Welcome!

Overview of Grants and Contracts at SFSU
Things every PI should know about conducting research at SFSU.

- What is ORSP?
- Comprehensive training program
- Faculty input on the effectiveness of training presentation and materials
ORSP Grant Life Cycle

Principal Investigator

Pre-Award
- Proposal
- Proposal Development
- Institutional Clearance
- Proposal Submission
- Sponsor Review

Post-Award
- Funded Award
- Project Account
- Sponsor Report
- Spending Money
- Purchasing

Personnel
- Hiring
- Separation
- Compensation
- Reimbursements
- Benefits

Compliance
- Cost-sharing
- Time and Effort Reporting
- Sub-recipient Monitoring
- Human & Animal Subjects

- Draft proposal and budget
- Allow enough time
- Review guidelines and deadlines
- Submit PI Checklist

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Who’s an Eligible PI?

- Tenured/Tenure-Track Faculty
- University Administrators (MPP)-Directors of Centers or Institutes
- Others may apply for PI status through formal process
- For eligibility requirements, please visit our website: [http://www.sfsu.edu/~orspwww/](http://www.sfsu.edu/~orspwww/)
Mechanisms for Funding

- **Grants**
  - Federal, State, Local, Non-Profit

- **Contracts**
  - Sub-contracts
  - Inter-agency Agreements
  - Cooperative Agreements
  - Consortium Agreements
  - Memorandums of Understanding
Submit within a minimum of 3 weeks of your agency deadline.

Starts the process and places you in the ORSP data base.

A Proposal Service Specialist will contact you within 2-3 business days.
Pre-Award is the submitting unit for all sponsored projects.

Applications CANNOT be submitted by any other unit or individual in the name of SFSU.

Applications to foundations and private agencies requiring a 501(c)(3) tax exemption.
Roles & Responsibilities

**Principal Investigator**

- Prepare proposal in at least a draft format.
- Contact ORSP at **least 3 weeks** before your agency deadline.
- Review your agency guidelines and deadlines.
- Meet with proposal specialist.
- Conflict of Interest documentation.
- Discuss project with Department Chair and Dean of College.

**Pre-Award**

- Help develop the project budget.
- Assist with completion of agency forms.
- Submit applications to your agency in the name of SFSU.
Pre-Award also provides...

- Editing services are available by appointment with our Proposal Editor Barbara Ustanko (ustanko@sfsu.edu);
- Funding alert emails (sign up on our website);
- Funding searches and training by appointment with our Funding Information Specialist Paul Barrows (pbarrows@sfsu.edu);
Human & Animal Subjects

- Pre-protocol checklist must be filled out during proposal preparation.
- Protocol must be approved before research can begin.
- Institutional Animal Care and Use Committee (IACUC) - Animal Subjects
- IRB (Institutional Review Board) - Human Subjects

http://www.sfsu.edu/~protocol/human.htm
Cost-Sharing

- Identify Cost-Sharing commitments in proposal
  - Notice of cost-sharing signed by Dean
  - Inclusion in proposal budget
Conflict of Interest documentation must be signed during proposal preparation

- Form 700-U (CSU)
- Disclosure of Financial Conflict of Interest for NSF, PHS and Other Agencies Adopting the Federal Requirement
Welcome to Post-Award

Congratulations!

Your proposal has been funded!
Fund Advances

- New grant for which award letter has not been received
- New budget year for a continuing grant
- Contract that has not yet been finalized
- Complete form- Dean’s signature
Grant Administrator reviews details of award, terms and conditions, budget

Project Number Assigned

Budget request form set up, signatures obtained

Grant Administrator meets with PI to:
- Review project award/contract
- Review reporting requirements
- Clarify award/contract regulations and requirements
- Present options for expenditures
Accessing Project Reports

Registered FMS Report Users
Please provide your e-mail address and password below to access your FMS Reports.

E-MAIL ADDRESS: [ ]
PASSWORD: [ ]

Passwords are case sensitive.

Login

New Registration
If you have not registered yet, please provide your e-mail address below and click the "REGISTER" button to set up your account to access the FMS Reports.

E-MAIL ADDRESS: [ ]

Register

Need a new password?
To reset or change your password, enter your e-mail address, and click "GO". A temporary password will be e-mailed to you.

ENTER E-MAIL ADDRESS: [ ]

Go

Go To Fundware Reports

©2007 Fiscal Affairs Business Systems | Contact | Help
Accessing Project Reports

- Web-Based Access to reports
- Email address used as login
- Reports updated every week (Sunday)
- Page 2 coming soon!
## Roles and Responsibilities

<table>
<thead>
<tr>
<th>Principal Investigator</th>
<th>Grant Administrator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitor grant activity</td>
<td>Process expenditures</td>
</tr>
<tr>
<td>Ensure costs charged appropriately</td>
<td>Budget revisions</td>
</tr>
<tr>
<td>Submit travel claims/procurement card reports and reimbursements in a timely manner</td>
<td>Process cost-transfers and LCD transfers</td>
</tr>
<tr>
<td>Monitor sub-recipient expenses</td>
<td>Liaison to Fiscal Affairs</td>
</tr>
<tr>
<td>Certify time and effort reports</td>
<td>Process no-cost time extensions</td>
</tr>
<tr>
<td>Reconcile Project issues</td>
<td></td>
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- Liaison to Fiscal Affairs
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- Reconcile Project issues
No commitment, verbally or in writing, should be made to any employee, special consultant, or independent contractor without the prior approval of ORSP.

