THE FUNDING SUCCESS HANDBOOK
Proposal Initiation, Development and Administration at CSU Stanislaus
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Identifying Funding Needs & Opportunities

General

Sponsored Programs provide significant benefit to the California State University (CSU) and further its educational mission by facilitating research, workshops, conferences, institutes and other projects that enrich the scholarly endeavors of faculty and students and enhance the services provided by the University to California communities. The policies and procedures in this document, in accordance with Executive Order No. 890, ensures that the benefits of Sponsored Programs are maximized and supports faculty, students, and administrators in effectively securing and carrying out Sponsored Programs.

For all contracts and grants, California State University, Stanislaus shall serve as the applicant agency and the fiscal agent in the administration of contracts and grants. In some cases, the foundation may serve as the applicant and fiscal agent. In all cases, the vice provost’s signature, as the authorized institutional representative, is required on all grants and/or contracts prior to submission. The university and/or the auxiliary, in conjunction with the principal investigator, are legally responsible and accountable to the sponsor for the use of funds provided and the performance of the sponsored program.

A Master Agreement has been executed between the University and the Auxiliary, effective 7/1/04 through 6/30/06 outlining the administration of contracts and grants between the two entities.

Discovering the Types of Funding Needs

Before the grant writing process begins, it is important to understand what type of grant-funded project is going to be developed. This will assist greatly in the resource investigation. Funding agencies and foundations have their own reasons for preferring one type of project over another. There are generally five types of proposals.

1. Program: Grants that help the university provide services to the community are called program proposals. It can also include non-instructional programs established to respond to a community need or solving a community program.
2. **Research:** These are grants to study a particular issue. Research outcomes might include the creation of knowledge, the organization of knowledge, the application of knowledge and creative activities. (Instructional activities such as workshops, short courses, and training grants, should not be classified within the Research program, but should be classified as part of Instruction.)

3. **Instruction:** These are grants that are for the expressed purpose of eliciting some educational change. “Educational change” includes the following criteria:
   - The acquisition or improved understanding of some portion of a body of knowledge
   - The adoption of new or different attitudes
   - The acquisition or increased mastery of a skill or set of skills. Both teaching and facilitating fall into this category.

4. **Student Services:** Student service funding opportunities generally fall under the following categories:
   - Expanding students’ educational and social development by providing cultural, social and athletic experiences
   - Providing those services and conveniences needed by students as members of an on-campus, resident student body
   - Assisting students in dealing with personal problems and relationships, as well as their transition from student to member of the labor force
   - Administering a program of financial support for students
   - Recruiting and admitting students to the institution’s educational program.

5. **Scholarships/Fellowships/Financial Aid:** Financial assistance provided to students or faculty in the form of grants, stipends and prizes awarded. Included in this category are tuition, fee waivers, as well as gifts and prizes that are not contingent upon the students’ rendering services to the institution.

### Concept Development

Faculty are encouraged to engage in appropriate outside professional activities. However, it is important to note that sponsored projects may not interfere with the regular instructional responsibilities of the university. By exception, the Vice Provost may approve the submission of a grant or contract proposal by others when such action is in the best interest of the university and provided that space and facilities can be assigned without detriment to the regular instructional and research responsibilities of the university. In such cases, a written explanation of the approval shall be included in the project file as a matter of record. An individual who proposes a grant or contract must be a university employee and must personally participate to a significant degree in the project and is responsible for its execution in accordance with university policies and regulations of the funding agency. With this in mind, it is important for the Principal Investigator to know that solicitation authority for extramural support of projects can only officially be made by the authorized university official. This is particularly so when considering funding opportunities available through a private source or foundation. For a full understanding of these
Establishing the need for your project is critical to the funding process. Needs documentation is the process of finding evidence that there is a need for the project. One of the prime ways in which a grant writer can fail is to provide inadequate documentation of the need. The following are examples of establishing need. Be wary of going overboard with extraneous statistics as much as you are of giving too many anecdotal examples and not enough ‘hard data’.

**Letters of Support:** These should be written by individuals who are very knowledgeable about the issue you face. It may include elected officials, experts, or people in the client population.

**Public Hearing:** These can paint a picture of the needs of your client population and show a broad base of support for your efforts. It also can reflect the ability of the grant writer to seek community input into the program.

**Case Studies:** This can be an in-depth profile of one person in your client population. The case study looks at family history, health concerns, and job performance to better understand the individual. A series of case studies of different individuals can be woven together to tell the story of your client population. It is important to note that this type of need development is not sufficient in and of itself. Rather, combined with other types of needs assessment, it strengthens the case being built. For assistance on innovation in case study analysis, refer to Sarah Lawrence Lightfoot’s books titled, *The Good High School: Portraits of Character and Culture* and *The Art and Science of Portraiture*. Another resource might be *Introduction to Qualitative Research Methods* by Steven J. Taylor and Robert Bogdan.

**Review of Public Records:** Many public agencies gather data that can assist the grant writer in building a case of need.

**Literature Search:** Reputable published documents are an important part of establishing needs, methodologies, and needed programs/outcomes. Many federal government entities, such as the National Science Foundation, weight this aspect of the grant proposal very heavily.

**Survey:** An analysis of the client population based upon statistically significant random selection can be very powerful. Other resources are available to faculty for check-out in the Office of Research and Sponsored Programs.

**Evidence of Demand:** Your own information, such as long waiting lists for your programs, is also good evidence of demand.

*It is important to note that no one element of need is sufficient, but rather a selection of ideas in concert, band together to build a strong case. Once the need has been established, it is time to find the resources to address those needs. Research and Sponsored Programs can assist you in this endeavor by providing a tailor-made search or the ORSP web site has several search engines available which can assist in finding additional sources.*
Overview of Chapter I: Identifying Funding Needs and Opportunities

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<tr>
<th>Step</th>
<th>Proposal Writer Responsibility</th>
<th>Service of Research &amp; Sponsored Programs</th>
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<tr>
<td>Step 1: Develop the Project Idea</td>
<td>▪ Review the literature &lt;br&gt;▪ Establish the need for the project &lt;br&gt;▪ Relate idea to purpose/outcome &lt;br&gt;▪ Consult with other experts &lt;br&gt;▪ Show how you and the university have an established presence in this project area &lt;br&gt;▪ Hold preliminary discussions with the department head, dean and Research and Sponsored Programs &lt;br&gt;▪ In conjunction with Research &amp; Sponsored Programs, determine contact protocols and initiate contact with potential external partners/collaborators</td>
<td>▪ Assist in providing institutional and community data to support and build the case for your project &lt;br&gt;▪ Analyze federal, state and private agency programs that may be relevant funding sources &lt;br&gt;▪ Prepare timeline for completion of local tasks</td>
</tr>
<tr>
<td>Step 2: Pre-proposal Activities Begin</td>
<td>▪ Work with Research and Sponsored Programs to determine potential sponsors to be approached (for policies related to this, refer to Part III: Definitions and Policies on Grants and Contracts at CSU Stanislaus) &lt;br&gt;▪ Confer with the sponsoring agency in accordance with Stanislaus’ policies &lt;br&gt;▪ Examine proposal guidelines or ‘Request for Proposals’ (RFP) and begin outlining ideas related to the various requirements.</td>
<td>▪ Assist the Principal Investigator or Program Director in determining potential sponsors to be approached &lt;br&gt;▪ Obtain proposal guidelines &lt;br&gt;▪ Facilitate contacts at the sponsoring agency (Part III: Definitions and Policies on Grants and Contracts at CSU Stanislaus) &lt;br&gt;▪ Request proposals funded by the agency that were similar in scope to provide a blueprint for the PI.</td>
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Steps in Developing a Proposal

Anatomy of a Proposal

If the sponsoring agency does not provide specific instructions for what should be included in a proposal, the following guide may be helpful. However, when guidelines are available, read them carefully and follow them to the letter since nothing annoys a reviewer more quickly than a proposal that is poorly organized and does not include the requested information. As quoted by a Program Officer at the National Endowment for the Humanities, “READ DIRECTIONS, READ DIRECTIONS, READ DIRECTIONS!”

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<tr>
<th>Heading</th>
<th>Contents</th>
<th>Alternative Heading</th>
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<tr>
<td>Title Page</td>
<td>Name of organization applying for funding; contact information for the PI (address, phone number, fax and email); name of the agency to which proposal is submitted; project title <em>(keep it short and descriptive)</em>; dates of the project period; total amount of funds requested; signature of authorized official(s) (This would include the Vice Provost for Academic Affairs and, if applicable, the Vice President of Development and University Relations. Research and Sponsored Programs will assist the PI in this).</td>
<td>Cover Sheet</td>
</tr>
<tr>
<td>Table of Contents</td>
<td>Listing of proposal sections with page number references (include a listing of the attachments). Some federal agencies provide their own forms for this page, but even if one is not provided, the table of contents is helpful so reviewers can easily find the relevant parts of the proposal.</td>
<td>Application Form</td>
</tr>
<tr>
<td>Abstract</td>
<td>Usually no more than one page. The abstract is a summary, not an introduction. Include a sentence or two about each of the principal aspects of the project: the problem to be solved, objectives, methods, expected results, and major budget items. The sponsor may specify the length of the abstract. “It should be a self-contained description of the activity that would result if the proposal were funded. It should be informative to other persons working in the same or related fields, and insofar as possible, understandable to a scientifically or technically literate lay reader.” <em>(NSF Grant Proposal Guide)</em></td>
<td>Project Description</td>
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Executive Summary

