Project Director’s Handbook
The Office of Sponsored Programs
A Guide for Principal Investigators and Project Directors with Sponsored Projects

The Office of Sponsored Programs
California State University, Fullerton Auxiliary Services Corporation
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Introduction

Purpose of the Manual
This manual is a guide for Principal Investigators (PI) and Program Directors (PD) who manage research grants or other contracts and agreements administered by the CSU Fullerton Auxiliary Services Corporation (ASC) Office of Sponsored Programs (OSP). By reading this manual, you will become familiar with the OSP’s implementation of federal, state, local, and private and non-profit laws, policies, rules and regulations. You will also understand how you, as the PI or PD play an integral part in ensuring the grant or contract monies are managed consistently with the intent of the sponsor and in accordance with the law.

Every effort has been made to keep these policies and procedures consistent with the overall policies of the ASC, CSUF, and CSU. Where there are conflicting rules, you should seek the opinion of your Sponsored Programs Administrator. It is a great responsibility to follow the policies and procedures of the ASC and the awarding sponsor. The consistent and successful administration of grant money allows the University to pursue additional funds for important projects of interest to you, your department, the University and the community at large. Future funding is largely determined by our success in managing today’s sponsored programs.
History of the CSU Fullerton Auxiliary Services Corporation (ASC)

CSUF ASC, like all other CSU auxiliaries established under the Title 5 of California Code of Regulations was founded:

- To conduct activities “essential to the educational program of a campus”;
- To provide a “reasonable and effective administrative system for certain non-state funded activities essential to the educational mission of the campus”; and
- To “receive gifts, property, and funds to be used for the benefit of such campus…”

The Foundation was incorporated in 1959 as a non-profit, public benefit corporation to promote and assist the educational mission of California State University, Fullerton. In 2006 the name changed to the CSU Fullerton Auxiliary Services Corporation (ASC).

The ASC has responsibility for the following:

- Administration of federal, state, local and private research grants and contracts through its Office of Sponsored Programs;
- Custodial responsibility for non-state funds generated by University-affiliated activities;
- Management of all food and vending service on campus;
- Business administration of Tucker Wildlife Sanctuary; and
- Other projects and entrepreneurial efforts that support the mission of the University – but which cannot be funded through state funds. Such projects include the Artists Village in Santa Ana, University Gables faculty/staff housing in Buena Park, University Heights faculty/staff housing in Fullerton, the CSU Fullerton Housing Authority and the acquisition and management of the College Park Building across the street from the main campus in Fullerton.
Structure of the CSU Fullerton Auxiliary Services Corporation
The ASC’s Executive Director reports to both the Board of Directors and to CSU, Fullerton Vice President of Administration. The 20 member Board of Directors is composed of CSUF students, faculty, administrators, and community leaders. The Board meets quarterly to conduct ASC business while its Executive Committee meets monthly. The Vice President of Administration is an ex-officio voting member of the Board of Directors and is engaged in providing continuous oversight of the ASC’s activities.

Structure of the CSU Fullerton Office of Sponsored Programs

Office of Sponsored Programs

Denise Bell, Director of Sponsored Programs

Sydney Dawes, Compliance

Olga Riveron, Senior Administrator

Charles Greenwood, Administrator

Cris Murillo, Special Projects Coordinator

Iris Miranda, Administrator

Doug Schroettinger, Junior Administrator
Grant Administration

CSU Sponsored Programs ICSUAM Policy Announcement Uniform Guidance Addendum

The policies in ICSUAM Section 1100 are the result of the implementation of the Federal Government’s Uniform Guidance, Code of Federal Regulations, Title 2, Section 200 (2 CFR 200) effective December 26, 2014.

These policies supersede OMB Circulars A-21, A-110 and A-133 and serve as the basis for sponsored program administration at CSUF ASC.

Pre-Award

Proposals shall not be submitted to any Sponsor/Agency without prior written approval of: President of the University or President’s University designee, the Director of Office of Grants and Contracts, and the Chief Financial Officer of the University or the Chief Financial Officer’s University Designee.

All proposal development/preparation, research compliance, funding opportunities or pre-award forms, policies and procedures should be directed to the Office of Grants and Contracts.

OPAS – Financial Commitment of Expenditures

On occasion, Principal Investigators may wish to access grant funds before they are made available from the sponsor; an example of which is when the sponsor has provided the Office of Grants and Grants or the Office of Sponsored Programs a letter of intent to fund a certain project but due to administrative issues the actual contract has not been received. In such cases, the Office of Sponsored Programs may provide an advance to initiate the project. The federal government will only reimburse the Office of Sponsored Programs for pre-approved “startup” expenses that are incurred prior to the start of the project-funding period; therefore, any advances by the ASC will be limited and closely scrutinized.

An advance can be requested using the OPAS form that must be signed by the Director of Sponsored Programs. Upon approval, your request for advanced funding will be processed by the Sponsored Programs Administrator and an account number will be assigned for your new project. If, upon review, it is decided that the risk is too high, the Director of Sponsored Programs will contact you to discuss your advanced funding request.

The period of your advanced funding will depend upon the period of your project, but under no circumstances will the advanced funding period exceed four (4) months. At the end of the four month period and/or when the advanced budget has been fully expended, your project will be inactivated until such time that the Office of Sponsored Programs has received a signed agreement. If it is later determined that an agreement between the sponsor and the Office of Sponsored Programs cannot be finalized, all expenditures charged against the advanced funding account will be transferred to the Auxiliary Services or state account listed on the OPAS form. It is important to note that there must be an account (such as a discretionary account) listed on the OPAS for which the Office of Sponsored Programs is authorized to transfer all non-reimbursable expenditures incurred during the OPAS period to the designated account number.

When completing the OPAS form, please note that no more than 25% of the total amount of your award can be listed in the budget portion. This total must be then allocated to the appropriate Sponsored Programs budget line item needed for this advance.
New Account Set-up and Orientation
The Office of Sponsored Programs establishes an account when a copy of the official award notification is received from
the sponsor. Because the awarding agency may notify any number of people that funding has been awarded, if you
receive an award notice, forward a copy to the Director of Sponsored Programs.

Some awards, especially contracts, may be negotiated after the sponsor has decided to carry out a project with the Office
of Sponsored Programs. The Office of Grants and Contracts coordinates that process. Once negotiated, the contract
award is complete, and the contract is prepared and signed by the Executive Director and by the sponsor’s designated
authority.

