

California State University, Fresno

California State University, Fresno Foundation

PRINCIPAL INVESTIGATOR HANDBOOK

SECTION II

PRE-AWARD

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II - PRE-AWARD

A. General Information

The Office of Research and Sponsored Programs (ORSP) is designated by the President and the Provost as the institutional office responsible for all grant and contract activity. It is designed to help faculty, staff, and students make the most of their opportunities to conduct research, expand scholarship, participate in creative activities, and engage in programs that benefit numerous University and community constituents. One critical aspects of ORSP's mission is to provide leadership and assistance in securing external funds for such activities. ORSP provides the expertise needed to insure that proposals conform to Fresno State regulations and sponsoring agency rules. All programmatic grants that will be conducted by the University and Auxiliaries are to be reviewed and approved by the ORSP. Our goal is to apply that expertise to the timely review of all proposals before they are sent to sponsors.

ORSP services include the following:

Help Finding a Funding Source¹

- ✓ Access to a comprehensive library of information on federal, state, and private grant and contract opportunities
- ✓ Access to weekly updates on submission deadlines for upcoming and new grant programs
- ✓ Providing discipline-based resources for [funding opportunities](#) for grant applicants

Orientation to Grant Writing

- ✓ Access to a wide range of books, pamphlets, and videos on grant writing to provide assistance in grant preparation format, style, and content
- ✓ Offer grant development workshops for ***eligible faculty***
- ✓ Maintain a website with disciplinary and general resources for locating and developing grant applications
- ✓ Announce information on available seminars and formal instruction on grant writing

¹ **Best Practice Tip:** Faculty frequently meet with the best results when they develop applications for opportunities that they have discovered through their professional networks. Sponsors regularly distribute notices of funding opportunities through disciplinary means (e.g., a professional listserv, a booth at a conference, a notice in a professional journal...). Paying attention to these notices allows the PIs/PDs to match their own disciplinary expertise with a sponsor's opportunities.

- ✓ Provide orientation to campus grants policies and procedures

Assistance with Proposal and Budget Preparation

- ✓ Assist in developing proposals for submission, including project conceptualization; background materials on the University and region; editing of drafts to ensure that all grant program review areas are addressed in the proposal
- ✓ Assist in budget preparation; review of the budget to ensure that the proper fringe benefits and other costs are included
- ✓ Assist in facilitating administrative reviews and required signatures through institutional workflow system
- ✓ Assist in the submission of the proposal, particularly with navigating electronic submission systems

Administering Programs to Support Faculty and Student Grant and Research Activities

- ✓ The [Research, Scholarship and Creative Activities](#) (RSCA) program provides \$5,000 competitive awards annually, primarily for release time or summer pay. One of many selection criteria for these awards is the likelihood that they will lead to successful grants.
- ✓ The [Claude C. Laval Jr. Award for Innovative Technology & Research Award](#) was established in 1984 in honor of Mr. Claude C. Laval Jr., a long-time resident of Fresno and a productive inventor. The award has supported the development of innovative technology and related research at California State University, Fresno. Such innovative technology can factor significantly in making a grant application competitive.
- ✓ The [CSU Student Research Competition](#) is held every May at a different CSU campus. Undergraduate or graduate students currently enrolled at any CSU campus, as well as alumni/alumnae who received their degrees in spring, summer, or fall, are eligible.
- ✓ The [Central California Research Symposium](#) takes place every April at the University Business Center on the campus of California State University, Fresno. The Symposium serves as a forum to share recent research with community investigators in various fields, college students, and faculty as well as to encourage research activities in the Central Valley. All fields of research are considered for presentation to exchange further ideas among investigators and the general public.

ORSP is housed in the California State University, Fresno Foundation building at 4910 North Chestnut Ave., Fresno. Phone: (559) 278-0840. FAX: (559) 278-0992. A directory of ORSP employees follows and can also be located with staff biographical sketches on the [ORSP website](#):

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Grant Administrator's Role

Only the President or his designee(s), the Provost and Vice President for Academic Affairs as well as the Associate Provost for Research and Sponsored Programs (Chief Research Officer), can commit the University or Foundation to a proposal. Among other issues, any matching funds or other commitments included in the proposal must be accounted for, properly budgeted, and approved by your or College/School and then by the University.

ORSP is responsible for all “pre-award” issues. Pre-award issues include such things as reviewing, approving, and signing proposals and contracts, negotiating final contracts with funding agencies, and reviewing documents for regulatory compliance on behalf of the University.

The process of putting together a proposal for sponsored activity on our campus has become increasingly complex over the years. In large part this is due to a rapidly expanding body of state and federal rules and regulations and the competitive nature of applying for assistance.

The University utilizes a review/sign-off process streamlined through a Project Information Form (PIF) to ensure that the Department and College/School are aware of and approve of the proposal prepared by the Principal Investigator/Project Director (*hereafter referred to as “Project Director”*). Though your grants administrator will help to prepare the PIF, the

Project Director is responsible for ensuring that the Department Chair and College/School Dean sign the PIF. ORSP staff are responsible for reviewing all aspects of the proposal and, if it conforms to University policies and regulations, will submit the application with the approval of the Associate Vice President for Research and Sponsored Programs.

Pre-Award Project Director's Responsibilities

Project Directors are responsible for writing the project proposals. The reasons are many, but especially a competitive proposal must be driven by faculty expertise. ORSP submits proposals on behalf of the University/Foundation. Refer to [APM 501](#) for information regarding the administration of sponsored programs.

Most proposals have deadlines identified in the Request for Proposals (RFP) or similar program guidelines. Nearly all must be submitted by ORSP electronically.

To ensure that everything is included in the proposal and that the administrative review process is completed in a timely manner, the Project Director is encouraged to contact the Office of Research and Sponsored Programs well in advance of the submission deadline to review the proposal and answer any questions regarding the process. For a small or medium-sized project, contact ORSP 6-8 weeks before the submission deadline. For a major project, please begin working with ORSP at least 6 months before the submission deadline.

Below are some typical areas of concern ORSP examines during their review of project proposals. Several of the items below are the responsibility of ORSP (such as final signatures). Most of these issues, however, should be fully considered before turning the proposal over to ORSP for review. ***Please remember that ORSP staff is always available to help faculty and staff with the more technical issues that require research administration expertise.***

- ✓ **Principal Investigator (PI)/Project Director (PD).** Is the PI/PD clearly identified in the proposal?
- ✓ **Other Faculty or Researchers Involved.** Are any additional faculty or researchers participating in the proposed project? In what capacity would they participate (co-investigators, research associates, etc.)? NOTE: CSU policy requires that existing CSU faculty and staff cannot be paid as “consultants” on grants but must be paid as salaried employees with associated benefits.
- ✓ **Type of Application.** Is this proposal a new application, a competitive renewal, a noncompetitive renewal, a supplemental request, or a budget revision? Is the application for a federal grant or contract?

