PRINCIPAL INVESTIGATOR
PRE-AWARD HANDBOOK
2023-2024

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I. About the Research and Innovation Office (RIO)

The Research and Innovation Office (RIO), an office within Academic Affairs, is designated by the President and the Provost as the institutional office responsible for all grant and contract proposal 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 of the most important tenets of RIO's mission is to provide leadership and assistance in securing external funds for such activities. RIO provides the expertise needed to ensure that proposals conform to Cal Maritime, Chancellor's Office, and sponsoring agency rules and regulations.

RIO is responsible for all "pre-award" and "post-award" issues (post-award will be covered in a separate handbook). Pre-award procedures include things such as reviewing, approving, and signing proposals and contracts, developing budgets, negotiating final contracts, and reviewing documents for regulatory compliance on behalf of the University and/or Foundation. The process of putting together a proposal for external funding has become increasingly complex. This is, in part, due to a rapidly expanding body of state, federal, and grant regulations and the competitive nature of funding applications. RIO is designed to help Principal Investigators (PIs) with all complex issues and expedite the timely review of all proposals and submission to sponsors.

RIO services include the following:

Assistance with Grant Writing

- Offer general grant development workshops for eligible faculty
- Offer funding agency specific grant development workshops
- Provide orientation to campus grants policies and procedures. 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

Assistance with Proposal and Budget Preparation

- Assist in developing proposals: project conceptualization; University/regional background materials; narrative draft review to ensure that all grant program review areas are addressed in the proposal
- Assist in budget development; review of the budget to ensure that costs are sufficient for the work to be performed and that all costs are allowable
- Assist in drafting letters of support requiring authorized official and/or Dean signatures
- Assist in facilitating administrative reviews and required institutional approvals
- Assist in the submission of the proposal, particularly with navigating electronic submission systems
- Assist with compliance issues related to University/Foundation policies as well as those of the funding agency.

Help Finding a Funding Source

- Expert support in navigating information on appropriate federal, state, and private grant and contract opportunities
- Providing discipline-based resources for [funding opportunities](#) for grant applicants

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 to match their own disciplinary expertise with a sponsor's opportunities. Faculty can also sign up to receive tailored federal grant announcements through the grants.gov list-serve or on agency websites.

Campus Programs to Support Faculty and Student Grant and Research Activities

- The Research, Scholarship and Creative Activities (RSCA) program provides modest, competitive awards annually, principally for release time or summer pay. One of many selection criteria for these awards is the likelihood that they will lead to successful externally funded grants.
- The President's Mission Achievement Grant (PMAG) provides funding for faculty engaged in activities that advance Cal Maritime's strategic plan and support the campus' mission.
- The Scholarly Activity Fund is broadly intended to support a wide range of faculty scholarly and research interests, with priority given to:
  - Projects led by probationary, tenure-track faculty
  - Projects involving multi-faculty collaboration across disciplines
  - Projects that include an undergraduate research component
  - Projects that have potential for broader funding

- Academy-wide Faculty Development Funds are intended to support faculty in the dissemination of research that might not otherwise be funded via Department Faculty Development Funds and are most often used for conference participation.

- The CSU Student Research Competition is held every May at a 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.

CSU Programs and Multi-Campus Collaborations to Support Faculty and Student Grant and Research Activities

The CSU currently has ten Multi-Campus Collaborations, also known as Affinity Groups that conduct and fund research on a breadth of topics, from agriculture and biotechnology to desert and ocean life. A partial list of the groups are:

- The Council on Ocean Affairs, Science, and Technology (COAST) promotes research and education that advance the knowledge of marine and coastal resources and the processes that affect them

- Science, Technology, Engineering, and Mathematics Network (STEM-NET) promotes research, community building and innovative educational ideas across the CSU university system and provides students the skills they need to excel in the workforce of the future and meet the needs of California's innovative and evolving economy.

- Program for Education and Research in Biotechnology (CSUPERB) is a committed network of CSU faculty, deans and presidents who champion biotechnology innovation and help students embark on life science careers through experiential learning and funding opportunities.

- The CSU Water Advocacy Towards Education and Research (CSU-WATER) develops water management solutions through research, partnerships, education and training that provides students with hands-on learning.

A listing of RIO Staff can be found on the office website.