Summary
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<tr>
<th>Introduction</th>
<th>An introduction is usually needed to give background information on the nature and importance of the problem to be solved. Why is the problem important, and what is its history? The introduction is particularly important for non-specialist reviewers. It can range in length from only a paragraph to several pages, depending on the situation.</th>
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<tr>
<td>Needs Statement</td>
<td>The need or rationale for the project must be established. Explain what is wrong or missing in current theory or practice in your field in terms that match a particular sponsor’s interests and that justify your choice of method or activity. For example, the problem to be addressed might be an important hypothesis not yet tested, a creative approach not yet tried, a population not yet served, or a source of valuable data not yet explored. Think about social or academic needs the sponsor is trying to address by offering grants, and direct your proposal to those needs. This section of text may be included in the introduction, or it may be a separate section.</td>
</tr>
<tr>
<td>Goals and Objectives</td>
<td>The objectives of the project need to be stated clearly, whether in a separately labeled section or as part of a general narrative. For a multi-year project, it may be appropriate to distinguish between broad long-term goals and specific objectives for the first year or two. Pay close attention to the sponsor's interests and goals, and express your objectives in terms and contexts that are appropriate to what the sponsor wants.</td>
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| Project Plan | The methods or activities you will use to accomplish the project objectives may be described in a separate section or as part of a broader descriptive section. A common reason given by reviewers for declining a proposal is that the Principal Investigator does not explain with enough clarity how she or he will actually accomplish the objectives. Describe the methods as fully as possible within the space limitations. Specify the following:
1) how concepts will be defined operationally,
2) how variables will be measured,
3) what hypotheses will be tested or inquiries will be conducted, and
4) what equipment will be used.
For many projects, it is important to describe follow-up activities that will continue after the funded project period. If you are using funds to start a new program, how will it be supported in the future? If you are using funds to generate useful educational materials, how will they be distributed? While you usually can't make guarantees, show that you have thought through possible continuing activity.
Try to anticipate the reviewer's questions about your intended activities. Is all the necessary equipment available to you? Do you have assurance of access to facilities, records, or persons that are needed for the work? Have you considered alternative interpretations of the data? Have you justified unusual procedures? An additional strength is to have another person review your experimental design and validate it prior to... |
**Evaluation**

After the project is completed, how will you know that you have accomplished the stated objectives? Will the accomplishments and remaining problems be identified clearly enough for future workers in the same field? Evaluations can range from informal observations to elaborate experimental designs. You may be asked to use an outside evaluator, someone not in your institution and not already part of the project. Be sure you know what evaluation the sponsor expects and demonstrate your ability to meet that expectation. Standard accepted methods can be referred to by name, but unfamiliar or controversial methods should be explained and justified. Make clear that these methods are appropriate for your project. Reviewers who are expert in your area of work will read this section closely, so be sure it is complete.

**Dissemination**

Explain how the project results will be made available to others. This may take the form of publications in professional journals, presentations at national/regional meetings, or technical reports. If the project is applicable elsewhere and it is appropriate to include a plan of pilot implementation, be sure to describe this as part of the project plan and make appropriate allowances in the budget.

**Responsibilities of Key Personnel**

Responsibilities of project personnel may have to be detailed if there are numerous investigators or managers in the project. It is advisable to outline what each person will do. One or two sentences for each are usually enough, but include significant subcontractors as well. For large projects, an organization chart may be appropriate. For projects that are small or in which the lead responsibilities are fairly obvious (e.g., a lab scientist and several technicians), an organization chart is usually unnecessary. When two or more investigators will be sharing the work equally, it is customary to designate one person as the Principal Investigator for such purposes as signing application forms and approving financial transactions during the project. Like the timeline and the budget, this section gives reviewers another perspective on how well you have thought through the work you are proposing. Include résumé or curriculum vitae as requested or necessary.

**Equipment and Facilities**

Describe what facilities are available to you, how they will help you achieve your project objectives, and their appropriateness to your project. If you plan to use your existing university office with some clerical assistance, not much description is needed, but for complex laboratory work or projects involving major campus facilities, several paragraphs may be required.

**Timeline**

A timeline or work schedule is generally advisable. By tying the steps in your method to a schedule, a timeline is a useful way for you to check your own planning and for proposal reviewers to picture your project.
development. A schedule that is implausible for the work being proposed will be seen as a serious flaw in the proposal. Including a timeline can preclude misunderstandings that might occur later in the course of the actual project. In setting the start date for the project, remember to allow ample time for the review process and for award negotiations (6-9 months).

### Sources of Funding

Other funding for the project should be specified in most cases. If the proposed work or related work is, or has been, supported from other sources, or if you have definite plans for seeking such support, communicate that information in the proposal. This information serves several purposes. First, it helps the sponsor understand the project in a larger administrative or intellectual context. Second, evidence of past support shows the sponsor that you have been considered worthy of funding by other sponsors. Third, sponsors may want reassurance that you are active in pursuing other means of support so they will not be held responsible for all costs or be saddled with an incomplete project. Many sponsors provide separate forms for listing recent and planned support. If your sponsor does not, then you may wish to create a special page or make appropriate references in the narrative text.

### Budget

A budget is always necessary, and a narrative explaining any special aspects of the budget is often required. Because the budget is so important to a proposal it is considered at length in a separate section.

### Appendices

For information on examples of supporting documentation, see *Chapter 1, Identifying Funding Needs and Opportunities; Concept Development*. Sponsors may require specific attachments. Always submit every required document. Some sponsors, especially government agencies, might require legal certifications. However, use caution and good judgment. Do not expect attachments to make the main points of the proposal. The narrative text must do that. Do not overload the proposal with attachments. Know what kinds of attachments the sponsor expects to receive and do not send anything else.

A bibliography is necessary for many academic proposals. Be certain your literature review is up to date. Be sure the style and format of citations are conventional for your discipline and used consistently throughout, and that references cited in the text are included in the bibliography.
Measures of Funding Effectiveness

1. **Severity of Need:** It is important to show that your community needs the proposed program. However, it is also important to demonstrate that the need is more severe, in quantifiable terms, than the need of other communities competing for the funding. The funding agency will have to defend their decision to all the applicants that were denied, so be sure to make this clear.

2. **Shared Mission:** Every funding agency and private foundation has a mission statement. For a public sector agency, this mission statement is often found in the enabling legislation that established the grant program. For a private foundation, its charter often lays out the goals of the organization. Does your grant help the funding agency further its goals? If not, look for another source of money.

3. **Competitiveness:** Keep it simple and precise. The proposal should be able to be summed up succinctly. Government grants in particular include the scoring sheet that the reviewer will use to grade your application. Self-evaluate your proposal and invite trusted colleagues to do the same. You may get valuable feedback. Other indications of competitiveness include the following: Is the dollar amount of your request within the average range of the awards given out in the previous year? Is your proposal for a project typically funded by the agency? Be sure to investigate previously funded projects when preparing applications to private funding agencies. If there are other very similar projects funded, you may want to reconsider finding an alternative funding source.

4. **Consistency:** Is your application logical from start to finish? Are there gaps where you have outlined a problem but given no solution? Many funding agencies will want to know plans for how the project will be self-sustaining beyond the time frame of the grant. What additional funding plans lie ahead? What are the long-reaching effects of this program? How might it be generalized to help other communities? These may be important issues to address.

5. **Competence:** In addition to your application, the university will be assessed also. You must show that you are capable and effective. The funder will want to know that if you are given money, you will carry the project to a successful completion. Many people submitting grant applications include a separate capability statement as an attachment to the application. This is a brief overview of the university, the projects that have been undertaken, and any awards or accreditations that have been received.

6. **Understanding the Problem and Solution:** Have you shown that you understand the problem that you have documented? Your application must outline a service method that addresses the problem that you have documented. The solution proposed must be consistent with the currently accepted ideas or methods in your field. If you are using outdated terminology or techniques, your application will be quickly discounted. According to Program Directors in the National Science Foundation, 25% of your time should be spent outlining the problem and 75% of your time should be spent outlining a
clear-cut solution. These proportions may vary. However, if the proposal spends most of the time discussing the problem and the solution is unclear, imprecise, or hazy, finding funding for your project will be difficult.

7. **Accountability:** Funding agencies typically prefer applications that have detailed timetables with milestones clearly marked. If you are funded, they will want to measure your progress. If you stated that you would begin evaluating clients for your new program after three months, but have not even hired an evaluator at this point, it can indicate that you have a troubled program. The funding agency may want to step in with some advice, closer monitoring, or, in the worst case, discontinue funding.

8. **Realistic Goals and Budget:** Promise only what you can deliver. If you are awarded the grant, your application will become the basis for a contract with the funding agency. You will then be obligated to do whatever you proposed in your application. Be sure to work with the Office of Research and Sponsored Programs to determine appropriate and ‘red flag’ expenditures. Many times, contact with the relevant Program Officer at the agency can guide you through this process by taking a look at a draft budget and giving feedback regarding it.
## Self-Assessing Proposal Effectiveness

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<th>Indicator</th>
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<td>Severity of Need</td>
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<td>Shared Mission</td>
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<tr>
<td>Accountability</td>
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<tr>
<td>Realistic Goals and Budget</td>
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Budget Preparation

Normally, California State University, Stanislaus is the applicant agency and also serves as the fiscal agent. Exceptions may occur in instances in which agency regulations require the foundation to serve as the applicant and fiscal agent.

The budget should be as realistic and accurate as possible. State policy is for departments to recover full costs whenever goods or services are provided for others. Cost allocation plans for the reimbursement of facilities, goods and services provided by the campus to outside organizations must be in place, monitored and documented. With this in mind, the budget should show that the costs are clearly related to the goals of the project. The better this is done, the stronger the proposal. A budget normally has a numerical section with dollar amounts for each category of spending, followed by a narrative section in which you explain the items shown on the budget, why they are necessary, and how they are calculated. This information helps reviewers understand your project and simplifies later discussions with the sponsor's staff on why you requested certain amounts for various tasks. Large or unusual items (such as international travel, consultants, expensive equipment, subcontractors, or construction costs) should certainly be explained. Routine or small items may not need explanations. For match funding or cost sharing, indicate the source of the contribution. This text will usually be placed just before or just after the actual budget pages.

The budget is one of the most important parts of the proposal because the funding agency knows your project’s success depends on how well you have identified and accounted for all of the major resources necessary to ensure completion of the objectives. Topics most often included in a budget include the following:

The sponsored program administrator shall be responsible for final certification of project budgets and budget change review procedures. In addition to the authority listed in “Proposal Submission, Review, and Approval” the vice provost as the authorized institutional representative shall have full authority to (1) commit the university to make an offer of services; (2) negotiate and accept terms and conditions or an award (i.e., letters of acceptance, contracts, and first and second tier sub-recipient agreements); (3) authorize subsequent changes to existing agreements; and (4) ensure that the university meets its reporting obligations to quality and timeliness to the finding agencies.