- ✓ **Place of Performance.** Where will the project be conducted: on-site or off-site or both? If both, what proportion of the program activities of the project will be performed off-site?
- ✓ **Space.** Is adequately equipped space available to conduct the project? Will extra space need to be assigned to the PI for the conduct of the project? If so, have the appropriate institutional personnel agreed to these commitments?
- ✓ **Conflict of Interest.** Does the PI have any outside business, personal or other, that could adversely affect decision-making or judgments related to the administration of the grant? Not only is there a direct conflict of interest, but is there the appearance of a conflict? The PI is required to complete the [Conflict of Interest](#) form and attach it to the PIF.
- ✓ **Commitments.** Does the proposal promise institutional commitments beyond the project period of the award? Are cost sharing requirements allowable and supportable? Will new employees be hired for this project only?
- ✓ **Curricular Programs.** Does the proposal involve a new curricular program? If yes, are institutional approvals required?
- ✓ **Continuing Education.** Does the program offer academic credit through [Continuing Education](#)? If yes, have institutional approvals been obtained?
- ✓ **Human or Animal Subjects.** Does the project involve human or animal (vertebrate) subjects? If so, has the proposal been submitted for approval from the campus [Institutional Review Board](#) (IRB) for Human Subjects or the [Institutional Animal Care and Use Committee](#) (IACUC) for Animal Subjects? All externally funded research involving human/animal subjects, including “exempt” research, must receive the compliance status from the appropriate campus-wide committee.
- ✓ **Research Risks.** Does the project involve the use of any hazardous, radioactive, toxic, or carcinogenic materials, chemicals, or recombinant DNA? If so, has the proposal been submitted for review and/or already have approval from the appropriate committee, such as the campus [Radiation Safety Committee](#) or the [Institutional Biosafety Committee](#)?
- ✓ **Patents and Copyrights.** Does the proposal contain a potential patent or copyright? Are there restrictions indicated in the agency guidelines that will restrict the research project? ORSP has developed FAQs resource on [Patents and Intellectual Property](#). Intellectual Property is governed by [APM 540](#).
- ✓ **Publishing.** Does the agency or sponsor impose any restrictions on investigators or graduate assistants from freely publishing research results? If yes, can the PI reach a workable agreement?
- ✓ **Terms and Conditions.** If contract clauses are incorporated by reference, are they appropriate and acceptable and/or do they coincide with institutional policy?
- ✓ **Formatting.** Does proposal formatting follow sponsor guidelines? If not, will this confuse the review process? Keep in mind that electronic submission systems truncate documents when the page limit is reached. For those

electronic submission systems that do not truncate documents, remember that reviewers and program officers are under no obligation to read excess pages (and frequently do not). Strict adherence to page limits is honored because it gives all applicants equal space to compete for the award.

- ✓ **Budget.** Have the correct budget categories been used? Are all budget costs allowable according to the appropriate cost principles? Is the proposed budget arithmetically correct? Are estimated costs proposed in the manner that costs will be expended? Can all costs be supported? Is program income budgeted and terms and conditions of applying program income and excess income specified? Do all budget forms agree?
- ✓ **Fringe Benefits.** Have the current approved rates been used and correctly applied to the proper salary bases?
- ✓ **Indirect Costs.** Has the appropriate indirect cost rate been used and applied? If the funding agency limits allowable indirect costs, is it appropriately stated on the PIF, with a copy of the guidelines attached? Are you requesting an Indirect Cost Reduction Request (lower than allowed by the funding agency)? If so, is that form attached to the PIF?
- ✓ **Travel/Equipment/Other Direct Costs.** Are the proposed costs necessary for the proper conduct of the project? Are the costs reasonable, allowable, and in accordance with sponsor guidelines?
- ✓ **Cost Sharing or Matching Funds.** Does the funding agency require funds from the institution or a 3rd party to support this project? If not required by the funding agency, are you voluntarily showing cost share or matching funds to support this project? Voluntary cost share is strongly discouraged. Some sponsors such as the National Science Foundation, prohibit voluntary cost sharing, so please review this item in the program guidelines with your grant administrator if applicable. If showing cost share, have the sources of these funds been identified and committed to this project?
- ✓ **Technology.** Does this project place extraordinary demands on the technological infrastructure of the University? If so, you need to discuss the matter with the [Sr. Academic Technology Officer](#).

Research Compliance

All sponsored program activity must comply with APM 501 Interim Policy on the Administration of Grant and Contract Activity. All Project Directors should become familiar with the [APM 501](#).

The policy sets directions to be followed so that the University or its auxiliary maximizes the benefits of sponsored programs and supports faculty, students, and administrators in effectively securing and carrying out sponsored programs. There are numerous other [Policies and Regulations](#) that require careful review by Project Directors. ORSP staff is available to work directly with Project Directors during the proposal development

process to help Project Directors understand various regulatory requirements.

B. Proposal Development/Submission

Campus Approvals

Proposals for sponsored programs require the appropriate review and approval process by the correct campus officials. **Approval is required on all proposals PRIOR to submission to the funding agency.**

Grants vs. Gifts

Proposals for external funding for gift and for philanthropic grants are submitted through the University Development Office. Proposals from external funding for grants or contracts sponsored programs are submitted through the Office of Research and Sponsored Programs (ORSP). A grant or contract involves an obligation between the parties, in contrast to a gift, which does not. Non-philanthropic grants are in support of research, instructionally-related activities, training or service, and under an agreement. The *University Journal* published this institutional determination—[Guidelines for Administration of Gifts, Sponsored Support, and Other Resources Acquired through External Relationships](#) (February 2005; vol 8: no 6). Please refer to “Attachment A: Distinction Between Sponsored Projects and Gifts” for criteria to assist in determining grants and contract sponsored programs from gifts and philanthropic grants; however, if there are concerns in distinguishing differences, ORSP can be contacted for assistance.

Project Information Form: Approvals & Routing Process

The University currently utilizes a [Project Information Form](#) (PIF) for its review and approval process. Proposals for sponsored programs shall not be submitted to a potential sponsor on behalf of the University and/or Foundation without prior official approval obtained through the PIF routing process, and especially of Associate Vice President for Research and Sponsored Programs. The completed routing of the PIF indicates the following administrative approvals as per Academic Policy Manual, Section 501:

Department Chair and Dean: Review and approval by the appropriate Department Chair(s), Unit Director, and Dean(s) will certify that the proposed project falls under the mission of the Department and College and that all aspects of the proposal, including, but not limited to, the institutional budget commitments to cost share, personnel

assignments, and other items, meet departmental and College/School policies, and the proposed project is eligible to be approved in the event a proposal is funded.

Associate Vice President for Research and Sponsored Programs: Proposals for sponsored programs shall not be submitted to a potential sponsor on behalf of the University or Foundation without prior written approval of the President or AVPRSP. Signature by one of these officials will be the final signature on the proposal after the Project Director obtains other approvals as set forth above by means of the Project Information Form (PIF) provided by the Office of Research and Sponsored Programs.

Review and approval by the AVPRSP will include, but is not necessarily limited to, the proposal quality, academic and personnel policies, procedures, mission of the University, facilities, equipment, cost sharing, or allocation of funds normally budgeted for the academic programs of the University.

Routing Process

Working closely with the Project Director, the grant administrator will prepare the PIF and, once the form is accurate and complete, the Project Director can begin obtaining the signatures from the Chair of the Department and Dean of the College. When those signatures have been obtained, the Project Director needs to deliver the PIF with the original signatures to ORSP for review and signature by the Associate Vice President for Research and Sponsored Programs.

One practical reason that the PIF must be properly executed prior to a proposal leaving campus is that ORSP logs all proposals into a database from the information provided on the automated form. This information is then shared with all Colleges/Schools at least quarterly via our “Submissions, Awards, and Rejections” (“SAR”) report. How your college/school is given credit is largely a function of the information drawn from the Project Information Form (PIF) data. The [SAR](#) is available on the ORSP website.

C. Budget Preparation

Overview

The ideal budget is one that is a good fit with the scope of work of the project and its period of performance. Reviewers are often experts in the disciplines, and so they have developed judgment about the costs of doing research. What are the most common red

flags in a budget for reviewers? Two examples would be a budget with “broad strokes” that does not target specific personnel, services, or items *or* an artificially small budget that will leave the Project Director short-funded. At best, reviewers will think that the Project Director has not yet acquired enough experience to know what resources are necessary to complete the work. Therefore, give carefully calculated estimates of all costs necessary to the completion of the scope of work. The ORSP can help with preparation of a complete and accurate budget.

