CALIFORNIA STATE UNIVERSITY
LONG BEACH
RESEARCH FOUNDATION

Office of Research & Sponsored Programs

PI Orientation Guide

Congratulations on your new award! The Office of Research & Sponsored Programs (ORSP) Grants & Contracts Administrators (GCAs) are here to assist you with administering this award. The PI Orientation Guide is designed to cover key highlights of the regulations and requirements from the funding agency.

Chartfield:
Award Dates: to

All work described in the scope of work must be completed within these award dates. Non-payroll expenditures (e.g. supplies) should be ordered no later than 60 days prior to the end date of the project and used by the end date of the project. If additional time is needed or the deliverable dates need to be changed, please contact your assigned GCA 90 days prior to the award end date.

Reporting Requirements: Refer to your award notice or contract for a full list of all project reports and their due dates. Please provide your GCA a copy of all reports submitted to your funding agency or sponsor.

Failure to Comply: The agency/sponsor awarded this grant in order to carry out the tasks and objectives that were detailed in the proposal. These tasks and 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/sponsor expects compliance with all rules, regulations, policies and procedures that are set forth by the sponsoring agency and by CSULB. Failure to meet the objectives of the award in a timely and professional manner or comply with the governing regulations and policies may result in serious consequences including, but not limited to, nonpayment, loss or reduction of future awards and loss of the current award.

Budget: Attached is a copy of your budget with the expense codes to use when requesting payment. Budget modifications may need the approval of the funding agency's Administrative Officer.

Financial Responsibility: It is the Principal Investigators' responsibility to manage and maintain an understanding of their budgets, expenses charged, and account balances on a regular basis. Financial information is accessible through the Data Warehouse. Monthly reports in the Adobe PDF format will also be distributed via email.

Project Employee Oversight: The Principal Investigator is considered the supervisor of the employees hired on their grants. As such, the PI must follow the below CSULB Research Foundation (RFDN) Human Resources policies and procedures:

Procedure for Hiring Benefitted Position
1. Job Posting (2 week minimum)
2. HR e-mails resumes/applications to hiring manager, or their designee
3. Hiring Manager/Committee Interviews (applications must be received prior to interview)
4. Desired candidate is identified
5. Reference checks conducted by hiring Manager/Committee (minimum of three)
6. Verbal offer made contingent upon successful background check
7. Background Check *and Live Scanned (if required)*
8. Employment Status Form submitted to HR
9. Official start date determined
10. Offer Letter generated to new hire*
11. Payroll timesheets – submit according to pay schedule
    ***Prior to starting Employee must submit New Hire documents*

Procedure for Hiring Non-Benefitted Position
1. Employment Status Form and New Hire documents submitted to HR *(due in HR 5 business days prior to start date)*
2. Background check (level 1 data) and/or Live Scan (work with minors/elderly), *if required,* **prior to start date**
3. Payroll timesheets – submit according to pay schedule

Procedure for Hiring International and/or Foreign National Employees
Follow the above benefitted/non-benefitted hiring process depending upon type of position, along with the additional steps below:
1. Employee comes to Research Foundation HR with the following documents prior to establishing a start date, as applicable:
   - New Hire documents
   - Completed Employment Status Form from project
   - HR has employee complete Foreign National Information Form (FNIF)
   - Foreign Passport
   - VISA
   - Approved 1-20 from CIE (F-1 Students)
   - 1-94 Form
   - Social Security Card (if no SSN, Research Foundation HR will provide a letter for employee to take to SSA to apply for SSN)
   - EAD Card (if applicable)
2. Employee and hiring department are notified employee is not cleared to start working.
3. Human Resources submits FNIF and document copies to A/P Tax Specialist for review.
4. A/P Tax Specialist reviews all documents and notifies HR/Payroll of Federal income tax withholding for employee.
5. Human Resources notifies employee and hiring department when employee may start working.