Direct Costs

All externally funded projects have two general types of costs associated with them. The first group of costs is “direct costs.” These are the expenses incurred in the routine or day-to-day operations of the project. These costs are directly and uniquely associated with the project. For example, purchasing supplies for an experiment, paying mileage for travel to present research findings, or buying a computer to track attendance and participation of people in an innovative education program could all be direct costs. Direct costs are detailed in the budget section of the proposal and typically can be categorized as Personnel, Equipment, Supplies, Travel, Contractual, or Student Stipends. Every dollar spent as a direct cost to a project must be documented and is subject to audit. Direct costs are the fuel that runs the project.
Faculty
The Sponsored Program Administrator shall be the employer of the principal investigator and other employees with regard to work performed in furtherance of each sponsored program. When the principal investigator is a university employee and the Sponsored Program Administrator is the auxiliary, the auxiliary designee will work with the Vice Provost regarding the assignment, evaluation, and termination of the principal investigator. Should problems develop with regard to human resources issues, procedures for resolving problems shall be followed as outlined in the Procedures for Conducting Joint Investigations. Should problems fall within the scope of existing campus policies for the conduct of research, CSU Stanislaus shall follow the appropriate research policy and procedures (e.g., scientific misconduct, human subjects, animal welfare, and intellectual property). This applies regardless of whether the employee is being paid directly by the university or auxiliary.

Many extramural funding efforts require the dedicated attention of one or more CSU Stanislaus faculty members. When a faculty member's time is reassigned to work on an extramurally-funded project, the department must either pay someone else to accomplish the tasks the faculty member would have done, or defer or drop the tasks. Typically, faculty members request release from some portion of their teaching responsibilities—usually a teaching assignment equal to 3 WTUs—and the department hires visiting lecturers to teach the class(es).

Faculty Salary
A faculty member’s salary is determined by his or her employment contract and rate of pay as reported by the university payroll office. Typically, the salary reflects about 171 days of employment over a ten-month period. Specify the weighted teaching units (WTUs) to be released for the project and budget that portion of the faculty member's academic year salary plus benefits. A few sponsors, especially the CSU system, will pay only the actual cost of the replacement instructor, which is usually less than the faculty member's annual salary and benefits. In this case, refer to the chart differentiating actual costs versus replacement costs.

CSU Stanislaus is on a 4-1-4 modified semester system. Faculty members teaching at the university receive compensation based on a 5-2-5 system. Each full-time faculty member receives $12,500 (or 41.67%) of his or her academic year salary for work performed in the fall semester and another $12,500 (or 41.67%) for work performed in the spring semester. In the winter session, faculty members receive credit for $2,500 (or 16.66%) of their academic year workload. Converted to WTUs, fall and spring represent 12.5 WTUs each and winter represents 5 WTUs.

If a faculty member dedicates only a portion of an academic year to a project, then the salary compensation must be adjusted to reflect the computational base of that portion. For example, if a faculty member makes $49,500 per academic year and works full time on a project during the winter session, then the computational base for the salary cost is 16.66% of the full salary or $8,247 (i.e., $49,500 x .1666).

If a faculty member dedicates 50% time to a sponsored project during fall semester and winter session, and does not dedicate any time during the spring semester, then the compensation would be 50% of
58.33% of the salary base (the sum of the fall and winter portions). Assuming a $49,500 base, then the compensation would be $14,437 (i.e., $49,500 x .5833 x .5).

**A Comparison of Replacement versus Actual Costs**

<table>
<thead>
<tr>
<th>Replacement Costs</th>
<th>Actual Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>The amount of money necessary to hire someone to teach the class, calculated based on the academic rate for the person.</td>
<td>The cost of the faculty member’s release time based upon WTUs (Faculty Affairs will provide this information.)</td>
</tr>
<tr>
<td>10.65% of every replacement employee’s salary to cover OASDI/FICA, Medicare, and Worker’s Compensation.</td>
<td>34% of the faculty member’s salary (Calculate 34% of the cost of the number of WTUs of release time.)</td>
</tr>
</tbody>
</table>

**Distribution of Salary Savings**

In cases where there is salary savings resulting from the difference between the replacement costs of the faculty member’s release time and the actual cost, the university dedicates the remaining resources to promoting further research, scholarship and creative activities support. It does so with the following distribution of the funds.

<table>
<thead>
<tr>
<th>Distribution of Salary Savings</th>
<th>Percentage of Salary Savings</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI</td>
<td>30%</td>
</tr>
<tr>
<td>PI’s Department</td>
<td>10%</td>
</tr>
<tr>
<td>PI’s Dean</td>
<td>20%</td>
</tr>
<tr>
<td>Research &amp; Sponsored Programs</td>
<td>40%</td>
</tr>
</tbody>
</table>

**Faculty Salaries for Non-Contract Periods**

Payment for work during an academic term not covered in a faculty member’s contract is usually made at the rate of 1/10 of the annual salary for each full month of such employment. (Remember that the monthly pay most faculty members receive is based on a twelve-month distribution of a ten-month salary. To figure the amount to charge for a month of your time, divide your academic year salary by ten, not by twelve.) These off-duty periods start on the day after the last day of a semester or academic year; the periods end on the day before the first day of the academic year or semester as defined in the academic calendar. Non-class periods (e.g., spring break) are not regarded as part of the regular school year.
Employee Overload Time
Additional employment through contracts and grants is subject to the university or the auxiliary’s additional employment and overload policies, and the Chancellor's Office MOU Articles 35 and 36, “Outside Employment” and “Additional Employment,” respectively.

Employees of the university who are working on a sponsored project cannot be paid overload stipends or special consultant fees without the prior written approval of both the sponsor and the university. Reimbursement for overload can not exceed 125% of the approved workload for faculty.

Faculty Employee Benefits
All employees at CSU Stanislaus receive benefits. At a minimum, CSU Stanislaus contributes 10.65% of every employee’s salary to cover the matching costs of OASDI/FICA (6.2%) and Medicare (1.45%), and the costs of Worker’s Compensation (3%).

Faculty members with a combined employment of more than 12.5 Weighed Teaching Units (WTUs) for spring and fall during a single academic year, qualify for full benefits, calculated at 34% of salary. This rate reflects the university’s federally negotiated budget rate.

Other Personnel, Salaries and Wages
Compensation for personnel is an area covered by many regulations due to potential problems with taxes, conflicts of interest, and fringe benefits. The following sections cover only the most frequently encountered questions, so please check with the Office of Research and Sponsored Programs in advance with any particular questions about your own project budget.

The following notes on personnel costs refer to people who will be paid as employees of the university. If a substantial portion of the work is to be done by employees of another organization, then that work might better be handled as a subcontract. See the sections below on consultants and subcontracts.

Student Assistants or Work Study Students
The use of students to assist with your funded project is encouraged because of the work experience and income it provides students on our campus. Students are usually permitted to work on campus no more than 20 hours per week, sometimes with a limit on the total number of hours they can work during the academic year. Forms to start the process of hiring student assistants and work-study students are available in several offices on campus, including the Office of Research and Sponsored Programs.

Salaries and Job Descriptions for Other Staff
Individuals hired for a project must be hired and paid according to standard CSU procedures. These restrictions apply to all full time employees, and are also recommended for part-time employees. If none of the titles and job descriptions in the existing personnel system fit your needs, then you may identify an appropriate title, job description, and salary range based on similar work in the same profession. A brief documentation of such a position survey should be included in the budget explanation pages of your proposal. For assistance in obtaining additional information, contact a Contracts and Grants Specialist in the Office of Research and Sponsored Programs.
Independent Contractors

It is often necessary to subcontract for work that cannot readily be done by CSU Stanislaus faculty or staff. Such arrangements can range from a simple agreement for the services of one individual to an elaborate arrangement between two institutions. These services can be listed as "Other Costs" rather than as "Personnel," and they are paid through purchasing, not through the campus payroll department.

Government regulators and auditors pay great attention to defining the appropriate use of contractors, because institutions do not pay the same rate of government taxes for a contractor as for an employee. If a contractor is to play an important role in the project, it helps to specify the name of that person and the work that will be done within the state of California. Include a resume or vita with the proposal.

Remember that CSU faculty and staff cannot be paid as contractors, only as employees. The university does not pay university employees for services as contractors. For assistance or additional information, contact the Office of Human Resources at 667-3351.

Salary Increases for Future Years

If the grant period extends over more than one fiscal year, or starts in a future fiscal year, remember to include salary increases for future pay periods. If the pay increase rate for a future period is unknown, use an estimate of 5% per year, or check with the Office of Faculty Affairs at 667-3392.

Personnel Benefits

The State of California provides various fringe benefits for employees depending on their personnel status. When you write a proposal, you must also request money to reimburse the state or foundation for the fringe benefits they will pay the persons employed on the project. These fringe benefits will almost always include Medicare, social security (FICA), workers’ compensation insurance, and unemployment insurance. Other benefits that may be included are retirement, vision, dental, health, and life insurance. Check with the Office of Human Resources (667-3351) for employee eligibility.

Different benefits are provided to different categories of employees, and the benefits and their costs change from time to time. In planning your project budgets, the following figures for fringe benefit rates for grants are accurate as of September 1, 2003, and should be verified before submitting final proposals:

- Full-time Faculty and Staff 35%
- Foundation Employees 40%
- Student Assistants 4.45% (during the academic year) and 10.65% (during the summer)
- Consultants & Independent Contractors 10.65%

Equipment

While some sponsors are willing to supply equipment for their grantees and others have special programs to supply equipment, some sponsors do not fund such purchases. Generally, items costing more than $500 with a useful life of more than one year are considered as equipment rather than supplies. (Library books, works of art, recordings, and built-in furnishings are typically not included in
this definition.) Be sure to check with the sponsor's published guidelines or with its staff to determine what equipment purchases, if any, are allowed.

Explain exactly what equipment will be purchased and why it is necessary for the project. Be certain your price estimates are accurate and include additional costs such as tax, shipping, and installation. For large or unusual purchases, you may be required to include a quote from one or more vendors. Check with the Purchasing Department for assistance with meeting university requirements (667-3987).