Computation of Budget Items

Budgets are best generated on Excel spreadsheets whose formulas can automatically calculate and re-calculate costs. ORSP has pre-formatted Excel spreadsheets that will automatically calculate costs and then link the totals to the [Budget-PIF Workbook](#). When entering an item on the spreadsheet, give a concise title and description, followed by the method of computation (which is called a “budget note”). The “note” will allow the reviewers to grasp at-a-glance how you arrived at your figures. The “notes” can also be viewed as extra text allowed (beyond the strict page limits of the project narrative) to showcase your expertise and diligence. For example, instead of budgeting for “\$20,000 for 20 computers for a new lab (estimating \$1,000 each),” you should instead budget “\$12,980 for 20 Dell Inspiron Notebooks with 2 Duo Processors, customizable and wireless-ready (\$649.00 each x 20 teacher-trainees).” The latter confirms that you are an expert on your proposed project.

Finally, ***multiyear budgets should provide for inflation***. The [Budget-PIF Workbook](#) has inflationary formulas for salaries and fringe benefits built into out years.

Here is a sample calculation for salary on a multiyear budget:

- PI summer salary = 2/9s of base academic year salary

Year 1 = \$16,339 (\$73,527 x 2/9s)

Year 2 = \$16,830 (\$75,733 x 2/9s)—allows for 3% inflation rate

Year 3 = \$17,335 (\$78,006 x 2/9s)—allows for 3% inflation rate

As noted on the Itemized Budget spreadsheet, please alert us if you are due for a STEP increase during the grant period.

Areas of Especial Concern

During the preparation of any budget there are always several areas of concern, but personnel costs; cost sharing/matching; and indirect cost computation are usually the most complex faced by Project Directors in order to be compliant with State, University, and Foundation payroll policies. Personnel costs are most frequently scrutinized by sponsors because faculty expertise is often the most valuable service being acquired by the sponsor. Following are brief summaries of terms typically used and the methods of calculation.

Note: The [Budget-PIF Workbook](#) will automatically calculate for you the correct rates for overload and summer salary once you enter your base salary. To enter your base salary, either multiply the gross pay amount on your pay stub x 12 or contact your grant administrator or Dean's office. Your grant administrator will automatically verify your base salary upon receipt of your line item budget.

Release Time Calculations (at Full Buyout)

Salaries for sponsored programs are often not paid directly to faculty, but rather to their College/School so that the faculty member can be "released" from teaching while working on the sponsored program activity. The amount of salary included in a budget for release time is expressed as the dollar value of the equivalent time associated with teaching the class units. The CSU term for this time is "Weighted Teaching Unit" ("WTU"). Fresno State faculty are assigned 30 WTUs per year, or 15 WTUs per semester, equaling four courses ("direct instructional assignments"), *plus* the equivalent of one course in "indirect instructional activity" such as student advisement or curriculum development and improvements.² This means that a release from one course equals three (3) WTUs of "direct instructional assignment" and that is 10% of the faculty member's academic year salary (3 WTUs divided by 30 WTUs per year). A release of 6 WTUs would be 20%; a release of 12 WTUs would be 40%, and so on.

Note: In the post-award stage, the Project Director will need to cooperate with the Foundation on "Effort Reporting." Both CSU and most sponsors, particularly federal sponsors, make "Effort Reporting" a target item on audits because faculty expertise is a prized commodity.

² See "[Faculty Workload: Policies and Procedures.](#)"

Release Time at Backfill Rates

Backfill is the cost of replacing a tenured or tenure-track faculty member with a part-time instructor when a faculty member is released to work on a grant/contract. Backfill rates are only used when a funding agency restricts the dollar amount available for salaries or if other circumstances warrant not being able to fund 100% of the buyout. Approval to include only backfill rates in a project budget requires advance approval by the Dean of the College/School affected and the AVPRSP. Use of backfill rates are strongly discouraged and in most cases will not be approved.

Backfill rates are re-calculated yearly, based upon the salary for a lecturer B category.

Overload Salary Calculations (Academic Year)

Academic Year Overload (or Overload Pay): This is payment beyond the normal 30-unit (30 WTUs) annual full-time work load or equivalent during the normal academic year.

Payment is based on the faculty member's hourly rate of pay. Please refer to the University [Additional Employment Policy](#).

To convert annual salary to an hourly rate for accurate overload computation and payment to the faculty member, follow this formula:

- Divide the faculty member's annual salary by 1,360 hours (which is the gross number of contractual hours per academic year when 170 days is multiplied by 8 hours). This rate will equal the hourly pay rate.

Each month the faculty member will be asked by the Foundation to record the hours worked on the grant/contract, so that a wage payment can be authorized. The hourly rate calculation allows the faculty to complete the necessary Time Voucher forms (temporary help vouchers) used by the Foundation to pay persons working on grant/contract projects.

Administrative staff working on grants/contracts must calculate hourly rates as follows:

- Divide the annual salary by 2080 hours (which is the gross number of working hours per year when 173.33 is multiplied by 12).

In the case of faculty or staff, should it be necessary to calculate a daily rate, simply multiple the hourly rate times 8. To calculate a monthly rate, multiple the hourly rate times the average working hours in a month, 173.33.

Certain grant programs restrict the time a faculty member can work on a grant/activity as overload during the academic year, and may prohibit the practice all together.

Federal sponsors do not allow overload: faculty members working 100% on sponsored federal programs may not work more than 100% time. Please be sure to contact the ORSP office to verify if your grant program has academic year overload restrictions.

Summer Salary Calculations

Summer or Semester Break Overload: This is the time a faculty member spends on grant/contract work during the summer or during other non-teaching time outside the academic year contract. The rate of pay for semester break overload is normally based on the faculty member's hourly rate of pay, similar to the calculation overload.

To determine semester break overload hourly rate, use the academic year overload formula:

- Divide the faculty member's annual salary by 1360 hours (which is the gross number of contractual hours per academic year when 170 days is multiplied by 8 hours). This rate will equal the hourly pay rate.

The amount included in the proposed budget for faculty working during months when there are no teaching responsibilities is the product of the number of hours proposed to be worked times the faculty member's hourly rate. The [Budget-PIF](#) workbook will automatically calculate the yearly % once the Project Director has entered the correct number of overload hours.

To determine summer pay, use the following formula:

- Multiply the faculty's monthly gross pay by 12 for the academic base year salary, and then divide that base salary by 9 for one month's summer salary.

Certain sponsors, especially federal sponsors, cap summer time/salary. Please contact your grant administrator for guidance.³

Retired Faculty Considerations

Retired faculty are restricted by Public Employees Retirement System (PERS) regulations. They may not work more than 50% of a full-time faculty assignment at the University without impacting retirement benefits. Faculty working under Faculty Early Retirement Program (FERP) conditions are already considered to be employed at 50% time, and may not be paid overload on any grant activity, even during non-academic time periods.

Fringe Benefits

These are the employer's (the University's or Foundation's) costs of taxes and benefits. These include taxes such as FICA, Workers' Compensation, Unemployment Insurance, and Medicare. Additional benefits include health, vision, dental, life insurance, and retirement. Sponsoring programs may include restrictions regarding the eligibility for employer contributions towards retirement plans (i.e., 401-K). Budgeting for possible consideration of retirement plans should be discussed with ORSP during the proposal process. Because health and dental rates can vary, benefits should be calculated on an individual basis. It is important to contact ORSP staff to help determine total percentage for all benefits for budget purposes. It is also important to contact ORSP because certain rates, such as Workers' Compensation, fluctuate each year, and often a small but additional percentage needs to be added to the fringe benefit rate to ensure that all participants in a grant are fully covered. *Note:* the [Budget-PIF](#) workbook already has entered the correct and current Workers' Compensation rate.

Release Time Fringe

Release time normally means that a faculty member is being released from teaching classes. When release time is being purchased by the funding agency at the full value or "buyout" rate, use the actual benefit rate. The actual benefit rate calculation is also used when released time is at the "backfill" rate.

