

# **Office of Research and Sponsored Programs**

**Quarterly Principal Investigators Meeting  
October 16, 2018**

# Introductions

# New Policies and Procedures

**Compensated Effort** – used to substantiate time spent by employees on federally funded projects.

- Note language has changed from overload to additional employment.
- AA will certify that additional employment does not exceed 125%
- ORSP will prepare a semi-annual effort report for review and approval by the PI.
- Monthly Financial Reports will include a Labor Cost Report that PI's should review
- To initiate Additional Compensation payment, complete forms:
- Additional Compensation: <https://goo.gl/forms/gFrAYze5boN4uzHy1>
- Assigned Time: <https://goo.gl/forms/nlYaNSCXQt07In662>

## **New Policies and Procedures (cont.)**

### **Administration of Externally Funded Projects – definitions of roles and responsibilities for grant-funded projects**

#### **Principal Investigator (PI)**

- responsible for the overall fiscal, administrative, and scientific/programmatic conduct of a project.
- responsible for communicating to ORSP about the details of the proposed budget and narrative, and completing any forms or requirements prior to submission.
- responsible for the day-to-day project management and accept responsibility for carrying out commitments outlined in the proposal

#### **The Pre-Award Team**

- assists with identification of funding opportunities and proposal development
- interpret sponsor guidelines
- assists investigators with proposal development and submission to sponsors
- communicate to investigators any forms or training to be completed at the pre-award stage, (COI, subrecipient identification, etc.).

## **Post-Award Team**

- serves as a resource for post-award issues for PIs and their staff
- communicates to investigators regarding forms or training to be completed at the post-award stage
- assists with faculty and staff compensation, travel reimbursements, hospitality, etc.
- assists with budget revisions, extensions, amendments, etc.
- facilitates grant close-out

## **Compliance Team**

- ensures that University and all investigators comply with the applicable laws, regulations, policies, and procedures related to grant funding (including COI, subrecipient monitoring, IRB, IACUC, and other compliance related issues).
- provides review and approval of grant awards, contracts and subcontracts.
- assists with cost-share certification.

## **New Policies and Procedures (cont.)**

**Subrecipient Monitoring** – federal law requires that we monitor all subrecipients to ensure that grant compliance and performance objectives are met.

***Pre-award stage*** – subrecipient commitment form and other documentation required prior to the submission of a proposal.

### ***Award stage***

- The PI will submit a subrecipient request form.
- ORSP will complete a risk assessment of the subrecipient that will be the basis for the subrecipient monitoring plan.
- Annual report from PI (due in January)

***Closeout*** - Subrecipients must provide the PI with final reports (progress, financial and cost sharing)

## **New Policies and Procedures (cont.)**

**Conflict of Interest** – disclosure of potential financial interests in which a person may derive a personal benefit

- CSUEB PI's should complete the COI training before the submission of a proposal. In general, the training is valid for 2 years
- COI forms (ex. 700-U) should be signed and circulated with the Proposal Routing Form.
- If a significant financial interest is acquired or discovered during an award period, the PI and key personnel should inform the Compliance Specialist.
- At award close-out, COI forms will be collected for PIs and senior key personnel.

# **Conflict of Interest**



## New Principal Investigators Manual online

- Combined separate guidance documents into one PI Manual
- Organized according to the life cycle of a grant
  - From finding and preparing grant applications
  - Definition of Roles & Glossary of Terms
  - Award Set up, Compliance Issues, Processing Expenses
  - Amendments and Closeouts
- Updates to processes have been made (June 2018)
  - Research participant incentives (Bay Card credits for students)
  - Link to the CSU Travel Policy & International Travel Checklist
  - Clarification on No-Cost-Extension/Amendment processes

<http://www.csueastbay.edu/orsp/forms-policies-procedures/index.html>  
<https://wwwdev.csueastbay.edu/orsp-test/pi-manual.html>

# Early Career Faculty Support Program

In surveys and focus groups, faculty have identified the top barriers to being more engaged in research, scholarship, and creative activities:

1. Not enough time
2. High teaching load

Academic Affairs is piloting a program to address these issues by providing release time to probationary faculty to help support their professional activity. The size and scope of the pilot program is limited to available funds.

Academic Affairs is investing in faculty and student research support:

1. Help probationary faculty on path to retention, tenure, and promotion.
2. Provide opportunities for faculty to continue to engage in their disciplinary communities.
3. Provide students with opportunities for faculty-mentored research and out-of-the classroom learning opportunities.
4. Improve the research climate at CSUEB.
5. Elevate the visibility and reputation of CSUEB.

## **Early Career Faculty Research Support Program**

- ORSP and OFC are collaborating to provide a wide range of support services and workshops to help ensure the success of new faculty in developing their research and scholarship.
- The Early Career Faculty Research Support program is separate and different from the AA pilot release time program.

## Faculty Support Grants

FSG's are intended as *seed grants* to promote the development of new or expanded research, scholarship, and creative activities by faculty.

Successful proposals will identify one or more specific products that will result from the project such as a publication in a peer-reviewed journal, submission of a grant proposal to an external sponsor, a public performance and/or juried competition.

39 FSGs currently under review

Next call for AY 2019-20 will be released in ~January with a submission deadline in ~April.

## Human Subjects Research and the Institutional Review Board

- Research involving human subjects at CSUEB or by faculty, staff or students from CSUEB must have an approved protocol **from** the CSUEB IRB.
- At this point, approved IRB protocols from other institutions do not meet the requirements of the federal regulations.
- Note that the extension of a grant period does not imply that an approved IRB protocol is also extended.

## **Week of Scholarship**

- Faculty Research Symposium April 16, 2019
- Student Research Symposium April 17, 2019

The entire CSUEB community is encouraged to participate in the research symposia.

# Student Research

This year the CSR received 264 applications; 200 were selected and 185 remain in the program

Students from all four Colleges and 58 different majors applied to the CSR this year Program is inclusive program, meaning that it is committed to engaging students from all academic levels and all levels of academic and research preparation

Of the students currently selected for the program:

5% are freshmen

11% are sophomores

13% are juniors

36% are seniors

35% are graduate students

CSU Student Research Competition:

- CSU Fullerton April 26-27, 2019
- Cal State East Bay Spring 2020

# Reminders:

**VPAT**- now housed in IT

\*Grant-related expenditures should be made clear in the application

**Hospitality Charges** less than and up to \$100 does not need to be done through Aramark

**New state added to Banned States to travel to: *Oklahoma*** ( Also banned- Alabama, Kansas, Kentucky, Mississippi, North Carolina, South Dakota, Tennessee, and Texas.)



## Faculty Time

Please contact Melissa if you have 18-19 Assigned Time (Release) to submit

Please complete the Additional Compensation link (Overload AY/Summer):

<https://goo.gl/forms/roI4F8jniObY8qqx1>

# Questions and Open Forum