Some sponsors prefer that you obtain equipment without purchasing it. Two alternatives include leasing for the length of the project or sharing existing equipment with a colleague on campus. Additionally, sponsors are rarely willing to pay for general-purpose equipment, such as bookcases, desks, or filing cabinets, and requests for personal computer equipment should be thoroughly and carefully justified.

**Supplies**

Virtually every project requires some expenditure on supplies. For large amounts of money, or for large portions of the total budget, the request for supplies should be explained. Prepare a brief list of the types of supplies you will need for your project. It will be useful for your own planning, even if the sponsor does not require it.

**Travel**

Travel of the project staff shall be previously authorized by campus administration, and reimbursement of travel involving multiple projects shall not duplicate payment and shall be properly documented. The cost for local travel to areas within California easily reached by car should be estimated by multiplying the number of miles driven by the standard rate for private car usage. When appropriate, you may also include parking fees and bridge tolls. Current rates are available from the Office of Research and Sponsored Programs at 667-3493.

Travel to other cities should be estimated by adding the airfare to the per diem costs for hotel, meals, and incidentals. In some cases, you may need to include other items, such as registration fees and local transportation. Per-diem rates for hotels and other expenses may be limited, so be sure to check the sponsor’s guidelines.

How thoroughly travel costs need to be explained depends on the nature of your proposed project. In some instances, such as proposing a conference presentation trip as one part of a large research project, round numbers like $1,000 or $750 will often suffice. In cases where travel is important to the nature of the project, or where a large portion of the budget is specified for travel (such as supporting the travel of conference participants or traveling to gather research data), a more complete breakdown of costs would be appropriate. In all cases, travel expenses will be governed by and should be estimated using standard CSU Stanislaus travel policies. These are cited in the University Manual, and the Faculty Handbook.
**Campus Services**

Use of the University Library, Central Computing Services, and Public Safety as part of the project activity should be included in the grant budget. Library costs may represent up to 2 percent of a federal research grant, unless the sponsor pays indirect and administration costs.

**Facilities**

Use of offices, classrooms, and other facilities may be included as part of the budget. Faculty offices are typically 120 square feet, and the value is currently determined at a rate of $6.45 per square foot. The amount used for the grant is prorated by the number of days, weeks or months the facility is to be used for proposed grant activities. Other facilities are prorated based on the rate that would be charged to rent the space.

**Indirect Costs**

In contrast to the direct costs, universities also incur costs to maintain campus research and program facilities and to provide the administrative support necessary to conduct the sponsored project as efficiently as possible. Historically, these costs have been referred to as “indirect costs.” However, more recently, the Office of Management & Budget has renamed this group of expenses as “Facilities & Administrative” or F&A costs. All proposals submitted by California State University, Stanislaus and by the auxiliary shall include requests for facilities and administrative costs (F&A) funding at the maximum rate allowed by the funding agency, whenever possible, in accordance with CSU policy, university and auxiliary policy.

The university’s negotiated F&A rate is 45.4% of salaries, wages, and benefits. In our rate agreement with the federal government in 2002, we documented that for every $10 paid to an employee, we incur $4.54 in support costs. Our buildings, accounting and personnel systems, chairs, deans, vice presidents and all other sources of support associated with a sponsored project, represents about 45% of the “direct” effort.

Funding agencies pay F&A cost recovery because they are real costs. They are documented and approved through a legally binding negotiation process. They are the expenses that support building and maintaining a viable research and program development operation: **F&A costs are the fuel that runs the university’s sponsored scholarship enterprise.**

The CSU Stanislaus negotiated F&A rate of 45.4% is sometimes called the “full rate” or the “research rate.” Many times a funding agency or a specific competition within a funding agency will not permit the full rate of F&A costs recovery. When an agency does not allow the full rate, it will typically state a smaller amount that may be recovered. This smaller amount is known as the restricted rate or training rate, which is typically 8% of the modified total direct costs associated with the project. The rationale for a training rate is that the campus is not incurring the full range of costs associated with a research project and should be able to support the efforts at a reduced rate of facility and administrative involvement.

In some circumstances, an agency or competition will not allow any F&A costs to be recovered in connection with a project. Typically, this reflects the fact that the university is the primary beneficiary of
the award, and the agency cannot justify paying the F&A costs associated with strengthening the university. Essentially, the agency is saying, “We have given you this money to support your campus, and we will not pay you to manage this ‘gift.’ At a minimum, this should already be a part of your operations and you should be willing to waive your F&A recovery for a project that primarily benefits you.” For example, the U.S. Department of Education’s Title III Strengthening Institutions competition does not allow F&A recovery.

F&A recovery represents a fixed percentage of the direct costs of a project; therefore, small projects usually have small amounts of recovery and large projects involve proportionately larger amounts of recovery.

**Facilities and Administrative (F&A) Costs**

The university incurs costs by maintaining day-to-day operations so you can complete your project. Examples of indirect/F&A costs are: maintaining and operating a physical plant; utilities; general administration; library; use of capital assets; and staff services such as purchasing, payroll, and accounting. Indirect costs limitations are often specified by the grant guidelines. Please consult with the Office of Research and Sponsored Programs for current information on F&A rates. University policy is to request full indirect costs on all projects unless there are specific written agency exceptions. Exceptions to established rates can be made only upon the recommendation of the Vice Provost on behalf of the Provost.

**Campus Policy/Academic Affairs Distribution**

The university assigns the first 8 points of the recovery to Financial Services for accounting costs, and the entire balance is assigned to Academic Affairs. For example, if an award collects 15% or 15 points of F&A cost recovery, then 8 points would be allocated to Financial Services and 7 points would be allocated to Academic Affairs. (Grants with F&A recovery of 8% or less will not yield funds to Academic Affairs.)

F&A cost recovery is used to support Principal Investigators, departments, schools/colleges, and the campus-wide research and program development enterprise. Consistent with this goal, Academic Affairs' F&A recovery is distributed, quarterly for the life of the grant, as follows:

1. 25% of the award-specific recovery go to the project’s Principal Investigator(s) to be used to support his or her professional development activities and incidental project support;

2. 25% of the award recoveries go to the home department(s) of the Principal Investigator(s) and are used to support their department’s faculty professional development activities;

3. 15% of the award recoveries go to the college/school dean(s) of the Principal Investigator(s) and are used to support professional development activities at the school and college levels;

4. 30% of the Academic Affairs portion go to the Office of Research and Sponsored Programs to be used in support of external funding development activities; and
5. 5% of the Academic Affairs portion go to the Office of the Provost to be used in support of external funding development activities.

Increasing F&A
Using F&A cost recovery to support research and program development at CSU Stanislaus is an important part of Academic Affairs' overall plan to increase support for faculty scholarship. Additional areas of support development include:

1. Help faculty refine and develop research ideas that would be good candidates for extramural funding. We will use a variety of resources to accomplish this objective.

2. Help faculty identify good funding sources that have goals compatible with the mission of higher education and our faculty's project objectives.

3. Help faculty ensure that every proposal budget provides the resources necessary to accomplish the scholarly endeavor, and dedicate resources to strengthen the quality of proposal submissions to increase the likelihood of each proposal being funded.

4. Help faculty ensure the inclusion of F&A cost recovery in all proposals to funding agencies that allow F&A cost recovery.

5. Make the proposal preparation and submission process as efficient and effective as possible.
This plan and the current policy on F&A cost recovery distribution provide tangible rewards to Principal Investigators and bring additional resources to them, their departments, and their colleges or schools.

**Allowable vs. Unallowable Costs**

Office of Management and Budget (OMB) publishes Circular A-21, *Cost Principles for Educational Institutions* ([www.whitehouse.gov/omb/circulars/a021/a021.html](http://www.whitehouse.gov/omb/circulars/a021/a021.html)), the basic guiding document for federal grants. Costs are not considered allowable under a federal grant unless they are:

- Necessary and reasonable to the grant project
- In compliance with the limitations of a grant agreement
- Allocated to the grant on a basis consistent with policies that apply to all activities of the grantee
- Accounted for consistently and in accordance with generally accepted accounting principles
- Not previously allocated to or included in the cost of any other federally funded program.

Because Circular A-21 does not identify every potential allowed cost, some interpretation may be necessary. However, certain types of costs are specifically not allowed. These include most advertising (except for recruitment or procurement), bad debts, contingencies, entertainment, fines and penalties, interest, and losses on agreements.

**University Cost Sharing**

Many grants require that the university show financial support for a project by making what is called a match. When this is required, cost-sharing components should reflect an accurate and acceptable contribution by the campus. In some cases, the university may share or match costs associated with a sponsored program instead of recovering indirect and direct costs (F/A). When there is cost sharing or matching in connection with a sponsored program, the sponsored program administrator, in conjunction with the principal investigator, shall document actual costs shared or matching contributions in a manner consistent with the campus cost allocation plans, sponsor requirements and in the case of federal contracts or grants requirements as stated in OMB Circular A-110.

Sometimes the match is dollar-for-dollar, other times it is a smaller or larger percent of the total costs of the project. There are ways that the university may be able to match awards depending on your project, or funding source requirements, and, of course, on the university’s available resources. In any case, *the PI must submit applicable cost-sharing records and source documentation throughout the project*. All cost sharing is tracked by the Controller in the Office of Financial Services.

**Matching Contributions**

When the university dedicates resources to a project or research initiative, the principles outlined above under Direct Costs apply. However, if the grant requires evidence that the university supports the project with some of its own resources, there are several specific types of matching contributions.

**Faculty Release Time Match:** Faculty release time match is often known as a type of ‘soft money’ match because it is easy to think of this as a way to show support without having to
give any actual cash. However, matching release time is pledging real money, just not in the
same way as in a cash match. The principle behind this match is that a department whose
faculty has primary involvement with a special project, usually as a Principal Investigator or as
the project director, can show real support for the faculty member and his/her project by
offering release time to work on the project.

The match becomes the value of the released person’s salary for the number of WTUs, usually
in increments of 3, to be dedicated to the project. Once a department account has been
identified as the source for the faculty match, it is the responsibility of the PI to obtain
approvals for this proposed match by the department chair and college dean.

