Congratulations on your new award! The Sponsored Programs Office (SPO) is here to assist you in administering this project. This New Award Orientation is designed to cover key highlights of the regulations and requirements from the funding agency and the University Corporation. The actual award document is attached and we encourage you to read it thoroughly.

Title of Project:
Short Title (in CFS):
Funding Agency:
Principal Investigator (PI):
Project Chartstring:
Sponsor Award #

All items checked below are applicable to your project.

☐ Award Dates:
   - All work described in the scope of work must be completed within these award dates.
   - Non-payroll expenditures (e.g. supplies) should be used prior to the last 60 days of the project. If additional time is needed or the deliverable dates need to be changed, Sponsored Programs Office (SPO) must be contacted 90 days prior to the end date (___).

☐ Restrictions on changing the award dates:

☐ Reporting/Deliverables and Compliance Requirements:
   - Below is a list of all project reports/deliverables and compliance requirements with the known due dates at the time this document was prepared. Monthly auto-notifications will be emailed to the PI (and staff designated by the PI) itemizing all reports/deliverables and compliance requirements. It is the PI’s responsibility to review the notifications for upcoming due dates and report modified or inaccurate information to SPO@csumb.edu.
   - No reports due.
   - Due Upon Request by Sponsor:
   - Technical Reports & Due Dates:
   - Compliance Requirements & Due Dates:
   - Other Reports & Due Dates:

☐ Failure to comply: An award is granted in order to carry out the tasks/objectives that were detailed in the proposal. These tasks/objectives must be performed with a standard of care equal to, or greater than, the degree of skill and diligence ordinarily expected from higher education professionals. Furthermore, the agency expects compliance with all rules, regulations, policies and procedures that are set forth by them and CSUMB and University Corporation. Failure to meet these tasks/objectives in a timely and professional manner and/or compliance with the governing regulations and policies may result in serious consequences including, but not limited to, nonpayment, loss or reduction of future awards and/or loss of the current award.
Program Officer:

Administrative Officer:

Budget: Attached to this orientation form is a copy of your budget with the account codes to use when requesting payment. Budget modifications and approval of the funding agency may be required for any changes. Please note that the Indirect Costs (ICR) charged to the grant/contract are directly linked to actual expenses, so if a category that is linked to the ICR goes over budget so will the ICR and a budget transfer/approval may be necessary.

Benefit Rates: The University Corporation negotiates its benefit rates on an annual basis with the federal government and the approved rate will be charged to your grant. The University now charges the actual benefit costs for faculty buy-out, and salary reimbursements which may vary from person to person and from month to month. Therefore, it is very important that expenditures are monitored regularly and budgets adjusted accordingly.

Financial Responsibility: It is the PI’s responsibility to manage and maintain an understanding of their budget, expenses charged, and account balances on a regular basis. Financial information is accessible through CSU’s Common Finance System (CFS) and the Finance Data Warehouse.

Vacation Usage: Salaries included in grant budgets are calculated with the understanding that each employee utilizes their annual vacation time in the year of accrual. Not doing so will result in overspending the salary lines of your grant budget.

Grant employee oversight: The PI is considered the supervisor for employees hired on their grants. As such, the PI must follow the policies and procedures for Corporation Human Resources. Note: Non-benefited temporary employees cannot work more than 999 hrs in a 12 months period. If it is anticipated that a temporary employee may exceed these hours, best practice is to recruit for position and offer benefits at the start of the appointment.

Cost Sharing: Cost-sharing (or matching) is that portion of project expenses over and above what the funding agency provides. Cost-sharing can be in the form of cash or in-kind. Cash matching must be documented by actual expenditures being paid from a source other than the grant. In-kind cost-sharing must also be documented via certified statements of work or certified letters from the parties providing the cost-sharing. On a quarterly basis, you will receive a cost-share worksheet which will describe the total amount committed to your project and the amount documented to date. When you receive the worksheet, please review the information, add any additional documentation, sign and return the worksheet to SPO as instructed.
Subawards/Subcontracts: A subaward is issued if the subawardee will be providing a substantial contribution to the scope of work. When a subaward is issued, the PI will be required to do additional oversight of the subawardee and their work. A subcontract agreement is the mechanism used to pay for outside services. If a subcontract agreement or subaward is needed for your project, please contact SPO. If equipment purchases are expected by the third party or data rights are involved, please discuss with SPO staff. In order to enter into a subcontract/subaward with a third party, SPO requires the following information in addition to the Subrecipient completing a Subaward Commitment form and receiving approval from UCorp Controller:

1. Name
2. Address
3. Telephone & Fax Numbers
4. Email Address
5. Social Security Number or Tax ID Number
6. Dollar Amount/Budget
7. Start and End Dates
8. Method of Payment: This may be dictated by the restrictions of the funding agency.
9. Scope of Work

