

ADMINISTRATION OF SPONSORED PROGRAMS ACTIVITIES FAM 863

1. Sponsored program activity is defined as research, public service, and educationally related grant or contract projects, whether solicited or unsolicited, which are either submitted to or received from federal, state, municipal, or county agencies; public or private corporations; and private foundations or individuals. When such proposals or awards provide funding administered by the university or its auxiliaries, use of University name, facilities, or personnel, or endorsement by the University, approval as herein described is required.
2. The governing state and federal laws, agency regulations and CSU executive orders require careful review and approval of sponsored program activity. Thus, all project proposals and awards must be reviewed and approved in the manner set forth below. Only after review and approval, will a proposal be submitted, or an award accepted in the name of the University or its auxiliaries.
3. The Director of Research and Sponsored Programs shall administer the grant and contract approval process.
4. Preparation of Grant and Contract Proposals
 - a. Prior to the preparation of a grant or contract proposal, prospective project directors/principal investigators should consult with, or advise their department chairs/school directors or immediate supervisor about the proposal and any impact it may have on the department/school or area. If necessary, chairs/directors or supervisors should in turn consult with the college deans or equivalent administrator.
 - b. Prior to the preparation of a grant or contract proposal, prospective project directors/principal investigators should discuss possible budget or cost-sharing considerations with department chairs/school directors or equivalent unit and if necessary with the college dean or appropriate administrator.
 - c. Either the grant and contract proposals, or companion internal review documentation should specify, where appropriate, the following:
 - (1) The amount of reimbursed time for faculty members at their current rank and step plus benefits. (See: Policy and Procedures for the Reimbursement of Faculty Release Time).
 - (2) The amount of additional employment for faculty. (See: Guidelines

and Procedures on University-Compensated Faculty Additional Employment).

5. Submission and Approval of Grants and Contracts

- a. Grant and contract proposals must be reviewed by the project director's/principal investigator's department chair/school director or organizational unit director, as appropriate. Reviewers shall assess the following:
 - (1) Compatibility with the department's/school's staffing requirements.
 - (2) Compatibility with departmental/school programs.
 - (3) Acceptability of departmental/school support commitments.
- b. Grant and contract proposals shall have appropriate college dean or comparable organizational unit review and recommendation based upon compatibility with existing and/or anticipated college interests and activities.
- c. College deans or other divisional unit administrators shall forward all grant and contract proposals to the Sponsored Programs Office for review and recommendation to the Vice President for Academic Affairs/Provost or appropriate divisional vice presidents for final area approval.
- d. Finally, all grant and contract proposals shall be approved by the Vice President for Administration and Finance or by the Executive Director of the Foundation, as appropriate.
- e. It shall be the responsibility of the Sponsored Programs Office to ensure that appropriate project clearances are obtained from other organizational units which might be affected by either the submission of a proposal or the acceptance of an award. Such clearances shall be obtained prior to final submission of a proposal.

6. Administration of Grants and Contracts

Upon the award and acceptance of a grant or contract, the Project Director/Principal Investigator in close coordination with the Foundation Office and the appropriate College Dean's office or comparable organizational unit, assumes the responsibility of administering the project. Specific responsibilities are:

- (1) Project Director/Principal Investigator Responsibilities. The project director/principal investigator has the primary responsibility to ensure appropriate management of the project and accomplishment of programmatic objectives. Specific responsibilities include:
 - (a) Overall responsibility to ensure that either the research or programmatic commitments are accomplished.

- (b) Authorizing all expenditures and maintaining appropriate expenditure controls.
 - (c) Maintaining up-to-date records of financial obligations and expenditures.
 - (d) Reporting financial activity to the Foundation on a timely basis.
 - (e) Monitoring Foundation reports for accuracy and informing them when discrepancies occur.
 - (f) Ensuring proper supervision of project employees.
- (2) Foundation. The Foundation for CSUSB is legally and financially responsible for compliance with, and fulfillment of all contracts it enters into on behalf of CSUSB. It is obligated to operate within the rules and regulations of the CSU Board of Trustees and the CSU Chancellor's Office. It must also be in compliance with all governing federal and state laws. As the formal recipient of university grants and contracts, the Foundation has primary responsibility to provide overall fiscal management, and it is obligated to ensure that all institutional parties to the project are in full compliance with foundation, university, and governmental policies and regulations. Specific responsibilities include:
- (a) Acting as management liaison between the project director/principal investigator and the contracting agencies to ensure that the research or project is fully funded and can proceed.
 - (b) Informing project directors/principal investigators of all pertinent ruling policies and regulations governing the foundation and the university, as well as the individual contracts, and ensuring compliance with them.
 - (c) Assisting with budget implementation, contract interpretation, and providing follow-up in resolving discrepancies.
 - (d) Providing human resources personnel and payroll functions and serving as employer of record for all grant and contract employees.
 - (e) Providing purchasing support and advice on obtaining equipment, supplies and services.
 - (f) Maintaining records of equipment purchased with grants or contract funds.
 - (g) Monitoring account expenditures and providing assistance in maintaining budget controls.
 - (h) Filing required fiscal reports on a timely basis with state, federal, and other agencies; monitoring the project director's filing of technical reports required by the granting agency.
- (3) College Dean/Divisional Administrator. The appropriate college dean or equivalent divisional unit administrator is responsible for supporting and ensuring program and personnel commitments within a reviewed and approved sponsored program. Specific responsibilities include:

- (a) Ensuring that the project director/principal investigator has institutional support and resources appropriate to the commitments made by the university in accepting the grant or contract award.
- (b) Ensuring that the Project Director/Principal Investigator delivers the product or services specified in the grant or contract.
- (c) Exercising administrative oversight to ensure that university policies regarding grants and contracts are followed.
- (d) With the cooperation of the project director/principal investigator and the Foundation Office, maintaining oversight of workload and assigned time commitments of project faculty/principal investigator, ensuring the effective transfer of funds for release reimbursement, and ensuring compliance with university personnel policies.
- (e) Reviewing and authorizing all direct reimbursements and travel expenditures to the project directors/principal investigators to ensure compliance with appropriate regulations. (f) Monitoring foundation reports for accuracy and informing them when discrepancies occur.