II. Principal Investigator's Responsibilities

Intent to Apply

The Principal Investigator (PI) should discuss the opportunity with RIO staff as soon as there are plans to submit an upcoming grant application.

Review Guidelines

PIs, as the subject matter experts, are responsible for reading the funding guidelines and writing the project proposals (although help with writing is available), as competitive proposals must conform to the agency guidelines and be driven by faculty expertise.

To ensure that everything is included in the proposal and that the administrative review process is completed in a timely manner, the Principal Investigator (PI) is encouraged to contact the Research and Innovation Office well in advance of the submission deadline to review the proposal and answer any questions regarding the guidelines and/or process for submission.

Research Compliance

Research Compliance is a crucial component of sponsored project activities, from initiation to completion of a research project. RIO provides PIs with the guidance and resources necessary to stay in compliance with the ever-changing policies and regulations. PIs should become familiar with the policies pertaining to sponsored projects (AA 09-001 through AA 09-010), as well as the University's official research compliance webpage. All policies pertaining to sponsored projects are in-line with federal, state and local agency regulations.

All sponsored project activities must comply with AA 09-004, Policy on the Administration of Sponsored Programs which ensures that the University or its auxiliary maximizes the benefits of sponsored projects and supports faculty, students, and administrators in effectively securing and carrying out sponsored projects.

PIs are encouraged to carefully review all of the policies and procedures related to research compliance. RIO staff are available to work directly with PIs during the proposal development process to help researchers understand various compliance requirements. RIO will also assist PIs preparing for research compliance in areas such as Human Subjects Review, Animal Care and Use, Responsible Conduct of Research, and Conflict of Interest.

III. Proposal Development

A complete grant application is a portfolio of documents, the contents of which are specified by the program guidelines for each opportunity. Below is a 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 RIO website.

Abstract/Project Summary

This is a high-level overview of the project, whose importance cannot be overstated. It is often recommended that it be written after the entire proposal narrative is complete, to ensure that the abstract appropriately captures the ideas described in the narrative. The Abstract or Proposal Summary may be used by program officers to choose appropriate reviewers. It may also be used to "streamline" or "triage" review, to determine whether the entire proposal will be reviewed or considered. Some agencies will eliminate up to half of the applications in this way. It is critical that the

abstract be compliant with the specifications in the program guidelines and 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 specific requirements.

Sponsors may also use abstracts for publicity purposes. Thus, the abstract's content as well as its language must be compelling *and* be understandable to intelligent laypersons.

Project Narrative [Statement of Work]

Successful project narratives create enthusiasm in reviewers and agency representatives. The project narrative offers a detailed description of the project, including background, goals and objectives, work plan/methodology, significance, evaluation/assessment with "SMART" (specific, measurable, achievable, relevant, and time-bound) outcomes, dissemination, and other sponsor-specific sections. As this is the main document describing 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.

Most funding sources specify page limits. Federal sources often specify fonts, font sizes and other limits. Not complying with these limits can result in proposals 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 such technical non-compliance enables the reduction of proposals requiring consideration. Limits ensure that all applicants have equal space to make the argument for their projects.

Readability is another reason some proposals are rejected in the initial review stage. Concision and clarity make proposals easier to read and review favorably. *Readability should be of paramount importance in drafting grant application documents.*

Evaluation Plan/Logic Model

Evaluation sections often carry significant weight in the review of training proposals. These evaluation schemata provide funding agencies with measures of project effectiveness, which in turn may be used to demonstrate the agency's performance towards its stated mission, and thus affects future funding to the agency.

This standard of positive accountability extends through to state and local agencies receiving federal funds and has also been adopted at the state and local level to ensure that use of those public funds is similarly effective. Many private sponsors have also begun to embrace the positive accountability for the same reason.

It is recommended to read some abstracts or proposals of successful applicants. Those Evaluation Plans were likely 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 and show that the collaboration is both productive and genuine.

Organizational Profile

RIO can provide information regarding Cal Maritime's Organizational Profile which is commonly requested information for grant applications.