To estimate your actual benefit rate, divide the total amount for fringe benefits on your pay stub

³ As of January, 2011, the National Science Foundation (an independent federal agency) changed its policy re: 2/9s summer salary to include one year: "As a general policy, NSF limits salary compensation for senior project personnel to no more than two months of their regular salary in any one year. This limit includes salary compensation received **from all NSF-funded grants**" (*NSF Grant Proposal Guide*, page II-12).

by your gross pay. Please remember that minor but anticipated annual increases in Workers' Compensation and similar programs might necessitate increasing by a few percentage points the fringe benefit rates in out years. This helps the Project Director maintain full funding in future years. You can contact your grant administrator for the actual rate, plus annual increases, for sponsored program budgets. Your grant administrator will always verify the actual rate and adjust for inflation.

Overload Fringe

If the faculty member will be performing the work as an overload (additional payment) or during summer or break times, please contact ORSP to obtain the current, reduced benefit rate for such work. This would include work done between semesters and during the summer. The rate is lower than the release time fringe because health care and retirement are not included in this calculation (that portion of the fringe would have been fully paid as a function of the regular pay). Rates will vary for University staff being paid to perform work outside of their regular working schedule (such as hiring an existing staff person to work after hours or on the weekends or hiring of a staff person who is on a 10-month contract to work during the summer months).

Temporary Non-Student Employee Fringe

A temporary, non-student employee is usually defined as (a) someone working part- or full-time for less than six months or (b) someone working less than 20 hours per week for more than six months. Fringe benefits that apply to temporary non-student employees include Workers' Compensation, FICA (social security), Unemployment Insurance and Medicare only, so the fringe benefit rates are fairly low. For determination of fringe benefit costs, please contact your grant administrator.

Note: A *one-year* temporary faculty or staff appointment would require a full-benefit rate because employment is for more than 20 hours per week and exceeds six months per year. Health Insurance and other benefits need to be added, and as the Project Director, you can choose which benefits to add for the new hire(s) by consulting the "Actual Benefits Rates" spreadsheet of the Budget-PIF workbook or consulting with your grant administrator.

Student Employee Fringe

Undergraduate students carrying six or more units during the academic year are not

subject to FICA or Medicare taxes. Five or more units is considered full-time enrollment for graduate students during the academic year. *Note:* If the student does not carry the required qualifying units, the student is considered a temporary non-student employee and the employer taxes would be applicable as listed above. Non-student employee rates apply to summer months when students are working, but not enrolled in classes. Contact your grant administrator for current rates.

Time and Pay Caps

ADDITIONAL EMPLOYMENT POLICY

The maximum allowable **additional employment** for State employees is 25% above the equivalent of a full-time appointment.⁴ This limitation is based on work during the regular academic year associated with academic-year contracts. Work during the semester break and/or summer is not included in the 25% cap. Please refer to the University [Additional Employment Policy](#).

The cap is time-based. As such, the time spent on grants/contracts during any given pay period including summer months should not exceed 125% of the normal working hours for that time period.

- *Reminder:* A faculty member who is paid 100% by federal grant funds may not work more than 100% time.⁵

Although the 25% cap is time-based, as a practical matter it is also salary based (with exceptions) because the Foundation cannot pay a flat fee for work done on a grant. Thus, faculty or staff members need to calculate their hourly rates of pay for their primary assignment.

Please bear in mind that the 25% overload limit applies to all sponsored work combined.

For example, if a faculty member has committed 10% in overload time on a Fresno Arts Council grant, and has committed another 5% to a California Council for the Humanities grant, then that faculty member only has available 10% in overload remaining for any other sponsored work. Be sure to contact the ORSP office to verify if your grant program has any summer employment restrictions.

Exceptions to the rule are possible when all of the following are true: (a) the funding source is not a federal agency, (b) a higher salary rate than that based on their current salary is

⁴ Article 30, Collective Bargaining Agreement for Academic Personnel.

⁵ CSU Memorandum HR2002-05 dated 2/19/02 and OMB Circular 21, Section J, 8,d (1) (As revised 8/8/00)

appropriate for the grant-funded work, (c) the funding agency will allow the higher salary rate, and (d) the employee's Dean approves the rate.

Travel and Lodging

As of January 1, 2007, the per diem rate is \$50 per day for meals plus \$5 for incidentals for a total of \$55 per day. Lodging and transportation (hotel, air fare, or car rental, etc.) are based on actual documented costs. Local mileage travel (private car) is subject to change. Check with ORSP for current rates and refer to the [Foundation's Travel Policy](#).

Equipment

For federal grants, equipment is defined as any item costing over \$5,000 and having an estimated life of one year or greater. However, when buying computer equipment it is generally accepted to list all major components regardless of price. State and local government plus private foundations have different policies governing the purchase, retention, and even long-term ownership of equipment, which may not be allowed within a program budget or sponsor, so it is important to know the policies of your funding agency. ORSP managers should always be consulted if this information is not available from the funding agency.

Use of Consultants

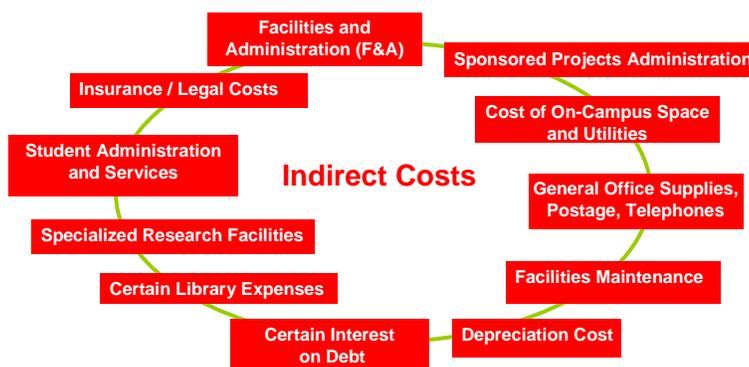
The use of consultants is a commonly accepted practice in proposals. The payment process for these individuals has to be compliant with the IRS and other State and CSU policies. An individual should not be hired as a "consultant" to avoid payment of employee fringe benefits. If the "consultant" is considered a temporary employee, the Foundation is required to pay employer taxes and this would impact a program budget after-the-fact. In addition, significant penalties can be imposed for paying persons as consultants when they are actually working as employees. Please refer to the Foundation's [Policy on Independent Contractors](#) located on the Foundation website. CSU policy stipulates that no CSU faculty or staff can be considered a consultant and **must** be hired as a temporary employee. Under no circumstances can the Foundation hire a University employee as a consultant. ORSP managers should be consulted if there is a question regarding the status of a particular consultant. In most cases, consultants—like external evaluators—are administratively handled as subcontractors. Please refer to the [Policy on Monitoring of Sub-recipient Contracts](#) located on the Foundation website.

Indirect Costs

Indirect costs are those costs that are incurred for common or joint objectives and therefore cannot be identified readily and specifically with a particular sponsored project. Different synonyms for indirect costs are used by different sponsors: the federal government uses the term “Facilities and Administration (F&A)” while other funding entities use “overhead” or “administration.”

All grant/contract programs incur indirect costs. These are the "overhead" costs of administering a grant or contract.

These include setting up of the account, paying bills, and other accounting services necessary to conduct an audit upon completion of the grant/contract. Indirect also includes cost for general campus activities and items and for general administrative services such as student, library, or physical plant services. As these types of overhead are considered part of the University's indirect cost line item, they should not be included in direct costs.



The Foundation’s indirect rate was established by an agreement with the Department of Health and Human Services. Effective July 1, 2009, this is 38.4% of Modified Total Direct Costs (MTDC) for “on-campus” grants and contracts. Off-campus grants and contracts have an indirect rate of 17.3% of MTDC. The off-campus rate is to be used when the grant/contract activity is conducted at locations other than University or Foundation-owned or -operated facilities and indirect costs associated with the physical plant and library are not considered applicable to the project. For documentation certifying the rate, go to [Rate Agreement](#).

Modified Total Direct Costs (MTDC).