Once award notification is received, the Sponsored Programs administrator will set up the budget in the system and email
the PI regarding an orientation meeting. The orientation should include the PI, Co-PI and any other staff that will have
significant involvement in the administration of the award. The orientation meeting is a mandatory meeting and must
take place prior to any expenditure on the grant/contract. The meeting will be to:

- Review the PI handbook;
- Inform about University, ASC, and OSP policies and procedures;
- Review terms and conditions of the award;
- Review and adjust the project budget;
- Establish the PI’s signature record; and
- Provide an account number to the PI.

Once the orientation meeting is complete the Sponsored Programs Administrator will send out a Notice of Award email to
all appropriate parties. This email will notify ASC’s IT department to give the PI access to their account online. At such
time the PI can request other individuals such as administrative staff be given account access for budget monitoring. It is
the responsibility of the PI to monitor their budget closely and track expenditures.

Conflict of Interest
The Office of Sponsored Programs considers it a conflict of interest when financial or personal considerations may appear
to compromise a PI’s judgment in conducting or reporting research, carrying out grant activity or conducting contracts.
The California State University Conflict of Interest Handbook states “Conflict of Interest law seeks to minimize the extent
to which public employees pursue their own financial interests at the expense of the public interest. The law of conflict of
interest sets forth the means by which the collision of public interest with self-interest is diminished.

Even if there is no evidence of improper actions, this appearance of impropriety can undermine confidence in the ability
of that person to act properly in his/her position. In such a situation, FORM 700U must be completed by the appropriate
personnel.

Form 700U must be completed by all persons employed by UC or CSU who have principal responsibility for a research
project if the project is to be funded or supported, in whole or in part, by a contract or grant (or other funds earmarked by
the donor for a specific research project or for a specific researcher) from a nongovernmental entity.

The Office of Grants and contracts oversees the completion of the Conflict of Interest forms in the initial stages of
proposal preparation; the Office of Sponsored Programs requires a final Conflict of Interest Form upon close out of the
award.
Financial Conflict of Interest (FCOI) Disclosure Statement – National Science Foundation (NSF) and Public Health Services (PHS)

Any person who will work on an NSF or PHS funded project that is responsible for the design, conduct or reporting of work performed on the project must complete a Significant Financial Interest Disclosure statement. This disclosure includes employees of CSUF, CSU Fullerton Auxiliary Services Corporation and all subcontractors.

The FCOI disclosure statement will be completed during the initial proposal stage and annually for all ongoing projects as follows:

1. Prior to expenditure of funds;
2. Within 60 days of the identification of an Investigator who is newly participating in the project;
3. Within 60 days for new, or newly identified, FCOIs for existing Investigators;
4. **ONLY FOR PHS PROJECTS** – At least annually (at the same time as when the University is required to submit the annual progress report, multi-year progress report, if applicable, or at the time of extension) to provide the status of the FCOI and any changes to the management plan, if applicable until the completion of the project;
5. Following a retrospective view to update a previously submitted report, if appropriate.

The Conflict of Interest Policy does not prohibit the appointment of closely related individuals (husbands, wives, mothers, fathers, sons, daughters, sisters, brothers, or partners) to a project so long as the PI does not supervise or otherwise make personnel-related decisions regarding that relative. Transactions between the PI and the related employees must be consistent with that of other employees.

**Budget**

In most cases, a budget is provided to the Office of Sponsored Programs when the proposal is submitted to the sponsor. It is the PI’s responsibility to ensure that the Administrator at OSP has a copy of the final approved budget with the line item detail before work begins.

Modifications among the budget categories may be made within the guidelines of the funding agency (which would be discussed in the orientation meeting). Other modifications or revisions not covered by the funding agency guidelines will be honored only upon written authorization from the funding agency.

**Allowable and Unallowable Costs**

Regulations and policies governing costs may vary significantly among different sponsors. However, the guidelines of federal sponsors are typically the most prohibitive and will typically be used (along with GASB and FASB) to determine allowable costs.

**Awards Subject to the Uniform Guidance (2 CFR 200):**

1. All federal awards awarded on or after December 26, 2014.
2. All subawards issued from a prime federal award dated on or after December 26, 2014
3. Awards issued prior to December 26, 2014 with new funding added on or after December 26, 2014, in accordance with federal agency award modifications.

**Awards Subject to OMB Circulars A-21, A-110 and A-133:**

Awards issued prior to December 26, 2014, unless awarding Federal agency notifies recipients that the new guidance is effective on awards issued prior to December 26, 2014 (see #3 above).
**Allowable Costs:**

OSP conducts a review of all expenditures requests before processing reimbursements. The following guidelines are in accordance with Uniform Guidance 2 CFR 200 Subpart E.

An allowable cost is a cost that can be paid by your grant or contract. CSUF ASC OSP considers a cost to be allowable when it meets the following tests:

- The cost is **necessary and reasonable** for the performance of the award. (2 CFR §200.404)

- The cost is **allocable**: the contract or grant that paid the expense benefits from it. For a cost to be allocable, it must meet one of the following criteria 2 CFR (§200.405):
  - It is incurred solely to advance the work under the sponsored agreement.
  - It benefits the sponsored agreement and the work of the institution in proportions that can be approximated through the use of reasonable methods.
  - It is necessary to the overall operation of the institution and is deemed to be assignable in part to sponsored projects.
  - The accounting treatment of the cost is consistent.

**Unallowable costs**

An unallowable cost is a cost that cannot be paid by the grant or contract. Such costs may be expressly prohibited by the Uniform Guidance or may be considered unallowable as a result of CSUF ASC OSP policy or by mutual agreement with a governmental agency. A sponsoring agency may state that certain costs are not reimbursable even though they are considered allowable by federal regulations. CSUF ASC OSP has the responsibility to identify such costs and exclude them from any billing, claim, or award proposal.

**Cost Overrun**

A cost overrun is when total expenditures and obligations exceed funding. PI’s must ensure that all expenditures and obligations are within the approved budget. PI’s must rectify cost overruns should they occur. Some available options to remedy cost overruns are:

1. PI’s available agency account;
2. Department funds, which require Chair or Dean approval;
3. Indirect Cost allocation funds, which require Dean approval: or
4. Transfer expenditures to another closely related project
   - For example if a federal project requires cash match the expenditures overrun on the federal project could be transferred to the cash match account assuming there is a remaining balance

**Approval for Grant Changes**

Each sponsor has preferences about how changes to the grant should be handled. The terms and conditions of the award which are discussed during the orientation meeting will provide the PI with approved and allowed changes.

1. No Cost Extensions
   - When PI needs more time to complete the work, most sponsoring agencies will agree to some extension of time with no changes in budget. To request an extension contact your administrator **45 days** before the scheduled grant/contract termination. Under no circumstances should an extension be requested merely
to use unspent grant/contract funds. Some sponsors, federal and non-federal require a justification for the extension request. Please be prepared to provide a justification and budget plan for your request. Extensions that require additional costs require detailed justification and negotiation and will go through the standard grant review and approval process.