Payment: Invoicing for grant/contract funds is made by University Corporation Accounting Office. Invoicing is made on the following basis:

- **Cost-reimbursed:** Account is set up. PI is allowed to spend according to the award budget. UCorp Accounting invoices the agency after expenses are incurred.
- **Fixed Price:** Account is set up. PI is allowed to spend according to the internal budget. UCorp Accounting invoices agency according to a fixed payment schedule or upon completion of task deliverables. At the conclusion of a fixed price agreement, please provide SPO with a copy of the final deliverable. Any remaining balance will be dispensed according to the Corporation’s “Policy for the Disposition of Balances on Fixed-Price Agreements”.

Allowed/Unallowed Costs: SPO is required to follow the cost accounting standards defined by the federal government’s Office of Management and Budget (OMB), individual agency regulations and campus policies. These regulations and policies define what types of costs are allowed and unallowed on Sponsored Programs Office. As a general rule, entertainment expenses (e.g. food, alcohol) are not allowed. Meeting expenses often fall under this category. In the event that an unallowed cost is submitted, the Corporation will follow the “Repayment of Unallowed/Disallowed Costs” policy. Your funding agency has also placed the following restrictions on your expenses:

Prior Approvals: Your funding agency requires that they be notified prior to the following events:

If you need to request a prior approval, please contact SPO immediately as they can assist you with your request. Many funding agencies have procedures in place that must be followed in order to request a prior approval.

Effort reporting: It is a requirement of the federal government to track the effort of each project’s personnel. Grants Accounting will send out an Effort Certification Form 3 times per year: fall, spring, and summer. The fall certification will include effort between September 1
and December 31. The spring certification will include effort between January 1 and May 31. The summer certification will include the effort between June 1 and August 31. All effort completed by the employee (Corporation, CSUMB and cost share) must be included and expressed as a percentage. Each employee receiving an effort report must review, correct (if necessary) and certify that their effort was indeed what is shown on the Certification form. If the employee is no longer present, a supervisor who has suitable means of effort verification of this employee may certify.

Acknowledgement/Publicity Requirements: It is good practice to acknowledge your funding agency on any materials that you plan to disseminate. Your award specifies the following requirement:

Space: Your proposal indicated that you will need the following additional space:

Property Requirements: The purchase of equipment must be handled through CSUMB’s purchasing department via purchase orders. Equipment affected by property policies include capital equipment ($>5,000) as well as sensitive items such as computers, digital cameras, etc. Once delivered, the equipment must be tagged and tracked through CSUMB’s property management system. According to the terms & conditions of your award, title to any equipment purchased is vested as follows:

Data rights: Data rights are handled in many ways by different funding agencies. Your award notice states the following:

Patent Rights/Intellectual Property: CSUMB is developing policy as to the patent/intellectual property rights of work developed by faculty, staff and students. The guidelines developed by CSUMB are in addition to the specific terms & conditions of your award:

Human Subjects: According to the CSUMB policy on Human Subjects, research involving human subjects must be reviewed & approved by CSUMB’s Institutional Review Board (IRB). The policy is at: http://policy.csumb.edu/human-subjects-research. Information, training and application materials are at: http://spo.csumb.edu/human-subjects-research. If your project involves human subjects, as defined by the federal government and outlined in the CSUMB policy, you are not allowed to proceed until the IRB has approved your project. Your approved human subject research end date may, or may not, correspond to your awarded grant end date. Researchers must extend the human subject research end date to continue research uninterrupted.

- If your protocol is already approved, the human subject research end date is:
- Due dates are listed on page 1 under “Reporting/Deliverables and Compliance Requirements”.

Conflict of Interest: Investigator must disclose whether s/he, spouse or dependent children have any financial interest and/or relationship related to the work to be conducted under the project. Should any conflicts arise during the course of your project, please call the Corporation HR office immediately. COI disclosure forms can be found at: http://spo.csumb.edu/forms
- Annual renewal due dates are listed on page 1 under “Reporting/Deliverables and Compliance Requirements”.

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Animal Welfare: IACUC approval is required prior to work commencement. Contact IACUC Chair, Dr. Marc LosHuertos or Dr. Trish Sevene.

Research Misconduct: Scientific or research misconduct refers to the fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. It does not include honest errors or differences of opinion. Please review CSUMB’s policy at http://policy.csumb.edu/research-misconduct and notify the campus Research Integrity Officer (RIO) immediately of any concerns.

Debarment: Investigator certifies that s/he is not debarred, suspended, proposed for debarment, excluded or disqualified under the nonprocurement common rule and will notify SPO immediately if the status changes for him/herself or other person(s) working on the project.