Certain items are exempt from indirect costs. For example, the indirect cost rate can only be applied to the first \$25,000 of each subgrant or subcontract. Equipment, capital

expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, and participant support costs such as scholarships and fellowships are excluded from the Indirect Cost Rate. ***Modified Total Direct Costs (MTDC) are calculated as the amount of all direct costs minus the total of these exempt items. The Indirect Cost Rate is then applied to MTDC.***

If the funding agency has a published policy that limits the indirect cost to a percentage below 38.4%, please indicate this on the PIF, attach written documentation (usually a copy of the funding source's written policies), and use the maximum allowed rate.

A Note on Alternative Indirect Cost Rate: The State of California, private companies, and foundations often use an alternative indirect rate of 15% of total direct costs. Attach the published policy from the funding agency to the PIF. If less than the maximum allowed by the funding agency is submitted for funding, attach to the routing system an [Indirect Cost Reduction Approval Form](#) for approval by the Dean, the Provost, or the Associate Vice President for Research and Sponsored Programs (AVPRSP).

Certain Request for Proposals (RFPs) stipulate that particular budget line-items cannot be included in the applicant's indirect rate or give extraordinary rules on indirect cost rate application. If the jargon on indirect cost rates is not clear in the program guidelines, please contact your grant administrator for interpretation. Please note that the indirect cost rate is based on the funding agency's published policies, and not on verbal statements from a representative of the funding source. Written confirmation is needed for any reduced indirect cost rates.

Cost Share or Matching

Cost sharing is the portion of project expenses related to a sponsored agreement that is contributed by parties other than the sponsor and so not directly charged to the sponsored project account. Please refer to the Interim Cost Share/Match Policy, [APM 502](#), for additional information.

Cost sharing may be required by the sponsor as a condition of receiving an award or offered by the Project Director in the sponsored proposal document ("voluntary cost sharing"). Voluntary cost sharing is strongly discouraged by the Fresno State Foundation and may not be approved even if requested. Certain sponsors such as the National Science Foundation prohibit voluntary cost sharing (as of January, 2011). If a

sponsor does not require cost sharing or matching in the program guidelines, then the sponsor does not consider it necessary. **Including voluntary cost share or cost share in excess of a required amount does not improve your chances of securing the grant. Reviewers rate the project on its merits.**

It is the responsibility of the Project Director and the associated College/School unit to evaluate the workload and budget implications of proposed cost sharing and to ensure that the University's cost sharing commitment is met. Cost share is accounted for like all other costs and must be supported and documented in the post-award phase.

For expenses to be eligible for cost sharing, costs must be all of the following:

- allowable and allocable under federal cost principles (OMB circulars A-21 and A-110);
- allowable and allocable under the terms of the sponsored agreement;
- necessary and directly related to the project objectives;
- for labor costs, certifiable in the effort reporting process required by the Foundation. Please refer to the Interim Effort Reporting Policy for Research and Sponsored Projects, [APM 504](#), for further information.

The costs must not be any of the following (unless approved by sponsor):

- included as cost sharing for any other project;
- payable by the same sponsoring agency under another award.

As a check list, the following cost share issues will be examined prior to a proposal being approved for submittal:

- ✓ Is there cost share/match listed in the detailed budget or narrative within the proposal?
- ✓ Is cost share/match required or optional per the sponsored program guidelines? If optional, please consider whether to include or not.
- ✓ Documentation is required for all cost share/match whether cost share is required or voluntarily committed in the proposal. Are the PI and other parties willing to provide detailed levels of documentation?
- ✓ Are the cost share/match requirements from the sponsored program

guidelines attached and available for ORSP review?

- ✓ Will the University/Foundation voluntarily commit more cost share than is required per the sponsored program guidelines? If so, has an explanation been included?
- ✓ Faculty time outside of the academic year may need prior approval from the granting agency to be counted as cost share.
- ✓ Do faculty/staff know that a percentage of their time has been committed in the proposal? It is imperative that all faculty/staff know when their time has been committed in a proposal.
- ✓ Has the chair or dean of each faculty/staff with time commitments in the sponsored program been notified, and have they approved all of the time commitments within their department?
- ✓ Is there a letter of support from the third party providing the cost share/match? If awarded, the third party will be required to ensure that the required % or dollar amount of cost share/match will be met and that required written documentation will be provided.

Finally, it is important to understand that federal funds from one grant cannot be used to “match” another federal grant. Also, certain facilities or services considered as in-kind are covered under the University’s indirect rate and cannot be utilized as direct cost share.

Cost sharing may consist of unrecovered indirect costs (i.e., waived or reduced indirect cost rate) as well as direct costs. The general rule on whether indirect costs can be counted as cost share on a grant is that when the direct costs are subject to cost sharing, the associated indirect costs are automatically subject to cost sharing.

However, some sponsors prohibit the use of foregone indirect as cost share, so consult the program guidelines and your grant administrator.

Commonly-Used Budget Categories

Allowable Categories

The most common allowable categories are these:

1. **Salaries and wages.** Salaries and wages for all personnel who will be working on the project should be included. For each person, indicate the time to be spent on the project and indicate the base salary used to arrive at the requested amount. In the budget, list personnel according to support requested (highest to lowest).

A Note on Honorariums and Stipends: The IRS does not recognize “honorariums” so these cannot be billed to a sponsor: they can only be entered in a sponsored budget as cost share. Also, “stipends” are paid for participants to attend summer seminars; the participants are responsible for any tax liability. *All participants engaged in work must receive salaries/wages.*

2. **Fringe benefits.** Use the actual fringe benefit rate for academic year salary. For correct rates for summer salary, overload, or new hires, consult with your grant administrator. You can also consult the “Actual Benefit Rates” worksheet in the [PIF-Budget](#) workbook to learn how to calculate benefits for new hires or the current rates for summer and overload time.

3. **Equipment.** The federal government defines permanent equipment as property with a purchase price of \$5,000 or more and a useful life of one or more years. Equipment purchased under a grant must be necessary to the research, dedicated to project use, and not available or easily accessible. When budgeting, list separately each item of equipment, with specific information about name, model number, and manufacturer, and include costs of shipping, installation, and maintenance. Computer equipment should also be itemized, e.g., a CPU, monitor, keyboard, software.

A Note on General Use Equipment. The purchase of general purpose equipment (e.g., office furniture, data processing equipment, word processors, etc.) is by and large prohibited by sponsors (who restrict funds to project-specific items and services).

4. **Participant/Trainee Support.** The cost of student scholarships, fellowships, tuition, and stipends are included here.

5. **Travel.** Domestic and foreign travel need to be listed separately because of extra expenses and regulations that can apply to foreign travel. The budget “note” should indicate who will travel where; when; and why. Travel estimates should include RT economy air fare (or other cost of transportation); mileage billed at the current Foundation rate; cost of meals and lodging, meeting registration fees, and so forth. If

you are unsure about per diem rates, you should use the per diem rates set by the [U.S. General Services Administration \(GSA\)](#). Only in rare circumstances should the per diem rates in the budget exceed the rates of the GSA. In most cases, the rates will be lower than those of the GSA. Foreign travel costs might also need to include items such as visa fees and extra insurance. Foreign travel funded by federal agencies is subject to the Fly America Act.

6. Materials and supplies. Materials and supplies include consumable items (e.g. chemicals, laboratory breakables, stationery, printer ribbons, etc.) **required** for the project. General purpose materials and supplies should not be included.

7. Publication costs. Publication costs include journal charges, cost of illustrations, and costs of preparing and reproducing reports required by the agency.

8. Other. Other allowable expenses include such items as postage, telephone, photocopying, animal care, payment to and incentives for human subjects or project participants, publication and printing costs, subscriptions to periodicals, and other costs that are **directly related to** and **are required for** the project.

9. Subawards/Subcontracts (including Consultants and External Evaluators). Less frequently used budget categories include consultant services and subawards with other institutions. Consultants and External Evaluators are included in this category because payment for a consultant or external evaluator is a subaward (however small the cost). Project Directors including such items in the budget should consult ORSP for help preparing the required documentation. Examples of such documentation include commitment letters, subaward budgets, and subaward budget narratives.