2. Changes requiring sponsor approval
   a. Changes in scope or objective of approved project;
   b. Sub-contracting or transferring substantive project objectives to a third party;
   c. Changing the PI;
   d. Absence of the PI for more than 3 consecutive months;
   e. Substantially changing the level of effort of key personnel (i.e. PI);
   f. Budget reallocations in excess of the sponsor designated percent of the approved budget; and
   g. Reallocations of funds specified for participant support to non-participant categories

3. Budget adjustments
   a. Budget adjustments within approved categories not exceeding up to 25% of the total project budget are typically allowable. This percentage may be lower per the terms and conditions of the award.

4. Budget change requests
   a. Change requests must be in writing; email requests will be honored so long as the email is sent from the authorized signer(s) on the account. Requests to reallocate funds within approved budget categories may not exceed the maximum allowable amounts set by the sponsoring agency. Requests must include the reason for the request, account #, and object codes and amounts that you are requesting changes.

Cost Transfer

The Cost Transfer Policy states “a cost transfer is any transfer of expenditures to or from a sponsored project to align costs with the actual benefit received on the project. The request for a cost transfer should only be processed in rare circumstances, as the (PI) is responsible for ensuring that the original transactions are appropriately and accurately charged to the correct account. The Office of Management and Budget (OMB) Circular A-21, Section C (4) states that “any costs allocable to a particular sponsored agreement under the standards provided in (OMB Circular A-21) may not be shifted to other sponsored agreements in order to meet deficiencies caused by overruns or other fund considerations, to avoid restrictions imposed by law or by terms of the sponsored agreement, or for other reasons of convenience.” The Office of Sponsored Programs considers any cost transfer made for any of these purposes inappropriate, but recognizes that there will be certain circumstances when cost transfers must be done to correct charges on sponsored accounts. The government also requires that cost transfers be done timely. Most government agencies, such as National Institutes of Health (NIH), define this as within 90 days, and ASC has adopted this guideline for timeliness.”

To initiate a cost transfer request to a sponsored project account, the PI is responsible for completing a Cost Transfer Request Form in accordance with the associated directions. The request form may be sent electronically to the responsible Sponsored Programs Administrator from the PI or a designee’s e-mail; the e-mail will serve as adequate authorization for the cost transfer. The PI should review the request for completeness and accuracy. The PI should ensure that these requests:

1. Are within 90 days of original transaction,
2. Identify a specific expense to be transferred, and ensure that any costs being transferred to a Sponsored Project account are compliant with the Charging Expenditures on Sponsored Projects
3. Provide additional justification and appropriate documentation (section 3 & 4 of the Cost Transfer Request Form) if the request is not made within the 90 day period.
Once the Cost Transfer Request Form is completed it should be sent to the Sponsored Programs Administrator. The administrator is responsible for reviewing and approving all cost transfer requests and ensuring that they are compliant with the guidelines established within this procedure. Should the administrator decide that the cost transfer is not appropriate, it will be returned to the PI. If approved, the administrator will complete a Journal Entry (JE) for the expense to be transferred and will route it to the Accounting office for processing.

**Cost Sharing / Cost Match**

It is the practice of the ASC and University to NOT include Cost sharing/cost match on sponsored projects; however, some sponsored agreements require the University to contribute a portion of the costs. Documentation and accounting for cost sharing is important a documentation of costs charged to the sponsor. Specific cost sharing commitments are usually identified in the proposed budget and, unless renegotiated with the sponsor, is a firm commitment of the University resources to the project. Cost sharing/cost match that is not required by the sponsor is called voluntary cost sharing/match. If a proposal is funded that includes voluntary cost sharing/match, the same requirements applicable to the sponsor required cost sharing/cost match apply. In addition, voluntary cost sharing/cost match requires approval of the College Dean and Associate VP of Academic Affairs.

Two types of cost match:

1. **Cash Match**
   a. Cash contributions represent the recipient's cash outlay, including the money contributed to the recipient by non-federal third parties

2. **In-Kind Match**
   a. In-kind contributions represent the value of all non-cash contributions, including services and property, provided by the recipient and/or non-federal third parties

The Cost Match Guidance sheet provides type of documentation required when cost sharing is committed on awards. Contributions must be verifiable, not included as contributions for any other federally assisted project or program, necessary and reasonable for proper and efficient completion of project or program objectives, allowable under applicable cost principles, not paid by federal government under another award except where authorized by federal statute to be used for cost sharing or matching, provided for in the approved budget when required, and conform to other provisions of Subpart C Section .23 of OMB Circular A-110.

The Sponsored Programs Administrator will request cost match documentation no less than annually. The Administrator will complete to the best of their ability the Cost Match Form. It is the PI's responsibility to review and correct the form, sign, obtain chair/dean signatures, and return to the administrator along with all appropriate backup documentation.

For further information please reference the Cost Sharing Policy.

**Program Income**

Any project-related income (such as workshop registration fees, rental fees, sales of publications, royalties, or sales of materials and services fees) must be deposited into a separate Sponsored Programs account which will be set up by the Sponsored Programs Administrator in accordance with the sponsor’s regulations and agreements and reported to the sponsor. Program income shall be retained and added to the project to be used to further program objectives; used to finance the cost sharing of the project; or deducted from the total project costs when determining the sponsor share of the project. The sponsor will direct how program income must be accounted.
Reporting Requirements
In order to satisfy the terms and conditions required by most awards, the Principal Investigator (PI) must furnish the Sponsor with a final technical report at the end of the project period. Funding agencies consider the technical report to be a useful tool in monitoring and evaluation of the research project. Timely submission of these reports is an important responsibility of the Principal Investigator. Failure to do so could result in the agency withholding new funding for CSU Fullerton ASC and could jeopardize the PI’s ability to obtain future awards from this sponsor as generally agencies will not make a new award unless all previous awards are in compliance. It is important to review the terms and conditions of your award notice to understand your reporting requirements.

Technical Progress / Performance Reports
Most granting agencies require progress reports at various intervals of the grant/contract period. Progress reports will always be requested for grant continuation, renewal or close-out. Upon project completion or termination, a final technical report, prepared in accordance with the applicable program rules, is required. PI’s must submit reports directly to the granting agency. PI’s who have contracts instead of grants may be required to deliver specified products or services. PI’s must also submit copies of all reports and transmittal letters to the Office of Sponsored Programs. If the report is too long to submit a complete copy to the Office of Sponsored Programs, provide a copy of the table of contents and the executive summary as well as the transmittal letter. Technical progress reports may present:

1. A statement of actual accomplishments towards goals and/or the findings of the PI;
2. Reasons why goals were not met;
3. Other pertinent data;
4. Other requirements of the sponsor; and
5. Problems or favorable developments during the reporting period

Technical reports, data, findings, published papers, deliverables, copyrights or final products are the property of the University/ASC unless the contract/agreement specifies joint ownership of the sponsor. All project records must be kept on campus and in the office of the PI or the Office of Sponsored Programs.