RFDN hiring forms and resources:
- Website: www.foundation.csulb.edu
- HR Forms: Found alphabetically on website under Forms/Human Resources Link: http://www.foundation.csulb.edu/forms/#HR
- Payroll Forms: Found alphabetically on website under Forms/Payroll. Link: http://www.foundation.csulb.edu/forms/#Payroll

Independent Contractors: Effective January 2020 all independent contractors must be approved prior to engaging the services of an independent contractor. Work may not be commenced until all required documentation has been submitted and final approval from the Research Foundation Human Resources Department has been received. This Pre Hire Determination form is first step in the process of approving an individual as an independent contractor. The determination of whether and individual should be classified as an independent contractor or as an employee is not straightforward. It requires detailed analysis of each situation's unique circumstances, therefore, providing as much information as possible is necessary for an appropriate and accurate determination.

Due to recent changes in the state laws around classification, past approval of an individual as an independent contractor should not lead to a presumption that the classification will be made again. As a result, we encourage you to submit your forms early in the process. An individual may not be both an employee and an independent contractor. Therefore, those who are currently employed through the Research Foundation, with any CSU campus/entity or at any other state agency may not be hired as an independent contractor.

There are also restrictions placed on those who have previously been employed by the Research Foundation, CSULB or another CSULB auxiliary within the same calendar year. It can appear to be more convenient to utilize an individual as an independent contractor rather than an employee, but it is important to understand that misclassification can result in serious financial penalties and consequences for the Research Foundation, the individual and your project/program. Therefore, convenience cannot be a determining factor for classification

Payment: Receiving funding for your proposal does not mean that the Research Foundation also receives a cash payment, except in rare instances. Your GCA submits requests for payment as required by the award document. Invoicing is made on the following basis:

☐ **Cost-reimbursed:** Project account is set up. PI is allowed to spend according to the award budget. ORSP invoices the agency after expenses are incurred.

☐ **Fixed Price:** Project account is set up. PI is allowed to spend according to the internal budget. ORSP invoices the sponsor according to a fixed payment schedule or upon completion of task deliverables. At the conclusion of a fixed price agreement, provide GCA with a copy of the final deliverable. Any remaining balance will be dispensed according to the ORSP's policy on fixed price agreement residuals. Contracts with a significant unspent residual may need a written justification and possibly an approval from Academic Affairs before funds can be transferred to a residual account. **When the PI submits the Final Report, the GCA must be notified in order to complete the Final Billing of the sponsor.**

Allowable/Unallowable Costs: We are 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 on grants and contracts and how they should be allocated. 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 unallowable cost is submitted, the expense will not be reimbursed. Depending on the circumstances involved, **any** cost incurred may require an explanation or justification before it is charged to a specific project.

Prior Approvals: Governmental funding agencies typically require that they be notified **prior** to the following events:
- Incurring expenses prior to the start date of the award (pre-award spending)
- Absence of the Principal Investigator for three or more months
- Change of Principal Investigator
- Significant reduction of the Principal Investigator's level of effort (25% or more)

Effort reporting: The federal government requires award recipients to track the effort of each project's personnel. ORSP will generate Effort Reports twice per year: January through June and July through December.

These reports show a summary description of all work performed by the employee (Foundation, CSULB and in-kind effort). The summary shows a distribution of the employee's work between university activity and work performed on grants. Each type of activity appears as a percentage of all university and Foundation work performed.

Each employee must make sure to correctly report their time and effort on their time cards, faculty reimbursed payroll approval sheets, or additional employment reporting forms. Manual adjustments of salary and benefits will require additional justification. It is the responsibility of the PI to ensure that he/she and their employees report correct information for actual effort.

Expendable Property: Durable items, such as computers, printers, and digital cameras, costing less than $5,000 per unit often appear in the supplies expense category. These items are tagged as property. Expendable property is typically **not** an allowable expense when acquired towards the end date of the award. Contact your GCA before making these types of purchases. Purchase orders are required if the per unit cost is $10,000 or more.