10. Indirect costs. See II-16.

Unallowable Budget Categories

These are the most common costs that are not allowed by sponsors:

- Alcohol
- Entertainment
- “General use” equipment, supplies, or communication (telephone, postage, copying...)
- Academic year salary (for general duties)

- Advertising/public relations
- Advisory Councils
- Alumni/ae activities
- Fundraising
- Commencement/convocation costs
- All costs not **specific** to grant project
- All costs not in line with institution's **regular practices**

D. Grant Application Portfolio: Common Elements

A complete grant application is a portfolio of documents. The contents of each document change with the needs each of sponsor, which means that any applicant needs to review with care the program guidelines that outline the specifications for the grant application. Below is concise guidance on the most commonly-requested documents (“common elements”) for a grant application portfolio. We also provide resources to help you develop many of these documents on our [ORSP website](#).

Project Narrative [Statement of Work]. Successful project narratives are driven by faculty expertise and inspired by faculty keenness for the idea. The project narrative offers a detailed description of the project, including background, goals and objectives, work plan/methodology, significance, evaluation/assessment with “SMART” outcomes, dissemination, and other sponsor-specific sections. As the project narrative is the main document which will describe the scope of work and by which reviewers will rate the merit of your project, the program guidelines will usually detail the sponsor’s expectations for this document. Being compliant with the contours of the project narrative outlined in the program guidelines increases your chances of success because reviewers and programs are more easily able to find the information they are seeking.

A Note on Compliance: Most funding sources specify page limits. Federal sources often specify font and other limits. The reasons for these limits are many, but the most important consideration is that not complying with these limits can result in your

proposal being deemed technically ineligible and returned without review. Sponsors are routinely faced with far more worthy proposals than they have the money to fund, so they often look for reasons to eliminate a proposal. Failing to comply with technical requirements such as page limits, allowable fonts, etc., could serve as a reason to eliminate your proposal from the big pile. An equally important reason that sponsors want you to honor page limits and font requirements is to ensure that all applicants have equal space to make the argument for their projects. Last but not least, readability is an important reason: reviewers are working overload to read through piles of applications.

For this latter reason, always let readability be of paramount importance when you are drafting grant application documents.

Abstract [Executive Summary]. This is a high level overview of the project, whose importance cannot be overstated. Write this after you have finished the entire narrative, at the point when the project (like a fine wine) has been aged to perfection. Program officers frequently use the Abstract or Executive Summary to make a critical decision: the choice of your reviewers. Sponsors can also use the abstract to “streamline” or “triage” the review process. This means that if the abstract does not make the cut, neither does the entire application. Some reviewers aim to eliminate up to 50% of the applications in the piles before them by judging the merits of the project through the abstract. It is critical that the abstract be compliant with the specifications in the program guidelines and, above that, be compelling. The contours for an abstract also change from sponsor to sponsor, e.g., the National Science Foundation requires that intellectual merit and broader impacts be directly stated in the abstract. Consult the program guidelines for requirements specific to your abstract. Also remember that many sponsors use abstracts for publicity purposes. This means that not only the abstract’s content but also the abstract’s language must be compelling *and* be understandable to intelligent laypersons.

Line Item Budget. See “Computation” (II-8) above.

Budget Narrative/Budget Justification. In this document, you argue why each line item is essential for the project; why all costs reasonable and sufficient; and why you have the authority and experience to argue this. ***As you argue for each cost, you refer to it by the “line” in the Line -tem Budget because reviewers and program officers frequently cross-read the Line-Item Budget and Budget Justification.***

Here are sample entries in a Budget Justification:

- Line Item 12: Lab Coordinator. Personnel includes a lab coordinator to set up and ensure all video, audio, and computer equipment are operational. Based on my experience setting up a Psychology Development Suite in my post-doc work, this set-up and training should take 25 hours at a rate of \$50/hour (total=\$1,250).
- Line Item 36: Funds are used to cover the RT economy airfare, lodgings, and MIEs for the external evaluator. The amounts have been estimated from the U.S. General Services Administration (GSA) per diems and from current economy airfares; all funds will be cost reimbursable for the actual amounts expended *up to allowable GSA rates*.

Evaluation Plan/Logic Model. Evaluation sections are increasingly worth a good chunk of points in the review process (often up to 1/5 of total points available). The main reason is that the Government Performance and Results Act (GRPA) introduced the standard of ***positive accountability***⁶ for all federal funds. Every federal agency has to establish specific performance goals for each of its programs annually. The federal agency then reports annually to Congress on the extent to which its programs have realized those performance goals. The extent of success in realizing performance goals influences the allocation that Congress is willing to give that federal agency the next year. ***Given this situation, federal agencies pay close attention to whether grant applicants will produce the outcomes that help those federal agencies to impress Congress and so to secure the future budget allocations requested.***

This standard of positive accountability has been passed through to state and local agencies receiving federal funds; it has also been adopted by these state and local agencies to insure that their own monies are expended well. Many private sponsors, especially major foundations, have begun to embrace the new GRPA standard of positive accountability for their monies. As a result, nearly all grant programs require applications to include Evaluation Plans that provide positive accountability, through measurable goals. Application guidelines offer increasingly specific details on drafting Evaluation Plans. ORSP has developed "[Evaluation Guidelines](#)" resources for faculty

⁶ The old standard was ***negative accountability***, i.e., audits were conducted to ensure that the awardees had not committed fraud, embezzlement, etc.

that are disciplinary-based because evaluation is often driven by disciplinary conventions and expectations.

Best Practice Tip: *Read some abstracts or, if available, proposals of successful applicants from the previous funding cycle. These abstracts and/or proposals—and the Evaluation Plans within—must have been rated highly by the sponsor.*

Letters of Support/Commitment. While letters of support do not win a grant by themselves, good letters of support can make a grant more competitive. They demonstrate broad-based commitment from the range of stakeholders. ***The letters of support show that the collaboration is both productive and genuine.*** ORSP provides resources for “[Letters of Support](#).”

Organizational Profile. ORSP offers a sample “[Organizational Profile](#)” intended to provide commonly requested information for grant applications. Please feel free to use whole or in part. Should your sponsor request a “Fact Sheet,” we recommend that you visit “[Fast Facts about Fresno State](#)” and “[Demographic Data: Quick Facts](#).” The [Office of Institutional Research, Assessment, and Planning](#) (IRAP) also provides additional facts frequently requested by sponsors. ***Note: Any demographic information (e.g., ethnicity, enrollment and retention, gender...) requested about Fresno State students or faculty must come from IRAP as that office provides the official numbers for our institution.***

E. Common Application Data and Information Needs

Many proposals, especially those submitted to government agencies, require specific information about which offices and individuals are involved with potential contracts. Some of the information that is commonly requested appears below. Other information is available by contacting ORSP.

Address for both the Foundation and the University within Applications

Thomas McClanahan, Ph.D., Associate Vice President for Research and Sponsored Programs

Office of Research and Sponsored Programs, 4910 N. Chestnut Avenue M/S OF-123
Fresno, CA 93726-1852 // Phone: (559) 278-0840 // FAX: (559) 278-0992

Federal Employer ID

Foundation: 94-6003272

University: 94-6001347⁷

Foundation DUNS (Dun and Bradstreet) Number

DUNS Number for Foundation: 150837003

Central Contractor Registration // Foundation CAGE/NCAGE Code

The Foundation CAGE Code is IKYN0. The details of the Central Contractor Registration are attached to this manual.

U.S. Congressional Districts

Fresno: 21

Service Area: Consult with an ORSP manager if work is outside Congressional District 21.