Financial Report
In addition to Progress Reports, most sponsors also require financial reports. The Office of Sponsored Programs provides financial reports that include all expenditures, program income, cost sharing contributions and other financial information as required by the sponsor. Depending on the terms and conditions of the grant or contract, unobligated project funds will be returned to the sponsor or transferred to the residual balance account where the PI has two years to use the funds on project related activities.

Grant/Contract Closeout
As with any major endeavor, a project account cannot be closed until all paperwork is complete. The Sponsored Programs Administrators sends out a 30 days notices prior to end date. This notice request the PI to take certain actions to facilitate the close of the project.

Items required for closeout:

1. Acknowledgement verification of submission of the final technical and financial report
2. Final Invention statement
3. Cost Match report and documentation
4. Final Conflict of Interest Form
5. Final expenditures
6. Clearing of travel, advances, and encumbrances
7. Termination or transfer of all personnel assigned to and/or working on the sponsored project
8. Clearance of overrun on account

The majority of CSUF Sponsored Projects are cost-reimbursable; however, periodically a sponsor will agree to pay a set fee for satisfactory completion of services (a fixed price agreement). This means the sponsor provides payments of the total award regardless of the actual cost. In the event the PI completed the project for less than the agreed upon rate, the remaining direct cost (the residual balance) will be transferred to a different account under a Purchase Order # for the PI to use for a 2 year period. After the two year period the funds will no longer be available to the PI. The maximum allowable residual balance transfer is 25% or less of the entire awarded amount.

Audit Requirements and Record Retention
The Auxiliary Services Corporation and all sponsored projects are subject to audits. An external, independent accounting firm conducts annual audits of the ASC’s financial statements; and performs the A-133 audit of federally funded programs, required each year of organizations that expend $500,000 or more in a year of federal funds. Periodic audits are also performed by the Chancellor’s Office, federal funding agencies, private sponsors and other interested parties.

It is imperative that policies and procedures are followed at all times and that current and accurate records are kept. Research materials and records must be retained on campus so that they are readily available for auditor reviews. Unless an awarding agency specifies that records need to be retained longer, the Office of Sponsored Programs will retain records for each sponsored project for three years from the date of the project close-out.

Personnel
Depending on what was proposed to the sponsor there are two distinctive types of personnel that can be on a sponsored project; state-side employees (i.e. faculty or staff) and ASC employees. State-side employees include faculty and staff whose primary appointment/employer is CSU Fullerton. These individuals will be paid through the grant using release time which is a “buy out” of a faculty or state-side staff’s time. The university will regularly pay these individuals, a release time form will be completed by the individual, and the Office of Sponsored Programs will reimburse the University for their bought out time. ASC employees include all other personnel that need to be hired on to the grant (i.e. program staff and students). These individuals will be hired through ASC’s Human Resources and paid through ASC’s Payroll which will be charged to the grant directly (rather than being reimbursed to the university).

Human Resources and Payroll Policies and Procedures
Individuals hired for sponsored projects will go through ASC Human Resources and Payroll. To hire employees for the sponsored project the PI needs to complete a Personnel Transaction Report and submit to Human Resources. The selected candidate must contact Human Resources to set up an orientation time prior to beginning work. During orientation the new hire completes all appropriate paperwork and is informed of all rules and regulations. Only after the new hire has completed orientation can they begin to work on the project. The employee will be responsible for completing their timesheet bi-weekly according to the payroll schedule, obtaining PI signatures, and submitting to ASC Payroll appropriately. Please visit the websites below for further information on contact information, policies and procedures, and forms for ASC Payroll and Human Resources:

**Faculty Release Time**

Faculty release time is used to “buy out” a faculty member’s time. Weighted teaching units (WTUs) are released when a Dean authorizes a faculty member to spend time working on a project instead of teaching a class. The grant reimburses the University for this time. Faculty members who are released during the academic year must complete a Release Time Form that identifies the number of units being released for each project and the salary and fringe amount to be paid by the grant reimbursed to the university. The form must have all appropriate signatures and returned to the Office of Sponsored Programs. Once the form has been returned the Sponsored Programs administrator will encumber the funds for salary and fringe benefits until Sponsored Programs receives an invoice from the University; at which time the invoice will be paid and the encumbrance will be converted into an actual expense on the grant.

**Faculty Overload Salary**

Policies and Procedures are in Progress. Please check back for updates and/or contact your Sponsored Programs Administrator with questions.

**Effort Reporting**

The Uniform Guidance Subpart E §200.430 contains the federal regulatory requirements for internal controls over certifying time expended on sponsored projects. The University’s practice is to utilize an after-the-fact effort reporting system to certify that salaries charged, or cost shared to sponsored awards, are reasonable and consistent with the work performed.

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Effort certification is the means by which an employee documents the proportion of time allocated to each of the activities in which he or she is involved. Effort certification differs from payroll distributions in that effort certification describes the allocation of an employee’s activity to individual projects, independent of salary.

When properly filled out, effort certification provides a record of 100% of employee effort. The effort percentages for effort certifications must total exactly 100%, regardless of the actual number of hours expended on those activities. Effort is defined as the total scope of responsibilities, regardless of the actual number of hours worked. It is important to note that effort is not calculated on a 40-hour work week. If an individual normally works 50 hours in a week, 40 hours represents 80% effort.

Effort reports will be distributed to each individual per the table above. The faculty/staff member is required to review the effort certification report in a timely manner and inform ASC Office of Sponsored Programs of any discrepancies with thirty days.

Certification of effort for ASC exempt employees is collected on a monthly basis. Exempt employees are required to complete, sign and submit the ASC Exempt Employee Effort Certification form to the Office of Sponsored Programs on
the 10th day of each month for the previous month’s effort. Effort for non-exempt ASC employees is certified through the bi-weekly submission of the individuals’ timesheet.

