

UNIVERSITY OF CALIFORNIA ENERGY INSTITUTE

Guidelines for Awards and Use of Funds

November 2005

This document contains general information on the U.C. Energy Institute's (UCEI) policies concerning the award and use of funds. It is intended for principal investigators, grant administrators, campus contracts and grants officers, and potential applicants for UCEI awards. Additional information is available on the UCEI web site (www.ucei.berkeley.edu) and in an annual proposal solicitation, which contains instructions for preparation and submittal of proposals.¹

Award Process and Schedule

Proposals are solicited and awards made on an annual basis. In the CES Program, multiyear projects may be solicited and funded, but continued funding is subject to satisfactory progress and the availability of funds. The following is a description of the process with **approximate** dates. Exact dates are specified in the annual request for proposals.

Early November

Proposals are solicited via an RFP and accompanying guides for proposers. The solicitation is mailed to approximately 500 departments, research units, schools, and colleges on the announcement date, in early November. The documents are available on our web site throughout the year; final versions are posted in early November. Approximately 2,400 individuals on our mailing list receive notification of the RFP. Individuals may choose one of two options: (1) notification by e-mail that the final RFP and guides are available on the web site, (2) printed copies by mail (the default for individuals who have not specified how they want to be notified). Requests to add a unit or an individual to the mailing list are welcome. Contact UCEI via the UCEI web site, email to ucei@berkeley.edu or fax to (510) 643-5180.²

¹ The most recent solicitation is dated November 1, 2005.

² The UCEI website provides convenient forms for this purpose under Grant Programs/Subscribe to UCEI Announcements. Requests via email or fax should include the following information for departments and other units: Name of unit, name and title of head, department office address, phone, fax, email, and whether the Department wishes to receive electronic notification in addition to RFP mailings. For individuals: name, academic title (e.g., Assistant Professor), unit(s) with which they are affiliated, campus address, phone, fax, email, area(s) of energy research interest, and preference for receiving either electronic notification or the RFP by mail.

- November-December** Preliminary abstracts may be submitted. (Submission is optional. UCEI's response is for purpose of guidance only.)
- Early February** Proposals due at UCEI. Proposals must be submitted *via the contracts and grants office on the proposer's campus* in time to arrive at UCEI by the date specified in the RFP, which is approximately 8 weeks from the date the RFP is distributed. In order to allow the full 8 weeks for proposal preparation, UCEI will accept "unofficial" copies for review, *provided the official copy is submitted to the contracts and grants office by UCEI's late February deadline*. Awards will be made only on the basis of approved proposals.
- February-April** Proposals are reviewed by peers in U.C. and other universities, national laboratories, government, and private companies.
- Mid May** UCEI's Intercampus Advisory Committee makes final decisions on awards based on the peer review, independent review by the committee, and the expected budget. Awards are announced based on budget projections. Awards may be reduced from the proposed budgets due to the elimination of inappropriate items.
- Awards are contingent on UCEI's budget allocation from the University. In the event of an unanticipated reduction in the size of this allocation, it may be necessary to reduce the size of the awards.
- Early August** UCEI receives its budget from the University Office of the President. Funds are transferred to grantees.

Use of Funds

UCEI grants may be used to support salaries of graduate and undergraduate students, professional research staff, and faculty (summer salary), employee benefits,³ supplies and expenses (S&E), and equipment. The budget format is described in the *Guides to Proposers*.

³ UCEI's grants are awarded with either 19900 funds or 07427 funds. For each of these funds, individual campuses may provide benefits to the recipients of the grants, so benefits may already be covered.

UCEI funds should *not* be requested or used for the following purposes:

S&E or personnel costs not directly related to the proposed energy research;

Faculty summer salaries in excess of \$10,000 or one summer month per faculty member, whichever is smaller;

Faculty release time during the academic year;

Tuition, educational fees, except as applied uniformly by campus policy;

General administrative services in excess of 7% of the total award. (Departmental overhead or similar charges by the administering unit are included in this);

Travel to attend professional meetings, except where the primary purpose is the formal presentation (written paper) of completed UCEI-sponsored research;

Foreign travel to attend professional meetings, except where the primary purpose is the formal presentation (written paper) of completed UCEI-sponsored research and travel expenses charged to UCEI grant do not exceed \$1,500;

General-purpose equipment (e.g., computers); and

Indirect costs (overhead).

Exceptions to these limitations may be made in extraordinary circumstances, **with the advance, written approval of the UCEI Assistant Director.**

Once an award has been made, it is the responsibility of the principal investigator to manage and monitor the expenditure of funds. UCEI awards must be encumbered by the end of the fiscal year (June 30), or they are lost to the investigator and the University. If it is impossible to encumber any portion of a grant, UCEI should be notified two months in advance of the fiscal-year end (no later than April 30).

Grantees may make small changes in the budget, provided the changes do not adversely affect the research. UCEI approval should be obtained for major changes (e.g., reallocation of a significant portion of the grant from S & E to equipment, or from student salary to salary of a professional researcher). Approval should be obtained for any budget change that affects the proposed research objectives or the investigator's ability to carry them out.