IV. Budget Preparation

Overview

The budget should conform to the scope of work of the project and its period of performance. Reviewers, who are usually experts in the discipline, can judge the costs of doing research similar to their own, with good accuracy. Budgets that do not identify specific key personnel, services, or items or ones that are clearly insufficient (leaving the PI short-funded) will raise reviewer skepticism. These may create an impression that the PI has not yet acquired enough experience to know what resources are necessary to complete the work. Therefore, careful thought should be given to calculating estimates of all costs necessary to complete the scope of work. RIO will help with preparation of a complete and accurate budget. In fact, PIs should take the stress out of budgeting by contacting RIO staff early in the process to discuss the scope of work and possible budget items.

Computation of Budget Items

Budgets are best generated on Excel spreadsheets whose formulas can automatically calculate and re-calculate costs. RIO has pre-formatted Excel spreadsheets that will automatically calculate costs. When discussing budget needs with your Grants and Contracts Specialist, give a concise title and description, followed by the method of computation.

Finally, ***multiyear budgets should provide for COLA and/or inflation.*** When considering budget items for out years, PIs should alert the Grants and Contracts Specialist to any expected raises and/or step increases to accurately reflect these in the budget appropriately.

Budget Categories and Methods of Calculation

PIs should consider the following summaries of line items typically used when discussing the budget with the Grants and Research Administrator:

Salaries and wages. Salaries and wages for all personnel who will be working on the project should be included. For each person, describe the role within the scope of work and time to be spent on the project and indicate the base salary used to arrive at the requested amount.

A Note on Honorariums and *Stipends*: The IRS does not recognize "honorariums" so these cannot be billed to a sponsor. 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.*

Release Time From Teaching. Salaries for sponsored projects 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 project activity. The amount of salary included in a budget for release time is expressed as the dollar value of that portion of the faculty member's time being released teaching the class units. The CSU term for this time is "weighted teaching unit" ("WTU"). Cal Maritime 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. 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% (1.8 academic year person months); a release of 12 WTUs would be 40% (3.6 academic year person months), and so on.

Note: Once awarded, the Principal Investigator will work with post-award staff on "Time and Effort Reporting." Time and Effort Reporting is the percentage of time and/or number of person months which the faculty member will be dedicating to the grant activities. Both CSU and most sponsors, particularly federal sponsors, make "Time and Effort Reporting" a target item on audits because faculty expertise is a prized commodity.

__Academic Year Overload (Hourly Pay)__. This is payment for effort beyond the normal 30-unit (30 WTUs) annual full-time workload or equivalent during the normal academic year. Payment is based on the faculty member's hourly rate of pay. Please refer to the CSU's [Additional Employment Policy](), which allows up to 25% academic year overload for faculty. In general, overloads should be avoided during the regular semesters and buyout time should be prioritized

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 considering 170 working days). This rate will equal the hourly pay rate.

Each month the faculty member must 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 payroll to pay persons working on grant/contract projects.

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 projects may not work more than 100% time**. Please be sure to contact the RIO office to verify if your grant program has academic year overload restrictions.

*__Summer/Academic Year Break Salary Calculations__***.** The time a faculty member spends on grant/contract work is during the summer or during other non- teaching time outside the academic year contract. The rate of pay for semester break is normally based on the faculty member's hourly rate of pay, like the calculation for overload (as discussed above).

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 considering 170 working days). 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.

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 to get the equivalent of one month's summer salary.

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

*__Retired Faculty Salary Considerations__*__.__ Retired faculty face some restriction based on Public

Employees Retirement System (PERS) regulations. They may not work more than 50% of a full-time assignment for the University (or any other PERS employer) without impacting retirement benefits.

Other Personnel. If other personnel (Project Administrator, Research Assistants, Post- Doc, or Technician) are pertinent to the research project, specify name, title on project, role within the project, rate of pay, and percent of time to be dedicated to the project.

Fringe Benefits. Fringe Benefits proportional to personnel effort on the project are to be included in the proposed budget, as allowed. Fringe Benefits include the employer's (the University's) costs of mandatory employment taxes and benefits such as FICA, Workers' Compensation, Unemployment Insurance, and Medicare; plus health, vision, dental, life insurance, and retirement. Because health and dental rates can vary, benefits are calculated on an individual basis. It is important to contact RIO staff to help determine total percentage for all benefits for budget purposes, and because some rates, such as Workers' Compensation, fluctuate slightly each year.

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 usual "buyout" rate, the actual benefit rate is used.