Purchasing

Purchasing Policy
The ASC Purchasing Policy includes the purchase of equipment, materials, supplies and services necessary for ASC activities. The policy reviews “Bidding Guidelines” for purchases in excess of $5,000. Purchases made between $5,000 and $25,000 require three or more informal price quotes from different vendors either in writing, email or by telephone. Documentation should include date, vendor name, contact person, phone number, and be attached to the requisition or be maintained on file. On rare occasions where different vendors cannot be obtained (i.e. the item or service is so specialized that only one vendor is provided) then a sole source justification can be written and provided in lieu of the 3 quotes. Purchases in excess of $25,000 require a formal Request for Proposal (RFP) or Request for Quotation (RFQ). Written specifications and a solicitation award process which recognizes competitive price, responsiveness to specifications, and reputation of vendors is required. Offers should generally be sought from as many possible vendors.

In order to protect PIs and other project staff from possible charges of conflict of interest, purchases should not be made from companies in which the PI or other project staff has an economic interest.

There are three mechanisms for purchasing on a Sponsored Project; purchase order, check request, or P-Card.

Purchase Order
A purchase order is a legal document that obligates funds to pay for services rendered or merchandise delivered. A purchase order is a means of purchasing by which you provide the Office of Sponsored Programs a completed Purchase Order Form signed by all appropriate parties, along with a W-9 Form if the vendor is not already in the ASC’s Vendor Database (contact Accounts Payable, extension 4112 to see if the vendor is already on file)

There are two ways to obtain a Purchase Order number:

1. Complete the Purchase Order form, submit to Accounts Payable to: Titan Hall-ASC, and Accounts Payable will send you a copy of the PO form with the PO# provided in the top right corner
2. Email your Sponsored Programs Administrator and cc Accounts Payable requesting a PO. Once the Sponsored Programs Administrator has approved, Accounts Payable will email back with a PO#
   a. The email should include project number, object code, Vendor name, and amount requested

Once a purchase order is issued the funds will be encumbered on your project. Once you have received your PO# you can purchase your items through the vendor. It is the PI’s responsibility to then submit to Accounts Payable the invoice, packing slip or any other confirmation that all materials have been received. It is only through this confirmation receipt will Accounts Payable be able to pay the vendor. Payment of the invoice to the vendor means that the purchase number will no long be encumbered and the expense will be recorded in the “actual expense column in the project report. Should any materials or goods have to be returned, notify Accounts Payable immediately so that the proper credit is issued for return.

Check Request
A Check Request Form may be used for reimbursement to an individual for out-of-pocket expenses. This means an individual purchasing materials or goods using their personal money and may seek reimbursement from the grant for project related expenditures. The check request form will need to be completed and the itemized original receipts for the
materials and/or goods purchased should be attached. The form and receipts should be sent to Accounts Payable to: Titan Hall-ASC where it will be reviewed, approved and processed for payment and disbursement.

The check request needs to be signed by the PI or PI designee unless the PI is the individual who purchased the materials or goods out of pocket; at such time the PI’s chair or dean is the authorizing signatory on the check request. If the expense is for more than $2,500 a second authorizing signature is required.

ASC issues checks twice a week (Wednesday and Friday after 3:00 PM). As long as the Sponsored Programs Administrator and Accounting have reviewed and approved the expense and supporting documentation: distribution of checks will follow the below timeline:

- Check requests submitted by Wednesday before noon will be ready Friday after 3:00PM
- Check requests submitted by Friday before noon will be ready the following Wednesday after 3:00PM

Unless there is an urgent and compelling reason for an individual to pick-up checks, all checks will be mailed out to the vendor address on the check request form.

**Purchasing Card (P-Card)**

Some Sponsored Projects are eligible for a Purchasing Card (P-Card). The Purchasing Card is a tool designed to complement ASC’s purchasing and payables processes and is used to make small dollar purchases for goods required to conduct ASC official business. This card can also be used for conference registration, hotel (lodging), airfare, and rental car services. Airfare may be purchased through travel agencies, direct from airlines and the Internet. The card also allows users to obtain certain items faster and easier. Issuance of a Purchasing Card is a privilege and every reasonable effort must be made to ensure that funds are used responsibly and in a manner consistent with ASC’s and the University’s mission, applicable laws and ethical practices. The card **CANNOT** be used for personal expenditures.

The Purchasing Card Policy details use, restrictions, responsibility, reconciliation and violations. Not all Sponsored Projects are able to be approved for P-Cards. To apply for a P-Card the Purchasing Card Application needs to be completed and returned to Accounts Payable/P-Card Desk at Titan Hall-ASC. The application will be reviewed by the Sponsored Programs Administrator and the CFO. If approved the PI and other responsible parties are required to attend an orientation. It is very important that the P-Card is used only for project related and approved expenditures. Violations or abuse of the P-Card will result in warnings, personal liability for non-project related expenditures, suspension, or card termination.

**Independent Contractors & Consultants**

**Determination between IC and Employee**

An independent contractor (IC) is an individual or organization, not affiliated with the University or ASC, providing primarily professional services or advice under a written agreement. Such a relationship is distinct from an employment relationship. An independent contractor is only subject to the control and direction of the University and/or ASC as to the result of the work and not as to the method or means. Independent Contractors set their own hours (though they may have deadlines), are not integrated into the ongoing business operations, offer their services to the general public, and pay for their own expenses. Independent Contractors should rely on their own tools, devices, expertise, computers or office resources to accomplish their work.
A consultant is a type of independent contractor. Specifically, a consultant is an individual or firm possessing expertise in a particular field and is engaged to give advice or perform a specific task in return for an established fee. A consultant generally holds a professional certification or license.

An employment relationship exists when the employer has the right to supervise and control the manner of performance as well as the results of the service by the employee. When such a relationship exists, the individual will be employed under the formal employment process. Employees of the California State University system or its Auxiliary cannot act as independent contractors when performing services for sponsored projects.

For IRS purposes the ASC uses a Checklist of 20 factors to determine if a worker is an independent contractor. Failure of any one of the factors could move the worker to employee status.

**Selection of Contractor and Contracting**

The PI is responsible for selecting the IC and determining fees. The PI must be able to certify that all services have been performed and are essential to the specific project. The PI must also certify that these services provided by the IC cannot be provided by persons receiving salary or other compensation by the University or ASC. The PI must provide evidence that a selection process was employed resulting in the selection of the most qualified contractor. Finally, there cannot be a conflict of interest.

Once an IC has been selected the Independent Contractor Agreement is to be completed along with a W-9 Form. The agreement must be fully executed on or before work begins. This means all parties (the contractor, the PI, AND the CSUF ASC Executive Director/Designee) have signed the agreement before the actual start date on the agreement. It is advised that the agreement signed by the Contractor and PI along with the W-9 and any appropriate justifications be submitted to the Office of Sponsored Programs 2 weeks prior to the actual start date of the agreement so that the Sponsored Programs Administrator and the Executive Director/Designee have enough time to review and sign the agreement prior to the start of work. Also with regard to contracting, ASC will not sign any agreement that indicates payment is due up front (i.e. 25% of contract payment due upon signing agreement). ASC will only pay for services satisfactorily completed and this does not include services for signing or completing the agreement. Also ASC’s terms are net 30 and will not sign any contract that has terms less than net 30.