**In-Kind Match:** Sometimes the university does not incur cash expenses for personnel. In
effect, a faculty member may volunteer his or her time—*in-kind*—for a project. To qualify as an
in-kind contribution, this volunteer time must meet the following two requirements:

1. The work must be performed while the employee is not on contract to the university
   (e.g., on a weekend, during spring break, or on an official campus-observed holiday),
   and

2. A time and effort report must be filed to document the volunteer time. In this case,
either the Principal Investigator files the report for subordinates, or if the Principal
   Investigator volunteers, his or her supervisor files the report.

All in-kind matching contributions for personnel time will be calculated in accordance with
Matching Contributions as detailed above.

Types of items acceptable for in-kind match can include such items as office space, equipment
needed to do the project’s work, and other non-disposable items that have real value. In recent
years, “in-kind” has become more and more tightly monitored. To use any “in-kind” match, be
sure to follow the appropriate federal, state and university rules. In-kind contributions can now
be audited and require an even longer paper trail than before.

**Cash Match:** A cash match is actual money pledged by an office of the university as a
contribution to your project. These contributions are often given as unrestricted funds,
allowing the project to include them in any area of the operating budget.

**Total Costs**

University policy is that researchers should conduct sponsored projects on a no loss basis. In preparing
your budget you should recover all costs—both direct and indirect—for your proposed project.

Direct Costs + Indirect Costs = Total Costs.
**Checklist for Proposal Budget Items**

The checklist below provides a summary of major budget categories. This checklist can help you organize your budget throughout its development:

<table>
<thead>
<tr>
<th>Category</th>
<th>Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Personnel</td>
<td>□</td>
</tr>
<tr>
<td>Graduate Assistants</td>
<td>□</td>
</tr>
<tr>
<td>Student Assistants</td>
<td>□</td>
</tr>
<tr>
<td>Computer Programmers</td>
<td>□</td>
</tr>
<tr>
<td>Clerical Support</td>
<td>□</td>
</tr>
<tr>
<td>Editorial Assistants</td>
<td>□</td>
</tr>
<tr>
<td>Administrative Aides</td>
<td>□</td>
</tr>
<tr>
<td>Technicians</td>
<td>□</td>
</tr>
<tr>
<td>Other Hourly Personnel</td>
<td>□</td>
</tr>
</tbody>
</table>

### FRINGE BENEFITS

- □ Full employment fringe benefits calculated on those salaries that qualify.
- □ Partial employment fringe benefits calculated on those salaries that qualify.

**NOTE:** See page 14: Calculating Faculty Personnel Costs and Release for Extramurally-funded Projects for additional information on employment fringe benefits.

### MATERIALS AND SUPPLIES

- □ Office Supplies
- □ Test Materials
- □ Animals
- □ Animal Food
- □ Laboratory Supplies
- □ Glassware
- □ Chemicals
- □ Electronic Supplies
- □ Purchased Project-related Books and Periodicals
- □ Duplication (Old publications costs, PDF reprints and page charges)

**Notes:**
**Steps in Developing Proposals**

**Travel**
- Transportation
- Per Diem
- Administrative Travel
- Field Work
- Professional Meetings
- Participant Travel
- Vehicle Rental

**Notes:**

**Equipment (including shipping and sales tax)**
- Special Purpose/Research Equipment
- General Purpose/Office Equipment
- Equipment Rental
- Equipment Installation
- Accessories Included with Equipment
- Acquisition
- Maintenance Contract
- Environmental Modification

**Notes:**

**Contracted and Campus Services**
- Photographic Services
- Consultants (fee, travel, per diem)
- Subcontracts
- Printing
- Report Preparation/Editorial Services
- Audio-Visual Production
- Central Computer Use
- Duplication Services
- Printing Services
- Library-Interlibrary loans, on-line database, searches, etc.

**Notes:**
Proposal Review and Routing

All proposals for contracts and grants submitted to a sponsoring federal or state agency, public or private corporation, private foundations or individuals must be reviewed and approved through the university’s official process before being sent to the sponsor. This review includes sign-offs from the following: principal investigator, department chair, director of the office of research and sponsored programs, dean, contract language review, ABS financial manager (if applicable), risk management controller, vice president for business financial services, vice president for development and university relations (if applicable), and the vice provost for academic affairs. Designated by the president and through the provost, the vice provost shall serve as the official Authorized Institutional Representative. The vice provost shall serve as the final authorized signature for proposals covered under this policy.

All proposals shall be written in accordance with the guidelines authorized by this policy and shall be completed and delivered to the Office of Research and Sponsored Programs for review and routing at least seven (7) working days prior to the submission deadline, in order to allow sufficient time for review and oversight. The Office of Research and Sponsored Programs has a responsibility to present the university in the best light possible, and may not be able to meet proposal due dates when proposals are submitted later than the above timeline.
**Understanding the Commitment These Signatures Represent**

When the PI, the department chair, the college dean, and the others chronologically sign the routing sheet, each accepts certain responsibilities. The following table outlines the responsibilities of each signers. PI's are responsible to submit their proposal to the Office of Research and Sponsored Programs at least seven (7) working days prior to due date.

<table>
<thead>
<tr>
<th>PERSON</th>
<th>RESPONSIBILITIES/PURPOSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Investigator</td>
<td>Reviews for consistency of work expectations and cost recovery and accepts responsibility to carry out commitments as detailed in the proposal.</td>
</tr>
<tr>
<td>Department Chair</td>
<td>Reviews and approves for consistency of work expectations and cost recovery, certifies that the proposal is consistent with departmental goals and is not in conflict with assigned duties of the Principal Investigator.</td>
</tr>
<tr>
<td>Director of Research and Sponsored Programs</td>
<td>Ensures the proposal follows the guidelines provided by the funding agency and that the proposed project will comply with university policy governing research with human subjects, animal welfare, and other research, scholarship, and creative activity policies. In addition, the office has the responsibility to ensure the quality and competitiveness of the proposal.</td>
</tr>
<tr>
<td>Dean</td>
<td>Reviews and approves for consistency of work expectations and cost recovery, and when applicable, approves CSU Stanislaus cost-sharing.</td>
</tr>
<tr>
<td>Director of Procurement Services &amp; Risk Management</td>
<td>When applicable, if proposal will result in an agreement, reviews the proposal to ensure it is consistent with university contracting guidelines. Examines long and short term agreements to assess liability, benefits costs to the University and any other Risk Management concerns.</td>
</tr>
<tr>
<td>Assistant Vice President for Financial Services (controller)</td>
<td>Reviews proposal and budget to ensure proper accounts and amounts are recorded.</td>
</tr>
<tr>
<td>Vice President of Business and Finance</td>
<td>Reviews and approves proposal to ensure all budgetary commitments can be met. The Chief Fiscal Officer shall review and approve the fiscal aspects of each funding proposal.</td>
</tr>
<tr>
<td>Vice President for Development and University Relations Executive Officer of the CSU Stanislaus Foundation, Inc.</td>
<td>When applicable, reviews proposals to private funding entities, for consistency with campus plans of cultivation and solicitation. When applicable, reviews proposals bearing the name of CSU Stanislaus Foundation for submission to non-state agencies.</td>
</tr>
<tr>
<td>Vice Provost for Academic Affairs</td>
<td>Reviews and approves the proposed research/project to be implemented under the terms and conditions described in the proposal. Binds the university to performance and serves as the academic affairs officer and authorized institutional representative responsible for federal representations and certifications that meet federal law, and contracting/grant making requirements.</td>
</tr>
</tbody>
</table>
When all the signatures are complete, you and the sponsor have the assurance that the university approves of the submission and will honor its commitments. The university and the Office of Research and Sponsored Programs reserve the right to withdraw proposals, or to return funds granted for proposals that have not been properly approved. Upon its completion, the Office of Research and Sponsored Programs will forward your proposal to the sponsor.

**Meeting Deadlines**

There are two types of deadlines, receipt and transmittal.

1. **Receipt**: This means that the proposal must be received by the funding agency by the published deadline.

2. **Transmittal**: A transmittal deadline means the proposal must be postmarked by the published deadline. Be sure to note not only the date of the deadline, but the time as well. Take into account that the time of day is in the time zone of the city where the agency resides. Washington D.C. is three hours ahead of California, so a 5:00 p.m. deadline in Washington, D.C., is a 2:00 p.m. deadline in California. This is especially important with electronic submissions.

To facilitate the timely submission of your proposal, be sure to deliver it to the ORSP at least **seven business days before** the published deadline.

**Other Things You Should Know About Submissions**

Secure any necessary off-campus signatures and other required information (title, start dates, etc.). The staff of ORSP will make the appropriate number of copies, package your proposal, and forward it to the sponsor in a timely manner. To eliminate possible delays or missed deadlines, contact ORSP as far in advance of agency deadline dates as possible. As soon as you have prepared a fairly detailed outline of your proposal, meet with us for assistance in preparing a budget. This will enable staff to provide appropriate assistance, to correct any errors, and to assure that you have met all agency requirements.

Check with ORSP to review any other special issues that might apply to your project, e.g., other sponsor requirements; obligation of the university over a prolonged period of time; unusual employment situations; unusual space considerations, special facilities; joint or consortium proposals that require coordination with other institutions; or other items that require more time.

**Post Submission Communications**

The major steps you take in securing funding for a project are the conceptualizing, developing, preparing, and submitting a proposal to a potential sponsor. Sometimes, however, actions taken between submission of your proposal and receipt of an award can be critical. These actions could include the submission of additional information, proposal and/or budget revisions, budget negotiations, contract negotiations and university commitments, pre-award commitments, and review panel assignment.
**A note of caution:** Whatever you do between the submission of a proposal and the negotiation of an award should be done in concert with the Office of Research and Sponsored Programs. It is important that any action taken should facilitate the eventual receipt of an award, not hinder it.

**Work Product and Record Keeping**

Any contract or grant that provides for ownership or license of work product or sponsored program records to any person or entity other than the university, shall provide the university with a free-of-cost, nonexclusive license to use the sponsored program work product and the right to access and use the sponsored program records for purposes consistent with the educational mission of the university.

The university and auxiliary shall ensure the storage, preservation, and/or disposal of records once the sponsored program is complete. Record retention shall comply with applicable law, university and auxiliary policy, and the sponsor’s record retention requirements. Normally, records shall be maintained for a period of seven (7) years from the time of completion of the sponsored program. The disposal of records no longer needed shall be completed in a manner to ensure confidentiality. The preservation of records of historical value shall be completed in accordance with archival procedures of the university.
**Full Proposal Checklist**

Before submitting your proposal, check to see that all of the following items have been completed.