Indirect Costs

1. 38.4% of Modified Total Direct Costs (preferred), or
2. Maximum Allowed by Funding Agency, or
3. Amount Approved By Dean **and** by either the Provost or the Associate Vice President for Research and Sponsored Programs

Officials for Accounting Services

Occasionally, proposals must list the individual with whom the funding agency will conduct invoicing and billing services. List the following Foundation contacts:

Mr. Keith Kompsi

(559) 278-0838

Director of Financial Services

kkompsi@csufresno.edu

OR

Ms. Linda Christian

(559) 278-0852

Post-award Supervisor

lindacar@csufresno.edu

Official Signing Proposal for Applicant

Grant **proposals** submitted in the name of the Foundation typically require an official signature. The following individuals are authorized to sign proposals. The return

⁷ The University ID 94-6001347 is used for all grant applications to the National Institutes of Health.

address and phone number associated with any of these signatures should be ORSP's address.

Thomas McClanahan, PhD Associate Vice President for Research and Sponsored Programs (AVPRSP) <i>In event of AVPRSP absence:</i> Gil Harootunian, PhD Director, Sponsored Programs	William Covino, PhD Provost/Vice President of Academic Affairs	John Welty, Ed.D. President
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Officials Signing Contracts for Applicant of Foundation Sponsored Awards

All **contracts** and **grant award agreements awarded in the name of the Foundation**—as opposed to proposals—require two (2) signatures. Any combination of two of the following signatures is sufficient. ORSP and Foundation Staff Counsel review all contracts and will obtain required approvals on contracts.

Thomas McClanahan, Ph.D. Associate Vice President for Research and Sponsored Programs	John Welty, Ed.D. President
Deborah Ashidian-Astone Executive Director CSU, Fresno Foundation <i>If need demands:</i> Cynthia Teniente-Matson VP for Administration and Chief Financial Officer (or designee)	Keith Kompsi Director of Foundation Financial Services

Foundation Non-Profit Status

California State University, Fresno Foundation is a recognized auxiliary corporation and tax exempt organization under section 501(c) of the U.S. Internal Revenue Code.

When funding agencies require proof of non-profit status, they can be referred to IRS Publication 78, Cumulative List of Organizations, which can be located through the IRS website at <http://www.irs.gov/charities/article/0,,id=96136,00.html> in both a searchable and downloadable format.

If a hard copy is required to prove 501(c) status upon submission of the grant

application, utilize the IRS Notification letter available on the ORSP website or contact ORSP.

Human Subjects Assurance Number

Human Subjects Assurance Number: FWA 00003660. Expires: September 27, 2011

State Single Point of Contact

Many federal Requests for Proposals (RFPs) require that the State be provided with the opportunity to review certain proposals to foster intergovernmental partnerships and to strengthen federalism. The language that will appear in the federal instructions will quote "Executive Order 12372, Intergovernmental Review of Federal Programs."

California however elects to participate in proposal review in a few cases only. When the RFP requests this be done, check with the State Clearinghouse, Office of Planning and Research at (916) 445-0613 or by using the internet. Obtain the CFDA Number from the RFP (ask ORSP if you need help), then consult the ["Federal Grant Review"](#) site of the California Governor's Office of Planning and Research. For additional questions, contact ORSP.

Proposal Submission Deadlines

Most proposals have filing deadlines which indicate the date and time of receipt, e.g., 4:00 Eastern Time or 5:00 p.m. proposer's local time. To ensure that everything is included in the proposal and that the administrative review process is completed in a timely manner, the Project Director is strongly encouraged to contact ORSP in advance of the proposal deadline to review the process and answer any questions concerning the completion of certain proposal forms or other relevant items. Two weeks prior to the deadline is the recommended time to contact ORSP. One week is the minimum required. Also, electronic submission systems are time-consuming and technical, and the sooner that you contact ORSP, the smoother and safer your submission should proceed.

Most sponsors now prohibit paper submissions. If an applicant wishes to submit a paper application ("dead tree app"), sponsors now require that the applicant submit a paper petition that presents a strong rationale for not submitting electronically.

A Note on Funding Glossaries

Documents associated with external funding contain professional vocabulary and terms, in external contexts, and these can sometimes be hard to decipher for those not well versed in them. The best course is to ask your ORSP grant administrator to clarify or interpret these terms. If you wish to consult a glossary, these are among the best in the field:

1. UCLA's [Research Administration Glossary](#).
2. U.S. Department of Health and Human Services: National Institute of Allergy and Infectious Diseases' [Glossary of Funding and Policy Terms and Acronyms](#).
3. Federal Demonstration Project: [Research Administration Index of Commonly Used Acronyms](#).

F. Project Information Form: Instructions for Completion

The Project Information Form (PIF) has four main sections: TOP section — LEFT section — RIGHT section — BOTTOM section.

1. PROJECT INFORMATION [*Top Section*]:

Lead PI/PD: The Project Director/Principal Investigator is the primary individual responsible for the work associated with the proposal. If there are two “Co-Directors,” list as the first name the person who will be the point-of-contact for the funding source. Generally, the term “Principal Investigator” and “Project Director” are synonyms when there is only one person performing work on the grant/contract. But when there are “Co-Investigators,” only one will be considered the primary contact. This should be the “Project Director” for administrative purposes.

Category: Circle “Instruction,” “Public Service” or “Research” to indicate the main purpose or activity of the project. This entry not only helps the Office of Research and Sponsored Programs track the main activities of externally funded projects but also to complete surveys for the federal government and agencies.

If Research: If the “Category” selected above was “Research, please indicate if that research is “Basic,” “Applied,” or “Developmental.” Completing this item also assists the Office of Research and Sponsored Program in tracking the level and nature of

sponsored *research* at Fresno State and in completing an annual survey of the National Science Foundation (NSF). If faculty applicants do not complete this box or have questions, ORSP applies the [NSF Definitions of “Basic,” “Applied,” or “Developmental” Research](#).

Proposal Due: Enter the submission deadline. If the PIF is being completed for a contract that did not have a proposal or due date, enter the date by which the contract must be returned to the funding agency.

Department/College: Enter the Project Director’s Department and the College or other unit that houses the Department at Fresno State. Centers and Institutes that are part of a College or unit should list the College or unit before the ancillary unit, as space permits. Similarly, as space permits list the applicable Department after the College or unit.

Foreign National. Circling “yes” or “no” will expedite payroll set up in the post-award stage.

Project Title: For accounting purposes, enter a reasonable title that is descriptive, distinctive, and succinct. This title is critical to smooth administration in the post-award phase as the Foundation will use the title to identify the project.⁸

Funding Agency: Enter the name of the sponsor.

CFDA #: Enter the Catalog of Federal Domestic Assistant number (found in the program guidelines). Nearly all public funding can be tracked through this number, even if it is federal pass-through money that has flowed all the way down to the county level.

Year: Enter the Year (e.g., Year 1 of 3, or Year 2 of 5)

Budget: The amounts for Year 1 (or other Year as appropriate) should be drawn directly from the linked “Line Item Budget” spreadsheet. If you are completing a PIF without the Line Item Budget, please enter the total direct costs, total indirect costs, and total project costs.

Project Start and End Dates: Enter the start and end date of the project period during the Year (e.g., Year 1, Year 2...) being applied for.

⁸ Similarly, the Foundation will bill by position title (not names) for any award, so make sure that all hires have a specific title; only submit by names as supplement to position title.

2. SIGNATURES [*Right Section*]

It is the responsibility of the Project Director or Principal Investigator to obtain all necessary verbal or written agreements and signatures from the appropriate chair, dean, or equivalent authority, prior to review by ORSP staff. ORSP will review and obtain the signatures of the Provost and Foundation officials.

3. CHECKLIST ITEMS [*Left Section*]

The items must be reviewed and checked accurately. Careful completion of this checklist in the pre-award stage will expedite the post-award administration of your grant.

