not sure.

Use the Entertainment Reimbursement Form (ERF) in CruzBuy to establish and get reimbursed for all entertainment related events and expenses. This system was established to help track expenses and ensure related policies are followed. **Alcohol** cannot be charged to state and federal funds and most contracts and grants. More information can be found here: https://financial.ucsc.edu/Pages/Entertainment_EventExpenseGuide.aspx

III. FINANCIAL TRANSACTION GUIDELINES

A. Recharges

A Recharge is used when one campus unit is charging another for services. Rather than money changing hands, it is handled by transferring an expense within the UCSC accounting system. Two common examples are:

Mail Codes- If you have a lot of mailings, you may want to establish a mail code. The monthly charge is \$6 plus mailing costs. Costs will be charged to your FOAPAL monthly. Email billing@cms.ucsc.edu to set up a mail code.

Copier Program- The UCSC Copier Program provides self-service copiers at over 100 locations across campus. Copies are charged directly to your research FOAPAL. Please ensure you use your correct and complete FOAPAL.

B. Expense/Cost Transfers



Most expense transfers will show up in the financial system shortly after processing and approval while transfers of payroll expense (TOPE) only post to the financial system once per month.

Sometimes it is necessary to transfer an expense from one FOAPAL to another (for example, when a FOAPAL was charged in error). In that case, RA's can enter a Transfer of Expense (TOE).

Each expense transfer must be explained and justified in an email to your RA that explain the following questions, for audit purposes:

- Who- Written authorization from you is required except for data entry errors
- What was the reason for the transfer? How does the expense fall within the scope of the project?
- When- A sound justification is required for transfers older than 120 days after the original expense
- Why- Why was the expense charged to the wrong FOAPAL in the first instance?

Your RA can assist you with developing the required supporting documentation.

C. Fund Transfers – Providing Awards & Support

Transfers of funds between FOAPALs are only allowed using the same fund number and are not allowed on contract and grant funds. One exception is if you provide support to another PI or campus program from non-contract and grant funds. An expense share TOE is allowed between research FOAPALs. It must be allowable on your account. Your RA can tell you if it is allowable.

Awards for travel, research and honoraria are possible to undergraduates, graduate students, post docs and faculty. How they are handled depends on their employment status if any, type of award and if they are at UCSC or another UC campus. Your RA can assist you.

IV. PAYROLL - HIRING SUDENT/STAFF/ACADEMIC POSITIONS

If you are planning to hire someone using research funds, contact your department manager and RA to ensure that the process goes smoothly. Payroll is processed on a monthly basis. It is important to plan ahead and carefully adhere to deadlines or there could be payment delays. **Never allow work to be done prior to setting up a payroll appointment.**

A. Course Relief – Grant Funded Academic Salary

Some awards will cover a portion of your salary during the academic year, relieving you of a portion of your teaching responsibilities. Course relief needs to be specifically budgeted in a grant or provided from other funding sources.

Start with your department manager, who will obtain your Chair's approval. Once your department ok's your course relief, email your RA and explain what you would like. Your RA then completes a course relief form and submits it to division HR staff. Division HR then enters your course relief appointment in the payroll system.

Course relief is calculated at 15% of your annual salary, plus benefits and covers three months (one academic quarter). If more than two course buyouts are taken within the same academic year, it will negatively affect your accrual for sabbatical leave, benefits, etc.

B. Summer Salary



Research awards may also include funding to cover summer salary for faculty. Summer salary is paid in addition to your regular wage for up to three months (July through September). If you plan on receiving summer salary from a research fund, contact your RA in April to ensure timely processing. One month of summer salary equals 1/9 of your annual salary.

C. Graduate Student Researchers – GSR

It is important to check with your department manager before proceeding. They need to track GSR hires and can check to see if that student is already working.

GSR's can work up to 50% time during the academic year and full time over the summer, winter and spring breaks. You are required to pay their GSR fees (GSHIP). If hired at 24.99% or less, no GSR fees apply. Fees do not apply if the student is hired during the summer, winter and spring breaks. Ask your RA for a GSR Action Form to initiate a GSR appointment.