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Is your proposal prepared according to the agency's guidelines?</td>
<td></td>
</tr>
<tr>
<td>2. Have you talked with your department chair and school dean about release time and department commitments?</td>
<td></td>
</tr>
<tr>
<td>3. Does your project involve human subjects, laboratory animals, or a product that can be patented? If so, have you obtained the necessary institutional clearances?</td>
<td></td>
</tr>
<tr>
<td>4. Have you completed conflict of interest forms if required?</td>
<td></td>
</tr>
<tr>
<td>5. Is the document well organized and easy to read? Is it free from misspellings and typographical errors?</td>
<td></td>
</tr>
<tr>
<td>6. Are the copies clean and legible?</td>
<td></td>
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<tr>
<td>7. Is the document within the page limitations?</td>
<td></td>
</tr>
<tr>
<td>8. The type size limitations?</td>
<td></td>
</tr>
<tr>
<td>9. Are all elements of the proposal included?</td>
<td></td>
</tr>
<tr>
<td>10. Are all required approval signatures present?</td>
<td></td>
</tr>
<tr>
<td>11. Have you reviewed the budget to make sure that you have requested enough money in each expense category so the project can be properly executed?</td>
<td></td>
</tr>
<tr>
<td>12. Have you itemized each category of expenditures and justified it in the narrative? Have you explained how you arrived at your totals for each category?</td>
<td></td>
</tr>
<tr>
<td>13. Does your budget reflect the institutional contribution to the project?</td>
<td></td>
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<tr>
<td>14. Have you checked that you are using the most recent indirect cost figure and the current rates for employee benefits?</td>
<td></td>
</tr>
<tr>
<td>15. Do all of your budget figures balance?</td>
<td></td>
</tr>
<tr>
<td>Step</td>
<td>Proposal Writer Responsibility</td>
</tr>
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<td>------</td>
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</table>
| **Step 3:**  
Plan and Draft the Proposal and Budget | - Discuss project with off-campus partners and define the role of each partner  
- Coordinate on-campus requirements related to budget preparations, approvals, etc.  
- Write a draft of the proposal including all of the elements needed in the RFP  
- Begin asking for letters of cooperation from external partners with intended deadlines | - Review proposal narrative upon request  
- Assist with project cost analysis (contact Program Officer at Funding Agency to be sure of expenditures or submit a draft of the budget to them for feedback)  
- Obtain salary figures and correct estimates of in-kind matches  
- Assist in clarifying proposal requirements  
- Examine proposal for Measures of Funding Success  
- Relay draft of proposal to Program Officer at Funding Agency for further feedback if needed |
| **Step 4:**  
Prepare Formal Proposal | - Obtain letters of cooperation from external partners  
- Confer with the sponsoring agency in accordance to CSU Stanislaus’ policies  
- Prepare a complete proposal and budget and request review of the proposal by the department head and dean (This will make the routing process smoother and quicker) | - Analyze proposal format and text  
- Provide technical assistance as appropriate  
- Prepare budget and obtain compliance certifications  
- Prepare the routing sheet |
| **Step 5:**  
Route the Proposal Internally for the Required Signatures | - Deliver completed proposal and one complete copy of all materials submitted to the Office of Research and Sponsored Programs at least SEVEN (7) WORKING DAYS BEFORE THE AGENCY DEADLINE  
- File any necessary Conflict of Interest claims  
- Indicate the number of copies needed to be submitted to the funding agency | - Obtain the necessary approvals as indicated in the chart below  
- Confirm how many copies are to be submitted to the agency  
- Produce the necessary copies and make additional copies for the PI and the Office of Research and Sponsored Programs files |
| **Step 6:**  
Transmit the Proposal to Potential Sponsor | - Prepare proposal package  
- Transmit proposal to the agency | |
Sponsored Project Start-Up

The start-up process begins with “notice of award,” and progresses through the negotiation and acceptance phases to establishing accounts, and hiring the people needed to make the project a reality.

Notice of Award

If you receive a letter, phone call, or other communication from the sponsor telling you that they are interested in making an award for your project, contact ORSP at 667-3493. Accepting an award is an official university function that often involves committing state resources or changes to a proposal that have not been approved in advance.

Negotiation

Even though you may be the most knowledgeable in the technical aspects of your proposal, you are not authorized to conduct formal negotiations. Only certain CSU Stanislaus officials are authorized to conduct grant negotiations and to make commitments. In the overwhelming majority of cases, the Office of Research and Sponsored Programs is the authorized unit to conduct negotiations on your behalf on the funding of sponsored projects. You will be involved in all aspects of the negotiation process.

Acceptance

An award is the sponsoring agency's official document by which it obligates funds for a project. Awards of contracts or grants shall not be accepted without prior written routing approval by the appropriate officials. Notification of award can be an award letter, a notice of award form, a contract, a check accompanied by a letter of transmittal, a standard agreement, a purchase order, or any similar document. Grants and contracts, if awarded, are to be accepted by the university or designated auxiliary, not by an individual. While the university or designated auxiliary is responsible and accountable for proper expenditure of funds, the principal investigator for the
contract or grant shall be responsible for executing the project in conformance with the approved budget.

When you receive award notification, the staff of ORSP reviews your award document for accuracy, consistency with university and Foundation policies, acceptability of language, terms and conditions, and conformity with your proposal. Some awards require a local signature, while others are fully executed as received.

The grant award document serves the following purposes:

1. Notifies the grantee and others that a grant is awarded;
2. Specifies the grant terms and conditions; and
3. Provides a legal basis for the obligation of sponsor funds.

The notice will usually include: the amount and date of the grant; accounting classification numbers; certifying official's signature; and terms and conditions of the grant. The terms and conditions for federal (and most state) grants usually incorporate by reference: (1) the legislative authority and regulations; (2) the grant application and any amendments; (3) applicable policy statements, manuals and handbooks; and (4) any special conditions applicable to the award.

Any amendment and/or modification to existing contracts and grants require the approval of the vice provost (or the vice president for development and university relations, when applicable). Further, if amendments and/or modifications require additional university resources, alter the scope of the work involved, or commit additional released time from the principal investigator, the amended or modified contract or grant must be reviewed and re-approved by the appropriate officials.

**Establish Accounts**

When you receive official word that your project will receive funding, your proposal moves from “pending” to “awarded” status by the process of setting up your project’s budget and account structure. ORSP will help coordinate these start-up activities to bring you and those who will be handling the financial records for your project together for an official “Start-Up” meeting. There are only three things you need to do:

1. Contact the ORSP as soon as you receive the good news of your award;
2. Bring information you have received from your sponsor to ORSP; and
3. Schedule and attend the “Start-Up” meeting for your project to assure that all services are in place. If there is a project director as well as a Principal Investigator for your newly sponsored program or project, both should attend.

At the “Start-Up” meeting, you can expect the following:
- To meet those who will be providing fiscal reporting services for your project
- To receive new account and project reference numbers
- To talk over time frames for reports to sponsors

Once this “Start-Up” meeting has been held, you will be able to set up time frames for progress and accounting reports required by your sponsor. These time frames should be based on the extent of reporting your sponsor requires, the amount of work involved in gathering information to be included, and enough time to assure that each report is completed for ORSP review and submission to your sponsor prior to reporting deadlines.

Disbursements shall not be processed on any account unless both parties have executed a contract or unless all approvals have been obtained and the grant has been accepted. However, in extraordinary cases when the sponsor allows the institution to incur pre-award costs, written confirmation must be received from the sponsor assuring that funds will be made available. Upon receipt of this guarantee, the authorized institutional representative may or may not approve the pre-award disbursement(s).

Financial Services will work with you and your fiscal agents to help you find the most effective ways to develop expense reports, payroll management and project reports expected by your funding sponsor, and maintain a fiscal system of internal accounting and administrative control for authorization and record keeping. Project expenditures made by PI’s must have written administrative approval and supporting documents. If you have questions or concerns related to the fiscal implementation of your project, please contact Financial Services. This service is provided by the university to help you focus on the much more important task of successfully completing your project.

On a quarterly basis, you will receive financial updates on the activity on your account that includes F&A distribution. The final fiscal report is completed within 90 calendar days after completion of award and reports. For indication on location of research or project reporting (non-financial), refer to the Office of Research and Sponsored Programs. The location of all filed reports is noted on the internal routing form in the front of each project file.

**Hire Staff and Obtain Equipment**

Once your award accounts are set up, the process of purchasing is identical to the normal campus process. The only difference is that you will now use your new project account. If you would like help with any aspect of hiring staff or obtaining the equipment and resources you need to make your project a success, do not hesitate to contact the Office of Research and Sponsored Programs at 667-3493.
Nepotism
CSU Stanislaus shall follow and be consistent with the Chancellor’s Office nepotism policy, FSA 78-19, with regard to the administration of its sponsored programs. ([http://www.calstate.edu/HRAdm/Policies/FSA78-19.pdf](http://www.calstate.edu/HRAdm/Policies/FSA78-19.pdf))

Overview of Chapter III: Sponsored Project

Start Up

<table>
<thead>
<tr>
<th>STEP</th>
<th>Proposal Writer Responsibility</th>
<th>Service of Research &amp; Sponsored Programs</th>
</tr>
</thead>
</table>
| Step 7: Notice of Award | ▪ Sponsor makes contact informing PI of award (letter, phone call, email)  
▪ PI contacts Research & Sponsored Programs  
▪ If the award differs from the proposal amount, refer to Step 8 | ▪ Make copies of award notification for necessary office records  
▪ Determines next course of action  
▪ If award differs from original proposal, begin Step 8 |
| Step 8: Negotiation | ▪ Be available for discussion on technical, programmatic and financial aspects of the proposal | ▪ Prepare and obtain approval of the negotiated budget  
▪ Negotiate the budget with the agency  
▪ Submit negotiated budget and program narrative  
▪ Determine status of the pending proposal, if necessary  
▪ Conduct other appropriate follow-up |
| Step 9: Acceptance | ▪ Inform the necessary the Office of Research and Sponsored Program of the award/denial  
▪ Provide a copy of the acceptance/denial notification to Research & Sponsored Programs | ▪ Inform the necessary Internal Offices of the award  
▪ Schedule a “Start-Up” meeting with PI, a representative of fiscal services, etc. |
| Step 10: Establish Account/Start Up Activities | ▪ “Start-Up Meeting”  
▪ Meeting with fiscal reporting services  
▪ Receive new account and project reference numbers  
▪ Bring time frames for reports to the meeting to discuss and review  
▪ Hire Staff  
▪ Obtain Equipment | ▪ Facilitate “Start-Up” meeting with PI, a representative with fiscal services, etc.  
▪ Be available for questions as they arise |
Sponsored Project Administration

