Office of Research

And

Sponsored Programs

Principal Investigator's Manual

November 2012

Office of Research and Sponsored Programs
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Principal Investigator's Manual

I.   Introduction

The Office of Research and Sponsored Programs (ORSP) at Colorado State University-Pueblo (CSU-Pueblo) is committed to providing the most current and useful information available on funding opportunities and grant submission and management to the university community. The purpose of the ORSP is to serve as a resource to the faculty and staff at CSU-Pueblo.

The faculty and staff at CSU-Pueblo take pride in excellence, as illustrated by their success in obtaining sponsored support for their programmatic, research and creative works. It is our mission to provide continuing support to the campus community in the realization of new and continuing efforts to obtain sponsored support for projects.

This manual should be used as a guide to assist faculty and staff develop effective grant proposals while adhering to University policies and procedures. Proposals submitted by faculty and staff are representative of the University and should be consistent with the University's mission, goals and objectives of enhancing educational excellence to a diversified community.

Mission Statement
Colorado State University-Pueblo is committed to excellence, setting the standard for regional comprehensive universities in teaching, research, and service by providing leadership and access for its region while maintaining its commitment to diversity.

To help achieve meeting its goals, the University relies on its faculty and staff to obtain external funding through public and private grant sources. The information provided in this manual along with consultations with the Office of Research and Sponsored Programs will maximize the efforts of faculty and staff to effectively search for funding opportunities and proceed with submitting grant proposals that will be beneficial to the University and students.

This manual also contains information that describes the responsibilities of the faculty and staff as Principal Investigators; the pre-grant award duties and functions of the Office of Research and Sponsored Programs; and the fiscal management duties and functions by the Business Financial Services Department.

"Small opportunities are often the beginning of great enterprises".
Demosthenes

II.   Policies and Procedures

GRANT OVERSIGHT PROCESS

This section provides direction to faculty and staff, as Principal Investigators (PI), and describes the process that shall be used to initiate all external funding opportunities.

A.   The Principal Investigator (PI)

1. **Who is the Principal Investigator?**

   The Principal Investigator may be any Colorado State University-Pueblo full-time faculty or staff employee. Part-time and temporary employees can act only as Co-Principal Investigators with the approval of the department and college and must have an eligible individual as Principal Investigator.

   The PI will act as the project coordinator and oversee all aspects of the grant project; and serve as liaison or contact person between the University Administration and the funding agency. The PI will be responsible for maintaining a complete project file as well as providing copies to both the Office of Research and Sponsored Programs and Grants Accountant in the Business Finance Department.

2. **How does the PI identify funding sources?**
   Funding sources can be identified by the PI in several ways.

   a. **ORSP Assistance** - The Office of Research and Sponsored Programs (ORSP) continuously researches possible funding opportunities and sends emails to colleagues whose field of interest that grant category may relate to.

      To assist the ORSP in finding opportunities for your field of interest, please contact the office via email, phone or visit the ORSP office to discuss your project idea.

      > Linda M. Hannafious, x2313/2559
      > linda.hannafious@csupueblo.edu
      > Provost Office Admin Room 303E

   b. **ORSP Website** - Visit the ORSP website (www.csupueblo.edu/grants) to search for funding sources and deadlines yourself. The ORSP website includes several links to find funding sources, including the SPIN search engine, various funding databases, and Federal, State and Foundation links.

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3. **What does the PI do AFTER a funding source is identified?**

   a. **Download Guidelines and Application** – Once a funding source is identified for the PI's project, the funding agency's proposal guidelines and application should be obtained for review. Pay special attention as to whether or not the funding agency requires a Preliminary Proposal or Letter of Intent (LOI) to apply, as well as the due dates for your application.

   b. **Communicate with the ORSP** - Communicating with the ORSP will alert the staff of your intent to apply and enable them to review the funding agency's guidelines and application to ensure that the PI has the most current available information regarding that grant application.

   c. **Consult with Department Chair and Dean** – As Principal Investigator you will need to obtain approval of your project from your Department Chair and Dean. Issues such as the project budget, course reassignment time, indirect costs and cost sharing will need to be discussed with your Department Chair and Dean. The PI will be responsible for obtaining the signatures of both the Department Chair and Dean on the CSU-Pueblo Grants/Sponsored Research Routing Sheet.