According to the ASC Purchasing Policy any purchases “of equipment, materials, supplies and services” with an “aggregate value between $5,000 and $25,000” must be accompanied by three or more informal price quotes either in writing, email, or by telephone. Documentation should include date, vendor name, contact person, phone number and be attached to the IC agreement. For purchases with an aggregate value greater than $25,000 a formal Request for Proposal (RFP) or Request for Quotation (RFQ) is to be solicited. Written specifications and a solicitation award process which recognizes competitive price, responsiveness to specifications and reputations of vendors is required.

**Independent Contractor/Consultant Invoicing and Payment**

Once the agreement has been fully executed the contract is given a PO# to which the consultant invoices against. It is the IC’s responsibility to invoice regularly; preferably no more than monthly no less than quarterly. The PI is responsible for assuring the IC’s services are in line with and scope of work for the agreement. The PI will sign the invoice verifying they are satisfied with the services provided thus far and submit the signed invoice to Accounts Payable in Titan Hall-ASC. The Sponsored Programs Administrator will review and approve for payment at which time Accounting will process for payment. The IC must indicate “FINAL” on the final invoice. The contract will be closed and any remaining funds encumbered on the account will be disencumbered and if the terms and conditions allowed available for other project related costs. ASC will always hold normal business terms of Net 30. After all approvals are obtained and no issues arise, invoices will be paid within 10 days.
Subrecipients

Description
A subrecipient is a legal entity to which a subaward is made and which is accountable to the ASC for the use of the funds provided. Activities of a subrecipient have significant impact on the total project with distinct deliverables for work that is unique to the project. The regulations and provisions of the prime sponsor are passed down to subrecipients and funds awarded to them are for the express purpose of project related expenditures as defined in their approved budget.

Subcontracting
If a subcontractor was proposed in the budget to the sponsor, then a Sub-Award agreement will be drafted with the contracting agency. If a sub-recipient was not proposed in the budget to the sponsor, but the PI would like to subcontract part of the work to a separate agency or change a previously named subcontractor prior sponsor approval may be required.

To initiate a sub-agreement during the proposal stage, the PI should complete the Subcontract Issuance Request Form and submit it to the Office of Grants and Contracts (OGC). OGC will walk through the entire sub-agreement process and work with the perspective subrecipient to ensure that the required forms, scope of work, budget and assurances are completed and in line with sponsor instructions.

If an amendment is needed to revise part or all of the original sub-agreement after the award has been made, please work with your Sponsored Programs Administrator to complete the Subcontract Form.

In most cases sub-agreements are set up yearly. In cases where a PI is given a multi-year award, the PI and OGC Administrator should work together to 1) determine the continued use of the subrecipient, 2) determine if any changes to the existing agreement are needed and 3) ensure timely submission of the subcontract form to OGC for submission and negotiations with the subrecipient.

Subrecipient Invoicing and Payment
Most sub-agreements will state invoicing should be completed no more than monthly and no less than quarterly. The Subrecipient is responsible for submitting invoices and any required deliverable reports or progress reports to: Titan Hall-ASC based on the terms and conditions of the sub-agreement. Depending on the risk assessment of the subrecipient, some subrecipients may be required to submit additional financial supporting documents with their invoices. The ASC will forward invoices to the PI for review and approval. It is the responsibility of the PI to review the invoice and deliverable/progress report to verify the Subrecipients progress is in compliance with the proposed scope of work. If the PI is satisfied with the invoice he/she will sign and return to: Titan Hall-ASC The Sponsored Programs Administrator will review the financial portion of the invoice including any supporting documents applicable and either approve for payment or return to the PI or Subrecipient with concerns or issues.

ASC will always hold normal business terms of Net 30. After all approvals are obtained and no issues arise, invoices will be paid within 10 days.

Subrecipient Monitoring
ASC Office of Sponsored Programs is responsible for monitoring the programmatic and financial activities of its subrecipients to ensure proper stewardship of sponsor funds.

OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR 200) ("Uniform Guidance"), specifically §200.331, requires pass-through entities to evaluate each subrecipient’s risk of noncompliance in order to determine the appropriate monitoring level, monitor the activities of subrecipient organizations
to ensure that the subaward is in compliance with applicable Federal statutes and regulations and terms of the subaward, and verify that subrecipients are audited as required by Subpart F of the Uniform Guidance.

### Hospitality and Meeting Expenses

The Hospitality Policy provides definitions, guidelines, and method for purchasing meals and items related to hospitality and meeting expenses.

Hospitality expenses are normally not allowable on sponsored projects, unless the proposal narrative addresses these activities as an integral part of the program or approval is obtained by the sponsor. However, in certain instances food purchases for a meeting may be allowed as part of the approved project budget for a sponsored project. An example would be a professional meeting or workshop that runs for several hours and technical information is disseminated. In this case, a meal may be offered to the Official Guests in order to maintain continuity of the meeting. The following apply for all sponsored projects:

1. Expenditures for food, light refreshments, incentives or promotional materials must be specifically identified in the sponsor approved budget.
2. Expenditures must be allocable to the specific project and allowable in accordance with A-21.
3. Expenditures may not be used to pay for food and beverages for business meetings attended only by employees of the same immediate work location unless specifically identified in the sponsor approved budget.

Expenditures must conform to the specific requirements of the sponsoring agency.

The following is required to determine if such meeting expenses are allowable:

1. Agenda of meeting including start and end time
2. List of participants including work location of each participant (i.e. Jane Smith, CSU Long Beach)
3. Statement regarding the purpose, reasonableness and necessity for meeting pertaining to the sponsored project and a schedule showing a working meal (if applicable)

Expenses allowed on approved meetings, conferences, symposiums etc.:

1. Meetings with a timeframe of 4 hours or less – no expenses allowed
2. Meetings with a timeframe of 5-6 hours – light refreshments such as beverages, hors d’oeuvres, pastries, cookies, etc.) are allowable

Meetings with a timeframe of 6 hours or more – meals either catered or provided at a restaurant are allowable

### Meals

It is important to identify the number of participants for such events prior to the meeting/conference/symposium etc. The purpose for properly identifying the number of participants is to not purchase more items or meals than necessary. If the event is scheduled to have more than 10 participants than participants should be required to RSVP (2-3) weeks prior to the event so that the official number of participants or close to it can be recorded and appropriate items/meals can be purchased with that official number.