1. Personnel (Release Time — Overload — Summer Salary — Non-faculty/Other)
2. Cost Share/Match
3. Indirect Costs. *Note: Indicate “yes” if you have budgeted for the maximum allowed by the funding agency.*
4. Conflict of Interest
5. Academic Credit (Continuing Education)
6. Special Compliance (human subjects, animal care and use, radiation/biological or toxic chemicals)
7. Extraordinary Needs (Space —Equipment —Technology —Facilities)

4. Attachments & Comments [*Bottom Section*]

Please check and append as relevant—

- A. Current and Pending Support (separate worksheet included in [Budget-PIF](#) workbook)
- B. Line Item Budget (separate worksheet included in [Budget-PIF](#) workbook)
- C. Program Guidelines (RFP, NOFA, SGA...)
- D. Other (identify in space provided)
- E. Federal, state, local, private, or pass through funds

G. Post-Award Stage

III - THE CALIFORNIA STATE UNIVERSITY, FRESNO FOUNDATION

CONGRATULATIONS! You have successfully secured external funding. This means that you are entering the post-award phase and will be transitioning to the Foundation, a separate entity from ORSP. ORSP is tasked with “pre-award” responsibility. The California State University, Fresno Foundation is charged with “post-award” contract management and accounting responsibilities.

After a contract is signed by all parties, the Foundation assigns a specific account number and a grant accountant to the project. The Foundation will contact the Project Director and provide information regarding the submission of requisitions and other items unique to the grant/contract. Specific information will be provided regarding necessary documentation prior to the hiring of externally funded personnel and how to utilize temporary help vouchers for payment. Also, information regarding the submission of requisitions for the purchase of equipment and supplies will be provided. The Foundation provides the Project Director with a monthly financial statement of revenues and expenditures related to the grant/contract program to assist in the proper accounting and reconciling of costs.

The California State University, Fresno Foundation was formed as a not-for-profit corporation in the State of California to assist our University with the administration of externally funded programs. It serves as the fiscal agent for the awarded grants and contracts. The Foundation provides monitoring, budgeting, accounting, personnel management, and payment of vouchers necessary to carry out the grant/contract and keep the proper documentation for audit purposes. As an independent corporation, the Foundation is able to expedite the purchase of equipment and supplies plus the hiring and payment of grant/contract-funded personnel. The utilization of the Foundation as the recipient of the grant/contract provides the Project Director with the flexibility to implement the grant/contract with a minimum of time delay.

The following is current contact information for Foundation employees and their assignments:

Keith Kompsi, Director of Financial Services 278-0850 kkompsi@csufresno.edu

California State University, Fresno

Linda Christian, Post-award Supervisor 278-0852 lindacar@csufresno.edu

Nathan Zanoni, Post-award Analyst 278-0844 nzanoni@csufresno.edu
Assigned units: Lyles College of Engineering, Craig School of Business, Jordan College of Agricultural Sciences and Technology, ARI [Agricultural Research Initiative]

Nancy Pacheco, Post-award Analyst 278-0824 npachecho@csufresno.edu
Assigned units: College of Health and Human Services, College of Science and Mathematics

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Assigned units: Office of the President, Provost/Vice President for Academic Affairs, Division of Continuing and Global Education, Henry Madden Library, Vice President for Student Affairs, Division of Graduate Studies, Office of Research and Sponsored Programs

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Jane Stewart, Post-award Assistant 278-0904 jastewart@csufresno.edu
Assigned duties: New account set up, processing J/E and A/P vouchers, subcontract monitoring, A/R monitoring and processing, review and approval of new hire packages, and review and approval of employee timesheets.

ATTACHMENT A:

DISTINCTION BETWEEN SPONSORED PROJECTS AND GIFTS

With activity increasing on campus to secure external funds and other resources, some distinctions and definitions are important in determining how various types of awards should be recorded and managed. Awards/Projects can generally be grouped into three basic categories: (1) Gifts, Donations, or Bequests; (2) Sponsored Projects, Grants, and Contracts; and (3) Income-Generating Projects.

GIFTS, DONATIONS, OR BEQUESTS

Gifts (cash, real property, equipment or other items of value) are donations that come without consideration or strings attached, other than in designating a particular program (e.g., engineering faculty development) or activity (e.g., student scholarships) to which the funds or resources should be directed. In short, the gift usually arrives with no other requirements accompanying it and are usually irrevocable transfers of money or property. A common exception to this would be a grant from a government agency such as the National Science Foundation for purchase of equipment.

Representative characteristics of a gift, donation, or bequest include the following:

1. If the gift is given for an unrestricted purpose without further consideration, including providing funds for such activities as endowments, scholarships, capital projects, or general student financial assistance;
2. If the gift involves no contractual requirements, written or oral;
3. If the gift requires only minimal reporting to the sponsor in the form of a general statement of how the funds were used;
4. If the gift is awarded irrevocably.

SPONSORED PROJECTS, GRANTS, AND CONTRACTS

Sponsored projects are activities involving a sponsor providing funds or other resources with conditions attached. Usually a proposal precedes an award document which conveys, via a grant, contract or cooperative agreement mechanism, funds and/or other resources necessary and specifically given for conducting an identifiable project with agreed upon activities and/or products.

In most cases, an award will be a sponsored project if it has one or more of the following elements, which can be used as criteria for delineating a sponsored project from a gift:

1. If a proposal is developed in response to some form of guidelines or Request for Proposal (RFP) from the sponsor;

2. If the funds or other resources are from a tax-supported entity such as federal, state, or local government bodies or other organizations providing "pass through" tax funds to the grantee;
3. If the award document specifies a method of payment such as fixed price, letter of credit, or cost reimbursement;
4. If the award is a contract, cooperative agreement, consortium agreement, subgrant, subcontract, or purchase order;
5. If funds are awarded following a competitive bid process;
6. If funds are to match or augment a government funded project, including "pass-through" funds;
7. If funds are awarded for the purpose of research, model project, program development/operation, curriculum development/evaluation, training, community service, planning, technical assistance/evaluation, or some other specific activity;
8. If funds are provided to cover a specific scope of work or to provide a specific product, service, or other deliverable or outcome;
9. If the sponsor identifies a technical monitor/evaluation for the project;
10. If the funded activity involves humans in research, animals, radiation hazards, biohazards, or recombinant DNA;
11. If the Principle Investigator/Project Director has a potential financial conflict of interest related to the award;
12. If the sponsor imposes publication restrictions and/or requires conveyance of rights to tangible or intangible property, including Intellectual Property;
13. If the sponsor will have access to university facilities (e.g. office or laboratory space, phone lines, etc.)/university resources (e.g. personnel, equipment, supplies, etc.);
14. If the sponsor specifies how funds are to be used or includes a line item budget that identifies expenses by activity, function or project period;
15. If the project will involve payment of employees from sponsor funds through a payroll system;
16. If the sponsor pays indirect costs or otherwise provides for the recovery of administrative or overhead costs, except in cases where granting agencies prohibit indirect cost recovery;
17. If the sponsor requires financial reports and/or invoices;

18. If the sponsor requires the return of unexpended funds and/or specifies disposition of property/equipment;
19. If the sponsor specifies audit requirements and/or record retention as a condition of award;
20. If a project involves a definite time frame for beginning and ending the activities;
21. If the project involves commitment of university facilities, personnel, or other resources;
22. If the sponsor stipulates other terms and conditions of award dealing with such topics as compliance with federal or state regulations, allowable and unallowable costs, subcontracting, insurance, warranties, indemnification or hold-harmless requirements, protection of proprietary or confidential information, modifications, penalties, remedies, termination, applicable governing law; and
23. If the sponsor is a private entity or individual and gives the funds as a grant for purposes other than endowment, professorships, fellowships, scholarships, building construction/renovation or equipment. (Note: equipment or software may be given with consideration such as a technical evaluation requirement that will make the award a sponsored project.)

INCOME-GENERATING PROJECTS

Income and entrepreneurial projects do not receive an award or donation from a particular funding source but receive revenues based on activities, services, or products provided by a project. Examples include patent/copyright/licensing activities that produce revenue from sales of goods directly or by receiving a share of royalties and workshops/conferences/ seminars/courses that provide for a fee to individuals and/or organizations.