Principal Investigator

The qualifications to serve as a principal investigator shall include employment by the university or foundation. Limited exceptions may be allowed for the appointment of principal investigators who are not employees of the university or auxiliary but who are officially affiliated with the university, such as individuals with emeritus status or visiting professors or researchers, as recommended by a dean, following appropriate consultation, and as approved by the vice provost. In the case where the incumbent principal investigator resigns, becomes incapacitated, or fails or refuses to perform the duties adequately, the principal investigator’s responsibilities may be reassigned by the vice provost. When projects call for the distribution of responsibilities among principal investigators for multi-institutional sponsored programs, these responsibilities shall be clearly specified in the grant or contract proposal, shall be agreed upon in advance by the principal investigators, and approved by the appropriate campus or auxiliary administrators.

After you have received notice of an award and all the necessary support structures (e.g., award accounts, release time, equipment purchases, etc.) are in place, all that is left is administrating the project. CSU Stanislaus has many sponsored projects with a wide range of budgets, timelines, responsibilities, and complexities. They all have six features in common: they begin, they meet their objectives, the university maintains fiscal accounts of the money spent on the project, the PI or PD conducts an evaluation of the success of the project, interim reports and invoices go to the sponsor, and a final summary of expenses and achievements is sent to the sponsor.
Begin the Project

One of the ongoing dilemmas at most universities is finding a way to create a balance between the desire for Principal Investigators to focus their time, talent, and energy on their project, and the need to meet all reporting requirements set forth by the sponsoring organization. It becomes the shared responsibility of the university and the project director or the Principal Investigator to work together to achieve this balance.

At the same time, many different offices on the CSU Stanislaus campus are involved in providing the accounting and administrative services that will give you the ongoing information you need to fulfill sponsor reporting requirements. At CSU Stanislaus, Post-Award functions are provided by financial services.

Meet the Objectives

An issue that has become important for the PI is compliance with federal assurances. Of particular importance are those regulations dealing with the protection of human subjects, the care of animals, conflict of interest, and scientific misconduct. Any research activity that involves human subjects or animals must be reviewed and approved by the university’s appropriate committees—the Institutional Review Board for the Protection of Human Subjects in Research, and the Animal Welfare Committee. Often, proposals requiring research of this nature require a written statement by the Principal Investigator verifying such approvals prior to proposal submission. Other times, it is the responsibility of the PI to ensure that the necessary university approvals are received prior to research start up. In all cases, it is the clear responsibility of the PI to make certain that approvals for research involving human subjects or animals is garnered prior to research implementation.

Maintain Fiscal Accounts

As a PI, you have the responsibility for monitoring expenses to assure that spending falls within acceptable budget limits. Adequate documentation for all accounting actions including expenditures, budget authorization, and cost transfers is also required. Any support documentation you have for project expenditures should be forwarded to your fiscal agent according to their instructions. These include documents for any expenditure in all categories including payroll, supplies, expenses, travel, and equipment.

The sponsored program administrator shall be responsible for the timely establishment of accounts in accordance with the terms and conditions of the contract or grant. In addition, the sponsored program administrator shall certify that funding is available prior to issuance of any personnel action forms. The sponsored program administrator’s chief financial officer (or appropriate designee) must authorize payments involving personal expenditures by the principal investigator.
Procedures are in place to define and document approval authority; maintain proper accounting and control of all cash receipts from contract or grant billings; review and approve all expenditures for compliance with the contract or grant; and ensure completion of accurate and timely reporting for each contract or grant.

The principal investigator shall be responsible for ensuring that all expenditures are made in compliance with the approved budget, the contract or grant and the sponsored program administrator’s policies. The sponsored program administrator shall work with the principal investigator, whose responsibility it is to ensure that all fiscal reports (including final reports) and billings are prepared and submitted, on a timely basis, to sponsors in accordance with the terms and conditions of the contract or grant.

**Conduct Evaluations**

For most awards, the sponsor would like to know that the money awarded to the university was used productively and accomplished its intended purpose. Project evaluation provides this evidence and conducting good evaluations is as important as conducting the project.

**Meet Interim Billing and Reporting Requirements**

When projects require extended performance periods (e.g., six months or more), the university will typically bill the sponsor for costs incurred doing the project. This billing will occur on a regulator basis and it may require progress reports to help justify the reimbursement. If people are working on your project, they must complete time and effort reports, as required by federal regulations, to certify that they have worked the time for which they were paid and that you approved their billing. The Office of Research and Sponsored Programs can assist you with this reporting requirement.

**Submit the Final Report and Invoice**

Once your project is completed, both your fiscal agent and ORSP post award services will assist you with close-out requirements. Each sponsor and each award has specific close-out reporting requirements. Sponsoring agencies routinely require final financial statements, technical and inventory reports. More specialized reports (such as a cost-sharing report) may also be required.

When you complete a report on a current project, it should first be reviewed with ORSP staff on campus. They will then forward your report to the sponsor on your behalf. ORSP staff will also be sure to provide copies to all appropriate individuals and departments on campus. This process assures that final reporting
requirements are met. Frequently, sponsors withhold final payments on grants and contracts until all the final reporting requirements are met. Reporting delays can be costly to you and to the university, because failure to submit required reports on a timely basis may jeopardize future funding from this sponsor for you or other members of the university community.

Every project requires that you retain certain fiscal and scientific records for a specified period. Contact the Office of Research and Sponsored Programs for help in determining how long you should keep copies of your scientific reports. The university’s accounting services will retain the fiscal records on your behalf.
Academic Policy

Conflict of Interest

CSU Stanislaus shall follow the campus Conflict of Interest Policy. This policy shall ensure that no potential or real conflict of interest adversely affects the administration of contracts and grants. This policy also addresses both areas of conflict of interest and conflict of commitment. This policy implements federal requirements pertaining to “Objectivity in Research” promulgated by the U.S. Public Health Service and National Institutes of Health and which are published in 42 CFR Part 50 and 45 CFR Part 94. In addition, this policy implements state standards as outlined in the The California Administrative Code, Title 2, Section 18705, that requires disclosure of financial interest in private sponsors of research by all principal investigators on sponsored projects administered by the university. For reference to the full policy go to www.csustan.edu/ORSP (full URL to follow).

Conduct of Research

The Office of Research and Sponsored Programs, and the auxiliary (if applicable), with the assistance from the principal investigator, dean and department chair, shall provide oversight of the conduct of research and ensure progress toward fulfillment of contract or grant requirements.

Misconduct

The CSU Stanislaus Policy and Procedures for Responding to Allegations of Scientific Misconduct is the campus policy approved by the President (11/6/97-13/AS/97/RS). This policy complies with those standards of the Public Health Service (PHS), the National Institutes of Health (NIH), the U.S. Department of Health and Human Services (DHHS), and the Office of Research Integrity (ORI). Employees working on Sponsored Programs who are also CSU employees shall remain subject to consequences outlined in the university’s disciplinary procedures for unprofessional behavior, failure or refusal to perform duties adequately, or other misconduct within the administration of grants and
contracts. For reference to the full policy go to www.csustan.edu/ORSP (full URL to follow).

Human Subject Research

The CSU Stanislaus Policy on the Protection of Human Subjects (approved by the president 5/10/2001) governs the protection of the rights and welfare of human subjects in all sponsored programs research in which the institution is engaged. The CSU Stanislaus policy is derived from the Code of Federal Regulations Title 45 Public Welfare, Part 46, Protection of Human Subjects and shall be reviewed and revised as to remain consistent with federal policy. Detailed procedures for approving and monitoring human subject research can be found on the Office of Research and Sponsored Program’s website under “Research Guidelines,” (http://www.csustan.edu/ORSP/Data/ResearchGuidelines/index.html).

Animal Subject Research

The CSU Stanislaus Policy for the Care and Use of Animals (approved by the president on 12/3/96 - 20/AS/96/UEPC) governs the procurement, housing, care, and use of live non-human vertebrate animals in all sponsored programs research in which the institution is engaged. In compliance with the National Institutes of Health “Guide for the Care and Use of Laboratory Animals,” (NIH Publication #86-23) or as otherwise required by the U.S. Department of Agriculture under the terms of the Laboratory Animal Welfare Act (P.L. 89-544), the University Animal Welfare Committee (UAWC) shall consist of no fewer than five persons appointed by the vice provost (through the provost as the president’s designee). The UAWC shall provide (1) oversight and review of all animal care and use of facilities and procedures and (2) timely certifications and reports of the human care and use of animals as required by governmental agencies.

Intellectual Property

In addition, the CSU Stanislaus Intellectual Property Rights (6/AS/98/Ad Hoc) shall serve as the policy for the security and ownership of any product developed under the sponsored program, unless otherwise negotiated by both parties prior to the contract or grant submission and award. The university Research, Scholarship, and Creative Activities Policy Committee shall have general oversight and advocacy responsibility for this policy and procedures.

Time and Effort Reporting

Purpose:
The purpose of this policy is to ensure that California State University, Stanislaus is in compliance with federal regulations governing time and effort reporting.
**Authority:**
OMB A-21, Section J (8) (c) (1) (e) requires institutions to maintain an accurate method for verifying work performed with federal funds. In order to comply with this regulation, CSU Stanislaus requires every faculty and professional staff member working on a federally or state funded program to certify their time and effort. Approved grants, contracts, or cooperative agreements that commit university personnel time to the project, regardless of whether such time is paid by external funds or unpaid contribution, are subject to time and effort reporting.