4. **CSU-Pueblo Grants/Sponsored Research Routing Sheet**

   The Principal Investigator will be responsible for completing the funding agency's proposal application packet and the CSU-Pueblo Grants/Sponsored Research Routing Sheet. The routing sheet can be obtained at the ORSP website, (www.csupueblo.edu/grants) or in the ORSP office.

   The CSU-Pueblo Grants/Sponsored Research Routing Sheet ensures that the proper officials have been informed of, and authorized the submittal of your proposal application. Signatures required on this form include

   Department Chair(s)
   Dean(s) of PI's College
   Director of ORSP
   Chief Technology Officer
   Controller
   Provost
   President

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The Routing Sheet is basically a synopsis of the PI's proposed project that contains information that is pertinent in determining the project's affect to the university and facilities. It also identifies the responsibilities of the university and any special actions that may be necessary for the PI to take in advance of getting approval for his/her project (i.e. review by an institutional review board). The signatures of the Chair(s) and Dean(s) are obtained before coming to the ORSP. The ORSP will then see that the other signatures are obtained.

a. **Routing Sheet Checklist:**

(1.) <u>Matching and In-kind Funds</u> – Will CSU-Pueblo funds and/or funding from other sources be used? Will materials, supplies or services be used as in-kind commitments? These items should be discussed with the PI's Department Chair and Dean because they may affect the college's budget.

(2.) <u>Indirect Costs (F&A)</u> – Will CSU-Pueblo receive any indirect costs? This is **required** if the grant allows it. Indirect costs are expenses incurred by the university, such as building use and improvement, operations and maintenance, equipment use, clerical and administrative and other personnel salaries, wages and fringe benefits that aren't directly necessary to meet the goals of the project. Indirect costs are costs that funding agencies allow and will provide that are above and beyond the direct cost of the project. These costs need to be included in the proposed budget.

CSU-Pueblo's current indirect cost rate is 48% of salaries and wages for all personnel - **not** including fringe benefits. Fringe Benefit rates are as follows (subject to change, please consult ORSP or ORSP web page):

Faculty & Staff	30.21%
Classified Staff	34.06%
Non-student Hourly	15.81%
Graduate Students	3.5%
Undergraduate	0%

> **IMPORTANT!**
> **FRINGE BENEFIT RATES ARE SUBJECT TO CHANGE. PLEASE CHECK THE ORSP WEBSITE PERIODICALLY at http://www.csupueblo.edu/ Grants/InternalPolicies or call ORSP at X2559 or X2313 for current rates.**

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(3.) Other Commitments, Direct or Implied – Other commitments will need to be explained on the Routing Sheet. These could include pre-award expenses, post-award continuation expenses, faculty release time, technology support, etc.

(4.) Additional space/Other University Resources – Will additional space or other university resources such as technology and construction be required to perform the proposed work?

(5.) Institutional Review Boards (IRB, IACUC, Biosafety) – The PI is responsible for arranging a review by one or more of the Institutional Review Boards if his/her project requires it. CSU-Pueblo's review boards are: Animal Care and Use Committee, Bio-safety Committee and the Human Subjects Committee. For IRB contact information, please visit the ORSP website, https://www.csupueblo.edu/research-and-sponsored-programs/compliance-and-review-boards.html.

This should be completed prior to getting the PI's Department Chair and Dean's signatures.

For a review involving Human Subjects, the PI must complete and sign the Application to the Institutional Review Board for the Protection of Human Subjects form; and read and sign the Definition of Misconduct Policy. Both documents can be found on the ORSP website at (www.csupueblo.edu/grants).

(6.) Sub-contract Work – An explanation of any sub-contracted work required for the proposed project is required.

b. **Submitting the CSUP Grant/Sponsored Research Routing Sheet to ORSP**-

The PI should complete the Routing Sheet and submit it to ORSP along with a completed copy of the proposal, including budget pages and justifications; and a brief summary of the project purpose, goals and benefits to the department, university and students, at least seven days prior to the grant due date **or the application will not be processed for approval**.