It is understandable that if individuals that have not RSVP’d attend that meals/items be provided for these individuals within reason. This is why it is important to work closely with your Sponsored Programs Administrator to determine how to account for individuals who have not RSVP’d but may still be expected. It is also important to work closely with the vendor (i.e. catering company) because the vendor may only bill for the actual number of meals provided OR they might bill based on the estimated quote which may be higher than the actual number of meals provided.
Room Rental
If the meeting will not be held on campus, i.e. renting a conference room in a hotel, an agreement will usually be required by the hotel/property. This agreement will **always** need to be between the property and Auxiliary Services Corporation (ASC) and the signer will **always** need to be our Executive Director if payment for the room rental or related costs will be coming from a Sponsored Project. If a conference or meeting is taking place where a room rental is needed the agreement from the property/hotel needs to be provided to ASC no less than 30 days prior to the event so that the Sponsored Programs Administrator has adequate time to review and submit to the Executive Director for review and signatures.

Methods to Purchase Meals or other Hospitality Expenses
For approved catered events, all vendors must be either already on the approved vendor list OR approved separately by providing your Sponsored Programs Administrator a copy of the vendors business license and certificate of insurance prior to setting up any arrangements for catering.

There are (3) methods for purchasing meals or other hospitality items that are allowable on sponsored projects.

1. Out of pocket expenses – If expenditures are made out of pocket than the individual needs to:
   a. complete a Check Request Form
   b. obtain signatures from appropriate signers
   c. attach to the completed and signed check request form
      i. **original itemized receipts or invoices**
      ii. Agenda of meeting, conference, symposium etc., including start and end time
      iii. List of participants via sign in sheet or registration list including work location of each participant (i.e. Jane Smith, CSU Long Beach)
      iv. Statement regarding the purpose, reasonableness and necessity for meeting pertaining to the sponsored project

2. Purchase Order Form
   a. The PO form can be used if the vendor allows ASC to provide them a PO# before the event and bills ASC after the event is complete
   b. Obtain quote from the vendor
   c. Complete the Purchase Order Form
   d. Submit PO Form, quote, appropriate documentation for event/meeting to Sponsored Programs Administrator for approval
      i. Such appropriate documentation for event/meeting includes flyer, tentative agenda, etc. stating when, where, and purpose of such event/meeting
   e. If the sponsored programs administrator approves the PO, the requestor will be given the PO# to provide to the vendor.
   f. After the event/meeting, the vendor will send final invoice stating PO# to: Titan Hall-ASC to process payment

3. P-Card – this method should only be used after speaking with your Sponsored Programs Administrator to determine allowability
   a. Upon reconciling P-Card statement attach original itemized receipts, agenda, list of participants, and statement regarding purpose, reasonableness, and necessity for meeting pertaining to the sponsored project
Travel

Description
For allowable travel expenses, ASC follows the State of California Travel Policy as Specified on the CSUF Travel Operations website. Employees undertaking business-related travel are required to submit a Travel Authorization 30 days before travel to: Titan Hall-ASC. All required approval signatures must be obtained to receive payment and/or travel advance. Individuals with delegated approval authority may not approve their own travel authorization/advance; furthermore, individuals may not approve travel authorization/advance of their supervisor. Reimbursable costs include transportation, lodging, subsistence, conference registration and other related expenses. Travel costs are allowable when they are directly attributable to specific work under a sponsored agreement and have been included in the budget.

Travel Authorization and Travel Advances – Prior Approval
The CSUF Travel Authorization Form (for all state-side personnel and students) or Section I of the ASC Travel Form (for all ASC employees), which serves as prior authorization for travel, needs to be completed, signed by all appropriate parties, and submitted to the Office of Sponsored Programs 30 days prior to travel. Authorizations to travel must be submitted to the Office of Sponsored Programs before any purchases for the travel (airfare, lodging, registration etc.) are made on the P-Card or personal card.

For state-side personnel or students seeking an advance, the signed CSUF Travel Authorization Form must accompany the Check Request form indicating project number, object code, and dollar amount requested for advance. For all ASC employees seeking an advance, just indicate the requested dollar amount in the advance section of the ASC Travel Form.

If an advance is being requested, quotes for such expenses should be attached to the form. No advance will be issued to anyone who has an outstanding travel advance from a previous trip.

Foreign Travel
Requests for foreign travel and travel insurance should be submitted 90 days prior to departure date. Foreign travel is only allowed on Sponsored Projects if proposed to and approved by the Sponsor prior to award date. If foreign travel was not approved and PI or any project staff is seeking foreign travel prior sponsor approval in writing is required to be sent to the Sponsored Programs administrator. Foreign travel must be made on an American carrier unless a foreign carrier is approved by the sponsor.

Travel Expense Claim Form – Seeking Reimbursement
Travel reimbursement requests must be completed on the ASC Travel Form. Reimbursement requests and clearing of travel advances need to be completed within 30 days upon return of travel. The expense claim form must be signed by all appropriate parties (i.e. PI signs for project staff, chair or dean sign for PI).

The travel expense claim form needs to be accompanied by the following when submitting to: Titan Hall-ASC for reimbursement:

1. Copy of Travel Authorization Form (for all state-side personnel and students)
2. Original itemized receipts for meals over $25 (there is a maximum of $55 per day for meals)
3. Airfare itinerary
4. Itemized receipt for lodging
5. Receipt for conference registration
6. Agenda for Conference
7. Receipts for other business related expenditures
8. Receipts for all taxis or other means of transportation
9. Printout of MapQuest, Yahoo, or Google Maps if mileage is claimed

If for any reason an original receipt is lost or missing, the Lost Missing Receipts Verification Form should be completed in place of the receipt. Please keep in mind this form should not be used in place of multiple receipts and should not become common practice. It should only be used on rare occasion of lost or missing receipts.

If a traveler decides to take personal days while on approved travel, these days must to be noted on the Travel Authorization Form (which should be completed 30 days prior to travel and a copy submitted to the Office of Sponsored Programs). Also the traveler should contact their Sponsored Programs Administrator immediately to discuss other procedures and policies while travelling if personal days plan to be taken.

