

Proposal/Award Guidelines

Revised: February 2019

OSRP GUIDELINES

It is the policy of the California State University (CSU) system that each campus shall have policies and procedures in place to effectively administer externally funded programs awarded to the university and its auxiliary organizations in compliance with applicable federal, state, and CSU regulations and policies. The Integrated CSU Manual 11002.01 (ICSUAM 11002.01) addresses general policy requirements for the administration of grants and contracts in support of externally funded research and sponsored program activities as well as ICSUAM 11002.03 which addresses Pre Award Proposal Review.

The following are the critical points for those submitting proposals to external funding sources and conducting externally funded projects, and for Unit Administrators approving proposals and supervising Principal Investigators (PIs).

REVIEW PROPOSAL GUIDELINES

Most funding agencies issue various forms of proposal solicitations, including:

- Request for Proposal (RFP)
- Request for Application (RFA)
- Program Announcement (PA)
- Funding Opportunity Announcement (FOA)
- Broad Agency Announcement (BAA)

Whichever a funding agency uses, the solicitation is a proposer's point of reference for the proposal development process. **It is important that the PI and all others involved in the proposal development process read these solicitations early in the proposal process.**

Along with sponsor requirements, it is important to know if there are overarching guidelines that aren't directly stated in the proposal such as the Proposal & Award Policies & Procedures Guide (PAPPG) for NSF or the NIH Grant Proposal Guide. The Office of Sponsored Research and Programs (OSRP) will review and request clarification from the funding agency when there are questions regarding requirements. Requirements for review should include Eligibility, Formatting (page limitations, etc.), Budget (prohibited items), and required documents.

Submitting Electronically

As more and more funders use electronic submission systems, it is particularly important for principal investigators and their teams to ensure that all formatting and submission issues are addressed and submissions conform to sponsor requirements. Electronic submission systems are particularly sensitive to submission errors and researchers should read guidelines carefully to avoid submission errors due to formatting problems. If an electronic system flags any errors, the proposal may be rejected automatically without review.

Limited Submissions

Review the guidelines immediately and identify limited submission requirements early on. Limited submission programs are those for which funding agencies restrict the number of nominations or proposals a university may submit for award consideration. CSUDH, therefore, must internally screen all eligible and interested nominees to determine which will represent the University.

CSUDH has a Limited Submission Policy (see the InfoReady website at csudh.infoready4.com) that describes the policy and process involved in such cases. For any announcement that limits the number of proposals the institution can submit, it is imperative that the PI contacts the OSRP at least 60 days prior to sponsor deadline.

Documents required by the University will be listed for each internal competition. Potential nominees must ensure that they are aware of any additional requirements of the awarding body beyond the University's internal competition. In all cases, requirements for internal review will mirror the requirements of the awarding body to reduce duplication or extraneous paperwork. All required documentation should be submitted via Info Ready to the OSRP by the posted deadline.

It is the responsibility of the researcher and nominating body to ensure that all eligibility guidelines are met prior to submission for internal review.

For additional information, contact OSRP.

PROPOSAL SUBMISSION APPROVAL REQUIREMENTS

- Each proposal must receive formal approval **PRIOR to submission**.
- Proposals for sponsored programs shall not be submitted to the sponsor without prior written approval of both the president of the university or the president's university designee and of the chief financial officer of the university or the chief financial officer's university designee. Other approvals are required, such as the dean and chair.
- Preliminary proposals also require prior approval before submission. At a minimum, the OSRP needs a scope of work and line item budget to obtain the necessary approvals.
- Failure to obtain prior approval can result in withdrawal of the proposal or declining the award.

Please understand that given the requirements of ICSUAM, OSRP will not submit proposals without meeting the requirements set forth in the implementing policy.

Steps to Ensure Submission

- A. In order to guarantee approvals can be obtained prior to submission, OSRP must receive a draft narrative and line item budget at least ten **(10) working days** prior to the submission date. See Timeline Policy
- B. If the funding agency requires cost sharing, you must include a line item cost share budget column in your budget and identify the source(s) of the cost share. (If cost sharing is not required by the funding agency, do not offer any cost sharing. It creates a liability for you, your department, and CSUDH).
- C. Only the Dept. Chair, College Dean and Dean, OSRP may negotiate or agree to Facilities and Administrative costs (indirect costs) lower than those provided in the campus policy.
- D. As always, please inform your dean and chair as soon as you know you intend to submit a proposal and discuss any assigned time or cost sharing you may wish to propose.

- E. If you will use significant resources of a campus unit other than your home administrative unit on your project, you must obtain prior agreement and approval from the appropriate unit administrator. The agreement may need to take the form of a Special Campus Services Agreement. See your RESP Development Specialist for details.

AWARD ACCEPTANCE REQUIREMENTS

- OSRP must receive all campus approvals before accepting an award.
- Before accepting an award, OSRP must review the award as presented by the funding agency.

Award Approval

- A. Only the executive director of the CSUDH Foundation may sign award documents or amendments to existing awards.

DUTIES AND RESPONSIBILITIES OF THE PI

- The campus has a policy setting forth the duties and responsibilities of PIs. Prior to undertaking the submission of a proposal or the conduct of a funded project, you should review and understand this policy, which can be found on the OSRP website under Policies.

Critical Responsibilities

- A. PIs may not delegate overall responsibility for the management and conduct of their project.
- B. PIs' responsibilities encompass all aspects of the project: fiscal, programmatic, and general compliance requirements.
- C. PIs are responsible for submitting programmatic reports and project deliverables on time and providing OSRP with documentation of such submissions.
- D. PIs are responsible for keeping programmatic materials and records for the length of the retention requirement of the project.

ADDITIONAL EMPLOYMENT REQUIREMENTS

- All campus employees are subject to the Chancellor's Office Additional Employment Policy that caps the amount of **time** any individual can work through all campus entities combined at a maximum of **125%**. The 125% time is figured differently for different types of employment, so it is important to understand the policy in relation to each person's employment situation. **Each employee is responsible for ensuring their employment does not exceed the maximum.**

CRITICAL POLICY AND REGULATION REQUIREMENTS

- ICSUAM codifies existing policies and regulations that must be followed in proposing and conducting sponsored projects, including:
 - misconduct
 - conflict of interest
 - nepotism
 - human subjects research
 - animal subjects research

REQUIREMENTS BEFORE PROJECT WORK CAN BEGIN

- No work of any kind can begin on a project until OSRP has provided a project number and approval for work to begin.
- Work cannot begin on a project by charging expenditures to another account and later transferring those charges to the project account.
- Employment cannot begin on a sponsored project until approved by OSRP and the Foundation Human Resources Office, even if the employee is already a University or Foundation employee.

Special Approvals

- A. If you need to start a project prior to receiving approval to begin, contact OSRP. Under limited circumstances, the OSRP Director of Sponsored Programs has the authority to approve project work prior to receiving a fully executed award. Work may not start without such approval, as this may constitute automatic approval of the agreement terms.

AWARD NOTIFICATION PACKET REQUIREMENTS

- OSRP is required to prepare an implementation plan for each contract or grant award under ICSUAM.
- The proposal, award documents, and the OSRP award notification packet will serve as the implementation plan.
- The PI is responsible for reviewing, understanding, and accepting the conditions of the award notification by signing the Project Signature Authorization Form and returning it to Post Award.
- PIs should contact the Post Award Analyst assigned to their projects for assistance or clarification related to the award notification.