IMPORTANT!
THE ROUTING SHEET MUST BE SUBMITTED TO ORSP 7 DAYS PRIOR TO THE GRANT DUE DATE TO OBTAIN THE REQUIRED INSTITUTIONAL REVIEW AND SIGNATURES FOR PROPOSAL SUBMISSION. PROPOSALS SUBMITTED

After reviewing the Routing Sheet and project proposal package, the ORSP Director will obtain signatory approvals from the University Administration.

5. **Proposal Submittal to Funding Agency**

Once the CSU-Pueblo Grants/Sponsored Research Routing Sheet has all original, required signatures, the ORSP and or PI, depending on the funding agency guidelines, will submit the approved project proposal to the granting agency.

Submittal of approved proposals will be done either electronically through FastLane or grants.gov; or by hard-copy mail via UPS. The ORSP will assist the PI through this process and/or inform him/her when the submittal process has been completed.

6. **Notification by Funding Agency**

Grant solicitations usually have a grant award date listed. The PI is generally the person notified by the funding agency as to whether or not his/her proposal has been funded.

   a. **If rejected** – the PI should send a copy of the funding agency's rejection letter, if one is received, to the ORSP for the office file. If no letter is received, it is still the responsibility of the PI to let the ORSP know of the funding agency's decision.

   Per the funding agency's guidelines, the PI may be allowed to modify the project proposal and begin the submission process again during the next grant cycle.

   b. **If approved** – the PI should send a copy of the funding agency's award letter to the ORSP for the office file. In many cases, the funding agency will phone the PI to acknowledge that the project has been funded; a phone call does not constitute receipt of funding by the grant agency. The PI shall not officially announce to External Affairs or any other reporting agency that funding has been granted until the PI receives notification from the funding agency IN WRITING.

   The PI should also be aware that no project expenditures should be made until all Grant Agreements/Contracts have been officially signed by both parties.

7. **Project Account and Budget Set-up**

Once the PI receives notification, in writing, that his/her project has been funded, the PI is responsible for submitting a completed Accounts Create Request Form and Grant Budget Set-Up form to CSU-Pueblo's Grants Accountant in the Business

Financial Services Department, along with the original Grant Agreement. A complete grant file will be kept in Financial Services as well as ORSP.

    a. **Accounts Create Request** – This form is required to establish an account on the Colorado State University-Pueblo's Financial Reporting System. The form can be found on the ORSP website. A copy should be given to the ORSP for their file.

    b. **Budget Set-up Form** – This form is required to set-up the project budget into CSU-Pueblo's Administrative Information System (AIS). The forms can be found on the ORSP website. The accounts can be modified on this form to suit the PI's project budgetary needs. The Grant Budget Set-Up form must be signed by the PI, Dean of College and the Grants Accountant. The Grants Accountant will verify accuracy of the budget and enter the budget information into AIS. A copy should be given to the ORSP for their file.

8. **Grant Accounting**

The Grants Accountant in Financial Services will draw down funds from letters of credit, or will bill the Grantor or funding agency, for all allowable expenses as often as specified in the terms of the award. Grant revenues are recorded and posted by the University Cashier when funds are received.

It is the PI's responsibility to monitor the expenses and budget status of the project award through Kuali Financial System. The PI can generate a Detail Budget Report at any time. The PI's can request fund transfers through the Grants Accountant if cost overruns occur.

9. **Grant Reports**

The Grants Accountant in Financial Services will work with the Principal Investigator to ensure that financial transactions comply with University policy and award requirements.

    a. **Salary Distribution & Time and Effort Reports** - The PI is responsible for completing and submitting Salary Distribution and Time and Effort Reports monthly to the Grants Accountant. These forms are required for all personnel. See **CSU-Pueblo** *Faculty Handbook***, Sponsored Research, 2.7.1.1.5.** The forms allow for salary expenses to be allocated to the appropriate grant budget account.

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The Salary Distribution report must be signed by the PI, Department Chair, Dean and Grants Accountant.

The Time and Effort report must be signed by the employee and Department Chair.

b. **Periodic Financial Reports** – The Grants Accountant is responsible for preparing periodic financial reports to the granting agencies.

c. **Financial Statement Information** – The Grants Accountant is responsible for preparing information for financial statements.

d. **No-cost Extensions** – The Principal Investigator can request a no-cost extension from the granting agency if more time is needed to complete the grant.