D. Undergraduates

Keep your department manager informed. Undergraduate student workers are hired through the Employee Recruitment System, either as work-study or non-work-study students here:

<http://www.careercenter.ucsc.edu/ers/erspub/main.cfm>

If you need assistance hiring an undergraduate, Hannah Hamilton can assist you, 459-3994, hlydepp@ucsc.edu.

E. Academic Positions **Campus AHR** <http://apo.ucsc.edu/>

In addition to central campus AHR, Social Sciences has AHR staff housed in the Division's central offices. They can assist you with hiring Post Docs and other academic positions. The AHR manager is Emily Johnson, 459-2912, ejohnso3@ucsc.edu. Betsy Tyler is the division's AHR Payroll Coordinator, 459-5155, ebartlet@ucsc.edu.

F. Staff

If your grant allows for hiring support staff, this may be done through either Academic or Staff HR, depending on the type of position. Check with your department manager before proceeding. For a new position, a job description must be developed and a job classification determined and approved before the hiring process can begin. Contact Hannah Hamilton to help determine the appropriate process (staff or academic), 459-3994, hlydepp@ucsc.edu

V. Effort Reporting System - ERS Federal & State Awards Only

The ERS identifies the percentages of time you, or staff/researchers working for you spent on research and academic activities on Federal awards and State awards. Since faculty and most researchers do not complete time sheets, this is the only audit trail that the campus can provide to auditors to verify that your research effort met or exceeded the percent of time paid.

After the fact effort reporting should equal or exceed the percentage of payroll charged to your award. This report is generated from the EMF office on a quarterly basis. Login and training guides are available at their website: <http://ers.ucsc.edu>

VI. APPENDICIES

Appendix 1 - What is a FOAPAL?

FOAPAL stands for Fund, Organization (or "Org" for short), Account, Program, Activity code, Location. It's a unique account identifier for each award. In practice, a FOAPAL normally refers to the unique combination of Fund, Org and, if needed, Activity Code that identifies each specific account.

- **Fund** is a five-digit number designating the source of the funds (State, Federal, foundations, gifts, etc.)
- The **Org** is a six-digit number that refers to the entity the funds are granted to. Each PI has a unique Org number. In Social Sciences most of them start with 44 or 48. Exceptions include Startup funds that start with 40.
- The **Account number** is a six-digit number that tracks expenses by type.
- **Program** designates a functional category and is the usually first two digits of the Org (normally you do not need to use this number).
- **Activity Code** is up to a six-digit alphanumeric that is user-defined and is normally used to designate different projects or purposes under the same Fund and Org combination. The first two letters represent the your department.
- **Location** refers to the UC campus – UCSC is 7 (You do not need to use this).

Appendix 2 - Acronyms

AHR	Academic Human Resources
COR	Committee on Research (Academic Senate)
ERF	Entertainment Reimbursement Form
ERS	Effort Reporting System- Ledger Review
EMF	Extramural Funds
FAST	Financial Administration Services and Transactions Offices (Accounts Payable)
FIS	Financial Information System (UCSC's) also called Banner
FOAPAL	<u>F</u> und – <u>O</u> rg – <u>A</u> ccount – <u>P</u> rogram - <u>A</u> ctivity Code - <u>L</u> ocation
FRG	Faculty Research Grants (Academic Senate)
FY	Fiscal Year
GAAP	Generally Accepted Accounting Principles
GSHIP	Graduate Student Health Insurance Plan
GSR	Graduate Student Researcher
ITS	Information Technology Services
ITD	Inception to Date
MOU	Memorandum of Understanding
MRPI	Multi-Campus Research Program Initiative
NCTE	No Cost Time Extension
OSP	Office of Sponsored Projects
PT	Post Travel form
PI	Principal Investigator
PO	Purchase Order
RA	Research Analyst
SHR	Staff Human Resources
SRG	Special Research Grants (Academic Senate)
TAR	Travel Advance Request
TOE	Transfer of Expense
TOF	Transfer of Funds
TOPE	Transfer Of Payroll Expense
UCOP	University of California Office of the President