Overload/Summer Fringe. If the faculty member will be performing the work as academic year overload (additional payment) or during summer or break times, a reduced rate will apply. 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.

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 Grants and Research 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 are considered full-time enrollment for undergraduate 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 Grants and Research Administrator for current rates.

Travel and Lodging. Per diem (daily meals and incidental expenses) rate is subject to change, so PIs are advised to consult Cal Maritime's Travel Policy for current rates. 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. Refer to the Travel Guidelines for current rates.

Domestic and foreign travel must be listed separately because of extra expenses and regulations that can apply to foreign travel. The budget justification 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 rate; cost of meals and lodging, and meeting registration fees. Cal Maritime per diem rates should be applied. Foreign travel may also require items such as visa fees and extra insurance, which may be billed to the grant or contract. Foreign travel funded by federal agencies is

subject to the Fly America Act.

Equipment. For federal grants, equipment is defined as any item costing over $5,000 and having an estimated life of one year or greater. 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.

Equipment purchased under a grant must be necessary to the research, dedicated to project use, and not available or easily accessible elsewhere. When budgeting, list each item of equipment separately, specifying name, model number, and manufacturer, and include costs of shipping, installation, and maintenance. Computer equipment is for hardware only; software should be listed under Materials/Supplies.

Consultants. The use of consultants is a commonly accepted practice. The payment process for these individuals must be compliant with the IRS and other State and CSU policies. An individual cannot be hired as a "consultant" to avoid payment of employee fringe benefits. If the "consultant" is deemed a temporary employee by the University, employer taxes will be required, necessitating a project re-budget to cover these costs. Significant penalties can be imposed for paying people as consultants when they are actually working as employees. Please refer to Cal Maritime's Request Form for more information.

CSU policy stipulates that no CSU faculty or staff can be considered a consultant on grants and/or contracts. RIO staff should be consulted if there is a question regarding the status of a particular consultant.

"Payment to Consultant" is an all-inclusive **fee** for time, travel, and other expenses to an independent consultant. External Evaluators often fall into this category. If the "consultant" is associated with another institution, their salary, travel, other expenses must be included in as subaward to their home institution, and, therefore, must be included as a Subcontract to their institution in the grant budget.

Participant/Trainee Support. Participant support costs (as defined in 2 CFR 200.75) are direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conference or training grants.

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.

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

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.

Subawards/Subcontracts. Subawards are issued to other institutions based on agreement of their employee(s) to work on your project. PIs who include such items in the budget should consult RSP for help preparing the required documentation. Examples of such documentation include commitment letters, subaward budgets, and subaward budget narratives.

Areas of Special Concern

During the preparation of any budget there are always several areas of concern, but unallowable budget categories, cost sharing/matching, and indirect cost computation are usually the most complex faced by Principal Investigators in order to be compliant with State and University payroll policies. Personnel costs are most frequently scrutinized by sponsors because faculty expertise is often the most valuable service being acquired by the sponsor.

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*

Cost Share or Matching. Cost sharing or matching, as defined here, are claims made to the funding agency that a portion of project expenses related to a sponsored agreement will be contributed by parties other than the sponsor (i.e., a third party) and so not directly charged to the sponsored project account. Please refer to the Cost Share policy (AA 09-002) for additional information.

Cost sharing is allowed if required by the sponsor as a condition of receiving an award or offered by the PI in the proposal document (i.e., "mandatory cost sharing"). Voluntary cost sharing (involving a third party) is discouraged and proposals containing references to them may not be approved for submission to agency, if proposed. Certain sponsors, such as NSF, prohibit voluntary cost sharing. If a sponsor does not require cost sharing or matching in the program guidelines, then the sponsor does not consider it necessary.

It is the responsibility of the PI and the associated School/Department unit to evaluate the workload and budget implications of any university-internal proposed cost sharing and to ensure that the University's commitment is met.

True cost share (involving a third party) 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
- 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 as per the Time and Effort Reporting Policy (AA 09-003).

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.

Finally, it is important to understand that federal funds from one federal 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.

In some cases, 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.

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, payroll, and other accounting services necessary to conduct an audit upon completion of the grant/contract. Indirect costs 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 Cal Maritime's indirect cost line item and should not be included in direct costs.