The PI is responsible for providing copies of no-cost extension correspondence to the ORSP and the Grants Accountant.

e. **Technical and Program Reports** – The PI is responsible for submitting all technical and program reports to the granting agency once the grant project has been completed. Assistance in submitting these forms electronically can be obtained from ORSP.

f. **Financial Close-out Reports** – The Grants Accountant is responsible for submitting all the required financial close-out reports to the granting agency.

10. **Grant Close-Out and Records Retention**

When the grant project is completed, the Grants Accountant will close the KFS account and expenditures can no longer be posted to it.

Unexpended funds will either be returned to the granting agency or used on another project, if allowed by the granting agency.

Grant records are maintained in ORSP, the Grant Accounting Office, and in the Principal Investigator's Department for five years from close out of the grant.

III.   Proposal Types

There are five types of grant proposals. Funding agencies will ask Principal Investigators to identify which type of proposal they are applying for on the proposal application.

1. **New** – A proposal that has not been previously submitted for funding.

2. **Continuation** – A request to a funding agency for continued support of a funded project that was initially expected to last for more than one year. Some grantors award funds only for the first year of a multi-year project, therefore a continuation must be submitted to request funds for additional years.

3. **Renewal** – A request for support beyond the initial project period for a project that runs longer than first expected.

4. **Resubmission** – A proposal previously submitted but not funded.

5. **Revision** – An amendment to an original previously funded proposal.

IV.   Proposal Development

Most proposals to a funding agency will require the same basic elements.   The Colorado Common Grant Application is a form that is consistently used by such funding agencies as foundations, businesses, or industries. This form along with its User's Guide provides a good tool to use when writing a grant proposal, whether this form is used or not. It lists specific information that funding agencies are looking for and expect when applying for project funding. Always check the funding agency's grant proposal guidelines to see if they require a specific application format. Following is a list of items contained in the Colorado Common Grants Application. The Colorado Common Grant Application and User's Guide can be found at http://www.coloradocommongrantforms.org/nonprofits/index.html or a hard copy can be obtained at the Office of Research and Sponsored Programs.

A. Basic Components

1. <u>**Cover Letter**</u> – The Cover Letter is a brief description of your organization and your proposed project.   It should be written on CSU-Pueblo letterhead, be addressed to a specific person and be no longer than one page. The cover letter should address how your proposed project fits into the funding agency's mission.

2. **Summary Sheet Form** – The Summary Sheet Form is a broader description of your organization that includes your organization's Mission Statement, geographic data, tax exempt status and current financial or budget information. It is commonly limited to two (2) pages and usually has a generic template to follow and complete.

3. **Narrative** – The Narrative is a more detailed description of your organization's background, proposed project, **goals** and objectives. There is generally a four to five page limit depending on the type of the project. The Narrative typically addresses specific questions asked by the funding agency.

   a. **Organization Background** – Describes the formation of your organization, changes made throughout time, current stability.

   b. **Goals** – Describes your organization's goals, past, present and future.

   c. **Current Programs** – Describes organizations current programs, population served and expected results.

   d. **Program and Capital Request** – This section should describe your proposed project in detail, including a needs statement, goals and objectives, proposed activities, and timeline.

   e. **Evaluation** – Describes how you will measure the impacts and success of your proposed project.

   f. **Collaboration** – This section should identify any partnerships in your proposed project, who they are and what level of participation they will have in your project.

   g. **Inclusiveness** – Describes how your organization defines "inclusive" and how it relates to your organization's creating and delivering successful programs.

   h. **Board/Governance** – Describes your organization's board of directors and how involved and supportive they are of your proposed project.

   i. **Volunteers** – Describes if your proposed project will use volunteers and to what extent.

   j. **Planning** – This section should describe challenges and opportunities facing your organization and future planning on how to address these issues.

B. Attachments

1. **Financial Attachments** – Many funding agencies will require financial information regarding both your organization and the proposed project.   This especially true if the funder is a private foundation and requires the proposer to prove it is a 501(c)3 organization as defined by the IRS. These attachments should be clearly identified and labeled.

   a. **Budgets** – Both an organizational budget and proposed project budget may be required by the funding agency,
   b. **Current Year-to-Date Financial Statements** – The funding agency may request current financial data to ensure that your organization is viable and capable of completing your proposed project.

   c. **Year-End Financial Statements and/or Audits** – For the same reason as requesting current financial data, the funding agency may require a year-end financial statement and/or audit.

   d. **Major Contributors** – List any major contributors, if any, to your proposed project. This will show the funding agency that your project is supported by various sources.

   e. **In-kind Contributions** – Include a list of significant in-kind contributions, if any, that your project will utilize.