Time and Effort Reporting forms do not need to be completed for clerical, support, or hourly staff who utilize time sheets.

**Reporting Format and Elements:**
The primary data source for the Time and Effort Reporting Certification shall be the Time and Effort Reporting Sheet (Attachment 1).

**Frequency**
Time and Effort Reporting Sheets shall be compiled, distributed, and certified *two* times per year to cover the following periods:

1st half of the fiscal year, July 1 through December 31, and 2nd half of the fiscal year, January 1 through June 30.
Time and Effort Proposal Routing Form

Academic Year __________

Fiscal Period (check one): ☐ July 1 – Dec 31 ☐ Jan 1 – June 30

Name_____________________________ Project Acct. No._____________________________
Position/Title________________________ Project Title_____________________________
SSN_____________________________ Project Director_____________________________
Dept./College________________________ Cost Sharing Acct. No._____________________

<table>
<thead>
<tr>
<th>University Instruction</th>
<th>Sponsored Program Activity</th>
<th>University Overload</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
</tbody>
</table>

Note: Total must equal at least 100% but not more than 125%

Brief Description of Activities and/or Duties:
____________________________________________________________________________________
____________________________________________________________________________________

Verification/Certification:
I certify to the best of my knowledge, the above effort stated reflects the contributed time and
efforts of the above employee for the above project.

EMPLOYEE
Print Name_________________________
Signature_________________________
Date_____________________________

PROJECT DIRECTOR:
Print Name_________________________
Signature_________________________
Date_____________________________

DEPARTMENT CHAIR
Print Name_________________________
Signature_________________________
Date_____________________________

FBS
Received/Processed by_________________________
Signature_________________________
Date_____________________________

Verification Note:
In compliance with OMB Circular A-21 requirements for effort confirmation, “a responsible person with suitable means of
verification that the work was performed” must sign the effort confirmation statement. Responsibility cannot be
delegated to other individuals, nor are proxy signatures or signature stamps acceptable. No individual may confirm
his/her own effort. Confirmation should be made at the Department Chair level.
**Sample Monthly Time and Effort Reporting Log Sheet**

**Academic Year:** 2004/05

**Project Acct. No.** 001462

**Project Title:** “The Effects of XYZ”

**Department/College:** Chemistry/ALS

**Name:** John Doe

**Position/Title:** Principal Investigator

**SSN:** 123-45-6789

**Cost Sharing Acct. No.:** N/A

| OCTOBER | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | TOTAL HOURS |
| I       | 2 | 2 | 1 | 1 |   |   |   |   |   |   | 3 |   |   |   |   |   |   |   |   | 9        |
| II      |   | 1 |   |   |   |   |   |   |   |   |   |   | 1 |   |   |   |   |   |   | 2        |
| III     |   | 1 |   |   |   |   |   |   |   |   |   |   |   | 1 |   |   |   |   | 3        |
| IV      |   | 2 |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   | 2        |
| V       |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   | 1        |
| TOTAL HOURS | 2 | 1 | 3 | 2 | 1 | 1 | 1 | 1 | 1 | 4 | 1 | 17 |

Possible Categories:
- I – Grant Project Administration
- II – Budget and Financial Accounting
- III – Participation in Committee Activity
- IV – Project Evaluation
- V – Travel

Note: Due to increased accountability standards from recent federal audits, Principal Investigators should keep detailed supplementary information and records to substantiate their time spent on grant activity. The monthly log example may be used as a template and is available online on the ORSP web site.
**ORSP Conceptual Framework**

In compliance with EO 890, the Office of Research and Sponsored Programs must provide a conceptual framework by which operations occur. Sponsored Program management components involve coordinating and working with campus-wide organizational components in the areas indicated in the chart below. Through this framework, the University’s internal routing procedure, and in collaboration with Financial Services and Human Resources, policies and procedures relating to risk management, environmental health and safety, conflicts of interest, research misconduct and other significant concerns are managed.

**Terms and Definitions**

CSU Stanislaus’ terms and definitions for sponsored program administration complies with Executive Order No. 890, (Effective Date: 1/7/2004). These definitions are as follows:

**Auxiliary:** As defined in Executive Order No. 698, an auxiliary organization is a non-profit entity that complies with the applicable requirements of the Board of Trustees and campus and is included in the list of officially recognized auxiliary organizations in good standing maintained by the Chancellor pursuant to Section 42406. It may serve as the applicant agency for sponsored projects, workshops, institutes and instructionally related activity organization.

**Contract:** An agreement between the University or Auxiliary and a Sponsor to provide an economic benefit, generally in the form of services, for compensation. The agreement is binding and creates a *quid pro quo* relationship between the parties.

**Grant:** A financial contribution to a Recipient to carry out an approved project or activity. A Grant generally anticipates no substantial programmatic involvement of the Sponsor with the Recipient during performance of the
**SPONSORED PROGRAM ADMINISTRATION**

project or activity, but Sponsors usually request an accounting of the use of funds and of results of the project or activity. The University or Auxiliary may commit resources or services as a condition of the Grant.

**Principal Investigator:** The individual (whether referred to in the Contract or Grant as a Principal Investigator, Project Director or other similar term) designated by the Sponsored Program Administrator to be responsible for ensuring compliance with the academic, scientific, technical, financial and administrative aspects and for day-to-day management of the Sponsored Program.

**Recipient:** The University or Auxiliary awarded a Contract or Grant. The Recipient is the University or Auxiliary, as the case may be, even if a particular component is designated in the award document and shall not be an individual, department or other constituent unit.

**Sponsor:** The party paying for the services or other economic benefit under a Contract or providing the financial contribution for a project or activity under a Grant.

**Sponsored Program(s):** All work performed under Grants or Contracts funded by non-CSU funding sources (including non-CSU-funded Contracts and Grants that are subsequently subcontracted to another campus).

**Sponsored Program(s) Administrator:** The entity (University or Auxiliary) designated by the Recipient to administer the Sponsored Program.

**Sponsored Program Records:** These include, but are not limited to, accepted proposals and applications; Contracts or Grant agreements; program reports and data; correspondence; budgets and supporting financial documentation; supporting human resources documentation; and other records relating to receipt, review, award, evaluation, status and monitoring of the Sponsored Program.

**Sponsored Program Work Product:** Any work created in the performance of a Sponsored Program. Unless the Contract or Grant states otherwise, Sponsored Program Work product does not include journal articles, lectures, images, books or other works that are subject to copyright protection and have been created through independent academic effort and based on the findings of the Sponsored Program.

**University:** One of the campuses of the California State University or the Office of the Chancellor.

**Guidelines for Contacting External Funding Agencies**

The Office of Research and Sponsored Programs shall implement the policy and related guidelines and shall serve as the repository for this policy and proposals receiving extramural funding. The university administration recognizes that in order to be successful in securing external support, particularly amongst corporate and private foundations, it is important to coordinate the university’s approaches to such agencies. CSU Stanislaus has a clearance procedure that shall be followed before considering any corporate or private funding source (Attachments). This form shall be filled out and approval received prior to contacting or submitting proposals to such agencies. Copies of proposals to private sources shall be provided to the Vice President for Development and University Relations.
<table>
<thead>
<tr>
<th><strong>FUNDING SOURCE:</strong></th>
<th>Gift</th>
<th>Private Source Grant</th>
<th>Government Grant</th>
<th>Contract</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clearance:</td>
<td>Development &amp; University Relations</td>
<td>Research &amp; Sponsored Programs</td>
<td>Research &amp; Sponsored Programs</td>
<td>Research &amp; Sponsored Programs</td>
</tr>
<tr>
<td>Responsibility:</td>
<td>Evaluates whether to accept the gift. Consults with affected units.</td>
<td>The above offices confer to determine the appropriate jurisdiction. Contact with the anticipated Funding Source is determined and strategically initiated by an Officer of Development &amp; University Relations or Research and Sponsored Programs as decided upon by the above offices. For research with human subjects, faculty must submit a protocol to the Institutional Review Board (IRB) for approval prior to research. Contact ORSP at 667-3493 for information.</td>
<td>Contact with the anticipated Funding Source is strategically initiated by a Research and Sponsored Programs Officer and the Principle Investigator. For research with human subjects, faculty must submit a protocol to the Institutional Review Board (IRB) for approval prior to research. Contact ORSP at 667-3493 for information.</td>
<td>Contact with the anticipated Funding Source is strategically initiated by the Office of Research and Sponsored Programs and the Principle Investigator.</td>
</tr>
<tr>
<td>Authorizing Approval(s):</td>
<td>Vice President of Development &amp; University Relations</td>
<td>Vice President of Development &amp; University Relations</td>
<td>Vice Provost of Academic Affairs</td>
<td>Vice Provost of Academic Affairs</td>
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**Clearance Procedures for Private & Corporate Funding Agencies**

The University Administration recognizes that in order to be successful in the securing of external support, particularly amongst corporate and private foundations, it is important to coordinate the University’s approaches to such agencies. CSU Stanislaus has a clearance procedure that should be followed before considering any corporate or private funding source. This form must be filled out, submitted to the Office of Research and Sponsored Programs who will quickly route this request to the Office of Development and University Relations. PIs will be contacted within the week regarding clearance.

<table>
<thead>
<tr>
<th>Principal Investigator:</th>
<th>Dept.</th>
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<tr>
<td>(Last, First, M.I.)</td>
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<thead>
<tr>
<th>Funding Agency:</th>
<th>Contact Name:</th>
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<th>Address:</th>
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**PROJECT INFORMATION**

<table>
<thead>
<tr>
<th>Title:</th>
<th>New Project</th>
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<tbody>
<tr>
<td></td>
<td>Renewal Project</td>
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<table>
<thead>
<tr>
<th>Project Description:</th>
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| Funding Amount Being Requested: |
|                                  |

<p>| Project History (if this is a Project Renewal): |</p>
<table>
<thead>
<tr>
<th>Year</th>
<th>Nature of Funding:</th>
<th>Funding Received:</th>
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**FOR RENEWALS ONLY:** Indicate the Nature of Any Recent Contact with Funding Agency. (All new projects should wait until FULL CLEARANCE is received prior to contact.):

- Approved
- Not Approved

Vice President of Development and University Relations: