ABC 2015 Fall Summit

Grants Development and Sponsored Programs

An overview of sponsored projects at Cal Poly

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Overview

- Proposal Life Cycle and Basic Terminology
- Types of Allowable Activities and Expenses
- Roles of those involved in and supporting sponsored projects
- Award Mechanisms
Proposal Life Cycle

PI has an idea

Research Development

Proposal Preparation
GDO assistance
- Budget
- Internal Forms
- Agency Forms

Agency Review

Award Negotiation and Acceptance
(GDO/SPO)

Financial & Compliance Management
- Expense Transactions
- Subaward. A.S., H.S., COI, etc.

Close-out Audit Record Retention

Reporting
- Financial
- Technical
- Invention (IP)

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Gifts vs. Sponsored Projects

- Gifts have no “strings” (or very few)
  - Irrevocable
- Sponsored projects have deliverables and reporting requirements
  - Revocable if project isn’t completed as described

Grants vs. Contracts

- Grants = funding for a public benefit
- Contracts = funding for a private benefit
Terminology (cont)

- Allowable vs. Unallowable costs
  - Determined (in order of importance) by the program, agency, and federal government guidelines
  - Examples of unallowable costs

- Direct vs. Indirect costs
  - Direct = clearly attributable to that specific project
  - Indirect = costs that cannot reasonably or feasibly be attributed to a specific project
Terminology (cont.)

- **Equipment (federal definition)**
  - Individual, tangible items with an acquisition cost of $5000 or more, that have a useful life of one year or more
    - Must be tagged and tracked as property
  - Tangible items under $5000 are listed as Materials / Supplies

- **Project Participants**
  - Participants are defined as non-employees who receive direct benefit from the project activities
Allowable Costs & Activities

- **Allowable**
  - Standards: Allowable, Allocable, Reasonable
  - Compliant and Consistent
  - “Integral” Uniform Guidance
Unallowable Costs & Activities
Law, Regulations, Terms & Conditions

Award

Program

Sponsor

Uniform Guidance

(Title 2 CFR 200-599)

IRS

Employment Law

CPSU

CPC

California State University
Common Direct Costs

- Direct Costs
  - Salaries and Wages
  - Fringe Benefits
  - Equipment
  - Travel
  - Participant Support
  - Supplies and Expenses
  - Consultant Costs
  - Sub-awards
  - Other Direct Costs
Indirect Costs CFR 200.414

Facilities and Administration (F&A)

- Facilities
  - Operations and Maintenance
  - Library
  - Debt
  - Depreciation

- Administration
  - General Administration
  - General Expenses
Roles

- **Principle Investigator / Project Director**
  - Oversees and responsible for entire project

- **Senior Personnel / Investigators**
  - May be responsible for a portion of the project and assist with the oversight

- **Grants Development**
  - Assists with proposal development; responsible for proposal review and submission; works with PI and SPO to negotiate agreements; COI review
Roles (cont.)

- **Budget Office**
  - Reviews for University commitments

- **Department**
  - Chair approves proposed work and release time; confirms space is available
  - Support staff assist with approval routing, travel arrangements, expense processing

- **Centers**
  - Center Director confirms/allows use of Center facilities
Roles (cont.)

- **College**
  - Affirms the project is consistent with instructional program objectives and policies of the College, and that adequate facilities will be provided

- **Dean of Research**
  - Approves final submission; approves requests for deviation from campus policies

- **Sponsored Programs Office / CPC**
  - Accepts award; manages post-award processing (expense review, hiring paperwork); invoicing and fiscal reporting; official liaison to sponsor; audit (annual, agency, and CSU); closeout; record retention
Award Mechanisms

- **Grants**
  - Nonprofit and federal sponsors (generally)
  - Terms and conditions generally non-negotiable

- **Contracts**
  - For-profit, and nonprofit sponsors (generally)
  - Terms and conditions are generally negotiable
    - SPO and GDO staff work with PI and sponsor to develop an agreement that meets programmatic, compliance, and financial requirements
Award Mechanisms (cont.)

- **Fee for Service**
  - Pre-approved services, prices, and contract terms
  - Changes require approval prior to implementation

- **Industry-Support Student Projects**
  - Pre-approved contract terms
  - Sponsorship fee, not project budget
Grants Development & Sponsored Programs

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