2. **Other Attachments** – Funding agencies may require additional attachments pertinent to your organization and proposed project.

   a. **Board of Directors List** – Although the funding agency may request a description of the Board of Directors in the narrative, they may also require a quick overview of the Board as an attachment.

   b. **Proof of IRS Federal Tax Exempt Status** – Proof of federal tax exempts status of your organization will reflect compliance with IRS regulations.

   c. **Anti-discrimination Statements** – Funding agencies will require a copy of CSU-Pueblo's anti-discrimination policy or statement to show compliance with state regulations.

   d. **List of Names and Qualifications of Key Staff involved in the Project** – A brief biography of the Principal Investigator of the proposed project and any other key staff involved in the project along with their qualifications and length of service with the organization will show that the project is being managed by qualified, responsible individuals.

e. **Annual Report** – A copy of the organization's Annual Report will reflect how the organization is accountable to the community.

C. Budget Preparation

1. **Direct Costs** – Direct Costs are costs that are directly associated with the proposed project. Some examples of direct costs include compensation, including fringe benefits of employees working directly on the project, materials and supplies being used to perform the activities of the project, consultant fees, travel expenses, computer software, supplies and services, and equipment needed or used specifically relating to the project. Materials or services supplied by partners in the project can also be direct costs if they can be identified as being used specifically for the project.

2. **Indirect Costs (F&A)** – Indirect Costs (F&A) are expenses incurred by CSU-Pueblo for facilities and administrative uses that are associated with your proposed project, but not readily identified. Some funding agencies do not allow indirect costs to be included in your proposal request. However, if indirect costs are allowed, CSU-Pueblo **requires** that they be included. Some examples of indirect costs are building use and improvements, operations and maintenance, equipment use, library use, general and department administration wages, including fringe benefits. CSU-Pueblo's indirect cost rate is 48% of salaries and wages for all personnel, not including fringe benefits. Fringe Benefit rates are currently as follows (consult ORSP or ORSP web page):

Faculty & Staff	26.1%
Adjunct	17.2%
Classified Staff	47.4%
Non-student Hourly/PT Temp	19.1%
Undergraduate	1.7%

   F&A rates are subject to change periodically; check the ORSP website, Internal Policies, http://www.csupueblo.edu/grants/ or call ORSP at X2559/X2313 for current rates.

3. **Allowable Costs** – The Office of Management and Budget Circular A-21, *Cost Principles for Educational Institutions,* establishes principles for determining costs applicable to grants, contracts and other agreements with educational institutions. These principles apply regardless of whether the item is treated as a direct or indirect cost. The OMB Uniform Guidance lists certain costs and gives a description of acceptable methods for determining what costs are allowable or unallowable.

4. **Budget Elements** – Standard line items in a grant budget include the following:

   a. **Personnel** – Wages of faculty, staff, student workers, and administrative support.

   b. **Fringes** – Benefits paid to university employees/students.

c. **Equipment** – A piece of property to be purchased, leased or used that is needed to perform the activities of the proposed project.

d. **Travel** – Travel of personnel to conduct research or attend conferences, presentations, workshops, etc., relating to the project.

e. **Other Direct Costs**

  (1.) Supplies and Materials – Materials used for your project during the course of the grant award.

  (2.) Publication Costs/Documentation/Dissemination – Publication costs and other documentation costs associated with the results of your project.

  (3.) Consultants – Consulting costs associated with your project. CSU-Pueblo employees cannot be paid as consultants.

  (4.) Computer Services – Computer costs associated with your project, including software, hardware and leasing of computer equipment.

  (5.) Subcontracts/Sub-agreements – Costs associated with contracting parts of the project or research to another organization.

f. **Cost Sharing –** Costs associated with your project that may be funded by the University, a project partner, or by a third-party in-kind contribution.