The University's indirect rate was established by an agreement with the US Department of Health and Human Services and is periodically renegotiated.   The off-campus rate is to be used when the grant/contract activity is conducted at locations other than University -owned or - operated facilities and indirect costs associated with the physical plant and library are not considered applicable to the project.

Modified Total Direct Costs (MTDC). Certain items are exempt from the indirect costs calculation. For example, the indirect cost rate can only be applied to the first $25,000 of each subcontract. Equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, and participant support stipends, 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.*

A Note on Alternative Indirect Cost Rates: The State of California, small businesses, and foundations often stipulate an alternative indirect rate in their policies or proposal instructions. If the PI elects to apply for an opportunity which has limits on indirect cost rates, internal approvals signify an understanding of the alternate indirect costs rate and permission to submit the proposal with the alternate rate. The published policy from the funding agency should be attached to the pre-award approval routing forms (PARF) as reference. If less than the maximum indirect costs allowed by the funding agency is requested, an F&A Waiver Form must be included with the routing documents. A signature on this form indicates that the university willingly declines the full indirect costs that the project will require, as previously justified by the federal DHHS agreement.

V. 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 RIO.

Applicant Information for most grants:

California State University, Maritime Academy; 200 Maritime Academy Drive, Vallejo, CA 94590 //
Phone: (707) 654-1000
DUNS Number: 040002941; Federal Employer ID: 68-0316355
U.S. Congressional District: CA-08

Officials for Accounting Services

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

Pang Xiong, Grant & Contract Specialist; email pxiong@csum.edu

Official Signing Proposal for Applicant

Grant *proposals* submitted in the name of the University typically require a signature by the Authorized Official. Most often that official will be the AVP of the Research and Innovation Office. The contact information associated with the signature is: 200 Maritime Academy Drive, Vallejo, CA 94590; (707) 654-1282; e-mail: rio@csum.edu.

VI. Campus Approval Process

Proposals for sponsored projects 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.

Proposal Approval Routing Form (PARF): Approvals & Routing Process

The University utilizes a review/sign-off process streamlined through an electronic Project Approval Routing Form (PARF) to ensure that the Department and School are aware of and approve of the proposal prepared by the PI. Though RIO staff will help to prepare the PARF electronically, the PI is responsible for ensuring that the School Dean and Department Chair are aware of any budgetary issues (release time, internal budget agreements, mandatory cost share/match, F&A waiver, etc.) in advance of the approval routing process.

VII. Grant Application Submission

Once campus approvals are obtained, applications must be submitted under the name of the Associate Vice President of RIO (authorized representative).

PIs should work closely with RIO staff to ensure all segments of the application are completed and campus approvals are in order prior to the submission deadline.

Most proposals have filing deadlines which indicate the date and time of receipt, e.g., 5:00 Eastern Time or 5:00 p.m. proposer's local time. Be sure to pay special attention to the time zone so that you don't miss a 5 p.m. Eastern time due.

To ensure that everything is included in the proposal and that the administrative review process is completed in a timely manner, the PI is strongly encouraged to contact RIO 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 minimum

recommended time to contact RIO. Also, electronic submission systems are time-consuming and technical, and the sooner that you contact RIO, the smoother and safer your submission should proceed.

In the rare instance that the PI must submit the grant application via e-mail or through a funder's website, please be sure all references to the AWARDEE and/or organizational information in your application are correct and that the approvals have been completed prior to submitting your application.

VII. Special Considerations/Concerns

Grants vs. Gifts

Proposals for external funding for gift and philanthropic grants are submitted through the University Development Office. Proposals from external funding for grants, contracts, and sponsored programs are submitted through RIO. A grant or contract involves an <u>obligation</u> between the parties, in contrast to a gift, which does not.

Non-philanthropic grants support research, instructionally-related activities, training or service, and are under an agreement. 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, RIO can be contacted for assistance.

IX. Post-Award Stage

CONGRATULATIONS! You have successfully secured external funding. This means that you are entering the post-award phase.

After a contract is signed by all parties or an award notice is received from a sponsoring agency, the University assigns a specific account number to the project. RIO assists with the official accounting for all funded projects. The PI should contact RIO staff for specific instructions regarding hiring and paying personnel, submitting requisitions for the purchase of equipment and supplies, issuing travel reimbursements, and other matters involving expending funds in the awarded budget. RIO provides the PI 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.

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 Principal 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.