Equipment Requirements: The purchase of equipment must be handled through the University's purchasing department via purchase orders. Equipment affected by property policies includes capitalized equipment with a cost per unit greater than $5,000. Once delivered, the equipment must be tagged and tracked through property.

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 goods and services. 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. Cost sharing documentation is auditable. As expenditures are incurred to meet internally supported cost sharing requirements, the PI and the College are responsible for providing the supporting documentation to ORSP to ensure that adequate records are kept of audit purposes.

The following summarizes the cost sharing requirements for this award:

Subcontracts: A subcontract (also called a subaward) is issued if a separate organization will be providing a substantial contribution to the scope of work. When a subcontract is issued, the Principal Investigator will be required to provide additional oversight of the subcontractor and their work. If applicable, below are the subcontractors for this award:

Acknowledgement/Publicity Requirements: It is good practice to acknowledge your funding agency on any materials that you plan to disseminate. Please review your award for specific information regarding publicity requirements.

COMPLIANCE

NIH Publication Requirement: All articles arising from NIH funds must be submitted to PubMed Central upon acceptance for publication. Detailed information is at http://publicaccess.nih.gov.

Data rights: Data rights are handled in many ways by different funding agencies/contractors. Please review your award for specific information regarding data rights or contact your GCA.

Data Management Plan: NSF requires that research results are disseminated and shared in accordance with the approved Data Management Plan submitted with the proposal.

Responsible Conduct of Research (RCR) and Other Training: Certain federal awards such as training grants from NSF, USDA NIFA and NIH require that students and sometimes faculty undertake RCR training. Please contact the ORSP Compliance office for more information.

Research on Human and Live Animal Subjects: Most research involving humans or live animals will be subject to prior approval by the Institutional Review Board (IRB) or the Institutional Animal Care and Use Committee (IACUC).

Patent Rights/Intellectual Property: The CSULB policy for the patent/intellectual property rights of work developed by faculty, staff and students can be found on the ORSP website.

Financial Conflict of Interest: Based on CSULB Financial Conflict of Interest Policy regarding disclosure and training requirements, Key personnel need to promptly submit FCOI disclosure form and complete CITI Online training course "Conflict of Interest" or CSU system online FCOI training. Should any additional conflicts arise during the course of your project, contact your GCA.

California Form 700U: CSU regulations state that PIs who have signed a California Form 700U, Statement of Economic Interests for Principal Investigators, prior to acceptance of an award must have Ethics Training every two years. You will be notified via email by CSU Training to complete the online training.

Import & Export Control: If you will be conducting research abroad, you need to consider export control issues that will likely impact your research and travel. Examples of activities

impacted by export control regulations include: direct export of a controlled item, access and/or use of a controlled item by a foreign national, travel to a restricted country, international and domestic collaborations, conversations involving controlled technology, and taking or shipping a controlled item out of the U.S., such as a laptop, etc.

Biosafety: Research with recombinant DNA (rDNA) is governed by the U.S. Department of Health and Human Services (NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules). Research project with rDNA should register with Institutional Biosafety Committee (IBC) to review/register.

Use of Unmanned Aircraft Systems (UASs, Drones): CSULB Research projects involving the operation of UAS (Drones) are subject to Federal Aviation Administration (FAA) rules and regulations and must registration with CSULB Unmanned Aircraft System Evaluation Board (UASEB) to acquire prior approval.

If any of the above COMPLIANCE topics apply to your award, please contact ORSP compliance team at <u>orsp-compliance@csulb.edu</u> or by phone at 562-985-8147.

Closeout: At the conclusion of your grant, the GCA will work with you to close out your project. Your role in the closeout process includes sending a copy of the final report to the GCA (or other documentation that it was submitted to the sponsor), finalizing any outstanding allowable expenses, and providing any outstanding cost share documentation.

For additional information and questions about your award, please contact your GCA.