V.   UNIVERSITY POLICIES

The Colorado State University-Pueblo *Faculty Handbook* is an important source for locating policies pertinent to conducting sponsored program projects. The *Faculty Handbook* can be found on the CSU-Pueblo website. Following are excerpts of certain policies that apply to faculty research and sponsored programs. Faculty and staff should refer to the CSU-Pueblo *Faculty Handbook* for complete policy review.

Research Activities with Animal or Human Subjects
Faculty members conducting or supervising research with animal or human subjects will adhere to applicable federal and state regulations and to the ethical standard of the major professional organization in one's discipline for such work. The Director of the ORSP promulgates guidelines for such research activities and supervises estate committees responsible for monitoring adherence. **CSU-Pueblo *Faculty Handbook*, 2.6.5**

Misconduct in Science

Submission of a proposal to the Institutional Review Board for the protection of Human Subjects requires that the PI sign a form describing the definition of "misconduct" and implies that the PI understands the definitions and will conduct research in such a manner that acts of misconducts will not be committed.

The "Definition of Misconduct" form can be found on the ORSP website, (www.csupueblo.edu/grants)

Conflict of Interest

A conflict of interest can occur when a Principal Investigator's personal activities or business interests (i.e. private consulting) has an impact on the PI's proposed project or grant award. Anything that can be construed as a conflict of interest should be discussed with the Director of ORSP and full disclosure should be made using the appropriate form. The Conflict of Interest Policies and Procedures are contained in the CSU-Pueblo Faculty Handbook (section 2.7.1.1)**.**

Effective August 24, 2012, submission of grant proposals to any federal funding agency within the Public Health Service (PHS) of Health and Human Services (HHS) requires completion of a financial conflict of interest training and disclosure process *prior to submission* of the proposal, and at specified intervals, if the grant is funded. Applicable federal grant agencies for which the FCOI PHS procedures must be completed include AHRQ, ATSDR, CDC, FDA, HRSA, IHS, NIH, and SAMHSA.

Information regarding the FCOI PHS requirements and details of the training and disclosure processes are articulated within the Institutional Policy entitled Financial Conflict of Interest in Public Health Service Funded Programs (FCOI PHS Policy). FCOI training must be arranged, completed and documented with the Office of Research and Sponsored Programs prior to submission of the proposal. The financial conflict of interest disclosure form (PHS Addendum Form) must be fully executed with signatures prior to submission of the proposal. If it is determined that a management plan is needed, the FCOI management plan must be finalized before the principal investigator or any key personnel, collaborators, etc. can expend funds if the grant is awarded.

Sponsored Research

Sponsored research shall be construed to include research grants funded by external agencies including government units and local, state, or national businesses or industry.

The University encourages faculty involvement in such activities when such involvement further develops the faculty member in a professional sense and is consistent with the objectives of the University. Release time and supplemental contracts for such activities may be granted by the provost upon recommendation of the Dean and Department Chair, in consultation with faculty in the degree or program area. Faculty members may not have salary from sponsored research added to their academic year contracts. Summer work supported by sponsored research funds must be compensated by means of a term contract. Business- or industry- sponsored projects may, like agency-sponsored projects, qualify for being conducted on campus using University facilities and equipment. When such projects result in supplemental faculty contracts, the amount of work for remuneration in which a full-time faculty member may engage is limited to

an average of one day per week in each semester of the academic year. Approval by the Provost, upon recommendation of the Department Chair and Dean, for conducting such projects will include a review of the proposed project, its budget, and a process for assuring acceptable accounting standards. **CSU-Pueblo *Faculty Handbook*, Sponsored Research 2.7.1.1.5**

Patents and Copyrights
Occasionally sponsored program projects may result in works needing to be patented or copyrighted. For more information on University policies regarding patents and copyrights, see **CSU-Pueblo *Faculty Handbook*, Working Conditions, 2.6.**

Purchasing/Bids
Certain University policies regarding purchasing and bid procurement must be adhered to. For more information, see **CSU-Pueblo website, Purchasing.**

VI.   CONCLUSION

This manual was intended to be used as an effective and useful tool to assist an individual interested in obtaining grant funding for a sponsored program project. The Office of Research and Sponsored Programs hopes that you found this manual to be helpful and encourages all individuals to contact the ORSP if additional information is needed.