This includes anything concerning:

1. Hiring
2. Separation
3. Compensation
4. Changes in terms and conditions of employment
Reimbursed Release Time (RRT)

15 WTU = Full Time Workload

3 WTU = Administrative Time and Committee Work

+12 WTU = Teaching, Assigned time

12 WTU

Class 1

Class 2

Assigned Time

Research
Faculty Additional Pay

- Academic Year Faculty may receive additional pay during non-academic workdays, approximately 79 days per year.

- Academic year Faculty may request Additional pay 4 times per year:
  1. January Intersession
  2. Spring Break
  3. Summer
  4. Thanksgiving

- In rare cases, Overloads during the Academic Year (subject to sponsor approval).
Hiring Staff

PI completes:
1. Position Requisition
2. Work Schedule
3. Position Description

Personnel Specialist establishes the correct classification to be used

Personnel Specialist works with HR to post position on website

PI interviews candidates, makes hiring recommendation

ORSP Personnel office coordinates the recruitment process

SFSU Human Resources makes job offer to candidate

Candidate is hired by SFSU
Hiring Students

Submit Student Hiring request form one week prior to hiring

2 classifications

Student Assistants

Instructional Student Assistant (ISA)

Student meets with Personnel Specialist to complete paperwork
Research Fellows (Post-Docs)

- Research Fellow (Postdoctoral Researcher or Postdoctoral Scholar) – Temporary appointments (3-5 years), persons with Ph.D.

- Under the mentorship of a principal investigator (PI) or administrator, performs a variety of work in support of a research project or scholarly activity.

- The Research Fellow classification is an excluded classification within the CSU classification structure and does not need to be posted on the Human Resources website.
The entire life cycle of a temporary grant employee is covered by SFSU Policy and procedure, the terms and conditions of the grant, and collective bargaining. This includes:

- Employee raises
- Initial salary
- Hours of work
- Maternity and paternity leave
- Injury on or off the job
- Eligibility for fee waiver

- Benefits eligibility
- Job classification
- Performance evaluation cycle
- Jury duty
- Sick and vacation leave use
- Overtime and additional employment policies.
Thread of Compliance

- Begins in Pre-Award process
  - Cost-sharing
  - Conflict of interest documentation
  - Human or Animal Subjects Protocol
- Continues in Post-Award
  - Monitoring of cost-share commitments
  - Monitoring of Human-Animal Subjects Protocol
  - Time and effort reporting
  - Sub-recipient monitoring
  - Monitoring of project expenses
- Ends at project close-out
Why do we need to monitor research?

- Federal Regulations
  - Increased scrutiny, regulations

- Protection of the Faculty and University
  - Monitoring of cost-share commitments
  - Time and effort reporting
  - Sub-recipient monitoring

- Fiscal Responsibility and Oversight
Time and Effort Report

Faculty Information

<table>
<thead>
<tr>
<th>Faculty Name</th>
<th>Effort Reporting Period</th>
<th>Compensation for Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jane Smith</td>
<td>Fall 2005</td>
<td>$20,000.00</td>
</tr>
<tr>
<td>College: Science and Engineering</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Department: Mathematics</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Effort Information

<table>
<thead>
<tr>
<th>Project Title</th>
<th>Project ID</th>
<th>Salary Charged</th>
<th>% Salary</th>
<th>Actual Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mathematics for Everyone</td>
<td>12345678</td>
<td>$6,000.00</td>
<td>40.0%</td>
<td></td>
</tr>
<tr>
<td>Cost Share/ Match:</td>
<td></td>
<td>$6,000.00</td>
<td>0.0%</td>
<td></td>
</tr>
</tbody>
</table>

Non-Sponsored Detail:

<table>
<thead>
<tr>
<th>Other SFSU Function</th>
<th>Salary Charged</th>
<th>% Salary</th>
<th>Actual Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other SFSU Function</td>
<td>$18,000.00</td>
<td>60.0%</td>
<td></td>
</tr>
</tbody>
</table>

Total Distributions:

<table>
<thead>
<tr>
<th>Total Salary Charged</th>
<th>100%</th>
<th>100%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total amount of effort</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

I certify to the best of my knowledge that this accurately represents my work effort during the Fall 2005 period.

Employee Signature

Date

Supervisor Signature

Date

Legend:

- Green: Total salary charged to the grant for FFR
- Yellow: Total amount of cost-share by the College

Other SFSU Functions: All other faculty responsibilities to SFSU (i.e., administrative time, teaching, mentoring)

Compensation for Period: Total amount of salary earned by faculty member during this time period.

Review Example

figure 1.2
The End!

Thank you for your time and feedback!