Closeout: Reminder: Expenditures should be used prior to 60 days of end date. At the conclusion of your grant, the SPO office and Grants Accounting will work with you to close out your project. Your role in the closeout process includes confirming a copy of all reports have been sent to the SPO office, finalizing any outstanding allowable expenditure, and providing any outstanding cost share and effort documentation. The SPO staff will contact you to determine the student impact of your project and whether additional projects may be forthcoming. The following data will be requested: # of students directly involved in the project; # of students benefiting from the project; and # and type of Capstones as a result of the project.

Additional Requirements: Your award includes the following additional terms and conditions:

Acknowledgement of Receipt: I hereby certify that I have met with a Sponsored Programs Office Representative and have discussed all the items checked above. I understand that, as Principal Investigator of the indicated project, I am responsible for tasks/objectives described in the award and expending the funds in the appropriate manner.

_________________________  ________________________
Principal Investigator Signature                  Date

_________________________  ________________________
Sponsored Programs Office Representative                  Date

All forms/requests for expenditures must be submitted for approval. See University Corporation website for updated flowcharts.

Cc: Department Chair, Dean/AVP
The Sponsored Programs Office and University Corporation Grants Accounting staff look forward to assisting you with your project needs. Following is a contact list for your reference.

**Sponsored Programs Office:**
http://spo.csumont.edu

Jennifer Bliss, Sponsored Programs Technology & Compliance Specialist (x5130)
- InfoEd (funding search, deliverables/compliance reporting) & Human Subject Research

Vanessa Duran, Sponsored Programs Administrative Support Coordinator, x4573
- Office Inquiries

Christine Limesand, Sponsored Programs Assistant Director (x3551)
- Pre-award and Sponsored Programs Services

Cindy Lopez, Director (x3089)
- Pre-award and Sponsored Programs Management

Peggy Rueda, Sponsored Programs Officer (x4577)
- Pre-award and Programmatic Services

Vacant, Sponsored Programs Office Specialist (x4146)
- Pre-award and Programmatic Services

**Accounting:**
http://csumont.org: UCORP Accounting forms can be found at: http://csumont.org/site/x22154.xml

Kristin Alvarez, UCORP Grants Accountant (x3108)
- Account balances
- Effort reporting (etc.)

Bella Morgenstern, UCORP Accounts Payable (x4083)
- Processes and cuts checks

Judy Pohlman, UCORP Grants Manager (x3141)
- Account balances
- Grant accounting (financial reports, etc.)

Victor Salas, UCORP Accounts Payable (x4162)
- Chartfield Request / Account Update
- Also: Travel (see below)

Denise Wineglass, UCORP Grants Analyst (x4647)
- Account balances
- Grant accounting (financial reports, etc.)

**Human Resources/Payroll:**
Corporation Human Resources forms can be found at:
http://csumont.org/site/x22154.xml

Gehane (Gigi) Kiama, Corporation HR Manager (x4301), Bldg. 201
- All grant personnel are hired through the Corporation
- All HR-related questions/issues

Eva Parrott, University Corporation Human Resources Specialist (x4498), Bldg 201
- Assists the HR Manager
• Processes ESFs

Brett Bagley, University Corporation Payroll (x4445)
• Processes payroll for grants
• Receives timecards (Bldg. 201)

Ingrid Zarate, University Corporation Payroll
• Administrative Assistant

Purchasing:
Purchasing forms can be found at:
http://csumb.org/site/x22154.xml

Nancy Ayala, Buyer (x3396), Bldg. 201
• Processes purchase requisitions
• Assigns purchase order numbers
• Handles Office Depot orders
• Assists with any purchasing problems
• Requests procurement cards and provides procurement card training

Travel:
Travel forms and the travel handbook can be found at:
http://csumb.org/site/x22154.xml

Victor Salas, Accounts Payable (x4162)
• Cuts checks for travel, including advances
• Coordinates payments through Creative Travel

Risk and Compliance:
Nancy Ayala (x3396), Bldg. 201
• Grant and Corporation Policies and Procedures
• Insurance information

Common Financial System (CFS):
http://cms.csumb.edu/cms-finance-resources

Jennifer Stone, CFS Trainer (x3301)
• Trainer for Accounting Financial system reports.
• Access for grant financial information

Property:
http://af.csumb.edu/business_support/property/index.html

George Ball, Property & Fixed Assets Coordinator (x3704)
• Contact for equipment & sensitive items tagging & tracking

Research Misconduct allegations:
http://policy.csumb.edu/research-misconduct

Dr. Mary Boyce, AVP for Academic Planning and Institutional Effectiveness (x3952)
• Campus designated Research Integrity Officer (RIO)

Policies:
University:  http://policy.csumb.edu/policies
Corporation:  http://policies.csumb.org/site/x18435.xml