**Flowchart for State-Side Employee or Student Travel**

**More than 30 days prior to Travel**

- Traveler will complete CSUF Travel Authorization Form
- Submit original form to Travel Operations at least 30 days prior to travel
- Submit copy to ASC Titan Hall-ASC at least 30 days prior to travel
- If an advance is needed then also submit a check request and quotes

**Obtain appropriate approving signatures (i.e. Chair, Dean, etc.)**

**Traveler will complete CSUF Travel Authorization Form**

- Once approved by ASC, traveler will make appropriate travel accommodations within reason
- While traveling, traveler will keep all original itemized receipts
- Within 30 days of return, traveler will complete the ASC Travel form, attach all appropriate and necessary documents, obtain approving signature and submit to Titan Hall-ASC

**Submit copy to ASC Titan Hall-ASC at least 30 days prior to travel**

- ASC will review, contact traveler if needed, clear any outstanding advances, and reimburse

**Submit original form to Travel Operations at least 30 days prior to travel**
Flowchart for ASC Employee Travel

More than 30 days prior to Travel

Traveler will complete Section I of ASC Travel Form; if an advance is needed just indicate on the form in the appropriate section and attach necessary quotes

Obtain appropriate approving signatures (i.e. PI)

While traveling, traveler will keep all original itemized receipts

Once approved by ASC, traveler will make appropriate travel accommodations within reason

Submit original to ASC Titan Hall-ASC at least 30 days prior to travel

Within 30 days of return, traveler will complete the ASC Travel form, attach all appropriate and necessary documents, obtain approving signature and submit to: Titan Hall-ASC

ASC will review, contact traveler if needed, clear any outstanding advances, and reimburse

Mileage

Before any ASC employee can claim mileage on a Sponsored Project they need to complete the Drivers Application Form and submit the form, proof of insurance and a copy of current Driver’s license to: Titan Hall-ASC. The driver’s application should be completed by Human Resources during the new hire orientation meeting. ASC will review the items and may pull the driving record of an employee for further review.

When submitting an approved mileage reimbursement request (state-side employees or ASC employees) on a Sponsored Project there are (2) ways to submit:

1. Complete the ASC Travel Form and attach a MapQuest, Yahoo, or Google Maps printout of directions for every location
   a. On the ASC Travel Form it will need to state each date claimed on a separate line along with the purpose of the travel, # of miles from the printout of MapQuest, Yahoo or Google maps, and total amount will auto-populate
2. Complete check request stating total mileage claimed
a. Attached to the check request needs to be a Mileage Log stating each individual date being claimed for mileage, purpose of travel, and a printout of MapQuest, Yahoo or Google maps for each location
b. The mileage log is generally used when there are several entries (i.e. more than 9)

If the employee travels regularly please submit mileage no more frequently than monthly and no less than quarterly.

Since ASC follows the CSUF State policy for Employee Travel, the following are applicable when calculating mileage:

1. One a scheduled work day, traveler departs and/or returns to their residence, mileage is calculated from the lesser of the two locations (traveler’s headquarters or traveler’s residence).
2. One a scheduled work day, traveler departs from their headquarters and/or returns to their headquarters, mileage is calculated from the traveler’s headquarters to destination or from destination to traveler’s headquarters.
3. On a scheduled day off, mileage is calculated from the traveler’s residence.

Example Scenarios of Travel and Common Travel Questions and Issues

Example Scenarios:

1. A Faculty member (state employee) is going to attend an out of state conference on March 30th and is going to be purchasing airfare and registration on the P-Card
   a. Faculty member needs to complete CSUF Travel Authorization (TA). The form and all approving signatures need to be turned into CSUF Travel Operations no later than February 28th with a copy sent to the Office of Sponsored Programs.
   b. If the Sponsored Programs Administrator has any questions regarding the travel (i.e. allowability or necessity of travel) the administrator will contact the faculty.
   c. Upon approval of TA the faculty member can purchase airfare and registration. Airfare should be within reason (i.e. no upgrades).
   d. While at the conference, the faculty member will keep track of all necessary itemized original receipts
   e. Within 30 days of return from travel the faculty member will complete the ASC Travel Form, attach all itemized original receipts and other pertinent information as mentioned above, obtain approving signatures and submit to: Titan Hall-ASC.

2. An ASC employee is going to attend a conference and is seeking an advance for registration and airfare
   a. ASC employee will complete Section I of the ASC Travel form, and where it discusses advance, a dollar amount should be indicated. This form will need to be signed and submitted at least 30 days prior to travel. The advance request should also be accompanied by any necessary quotes; a printout from the airline indicating price, and a printout from conference website indicating registration.
   b. Accounts payable will cut a check at which point the employee will cash and purchase airfare and registration.
   c. Employee will keep all itemized original receipts.
   d. Within 30 days of return from travel the employee will complete the full ASC Travel Expense claim form, attach all itemized original receipts and other pertinent information as mentioned above, obtain approving signatures and submit to: Titan Hall-ASC.

3. Faculty member is going to attend a conference and is also requesting an advance.
   a. Faculty member needs to complete CSUF Travel Authorization (TA). The form and all approving signatures need to be turned into Travel Operations no later than February 28th. A copy of the form along with Section I of the ASC Travel Form, as well as any necessary quotes to accompany the advance, needs to be sent to the Office of Sponsored Programs by February 28th.
b. Accounts payable will cut a check at which point the employee will cash and purchase airfare and registration.

c. Employee will keep all itemized original receipts.

d. Within 30 days of return from travel the employee will complete the full ASC Travel Form, attach all itemized original receipts and other pertinent information as mentioned above, obtain approving signatures and submit to: Titan Hall-ASC.

Common questions and issues regarding travel:

1. Can I buy my own meals and get reimbursed for those meals even if the conference provides them?
   a. If the registration covers meals, then no, you will not be reimbursed for those meals.

2. If the conference ends on Thursday at noon can I fly home the next day?
   a. Speak with your Sponsored Programs Administrator, but generally no. With the conference ending at noon, this gives enough time for you to fly home Thursday.
   b. If you choose to stay until Friday, the hotel for Thursday night generally will not be covered. If there is a difference in airfare (meaning it would have been cheaper to fly home Thursday) then ASC will only reimburse you for airfare for what it would have cost for you to fly home Thursday.

3. My credit card provides me points for flying with United so can’t I just book with United?
   a. If United is the cheapest carrier then yes; however if there are cheaper domestic carriers then what is allowable is the most economical.

4. How many items can I check in for baggage claim?
   a. Only 1. There may be special circumstances but generally only 1.

5. My conference ends Thursday at noon, my flight isn’t until 8PM and there is an earlier flight home at 3PM. Can I change my flight and still get reimbursed?
   a. You will not be reimbursed any fees (i.e. change fees). And if the flight is now more expensive because of the change, you will only be reimbursed for what your flight would have cost if you left at 8PM.

6. I would like to take 2 personal days after the conference is over to go sightseeing. How do I go about dealing with this while making travel arrangements and what will I get reimbursed? Let’s use the example of the conference being in New York, Monday through Thursday
   a. Traveler would indicate on TA or ASC Travel form that personal days are going to be taken. Traveler would need to price out airfare for what it would cost if the traveler comes home on Thursday (if there were no personal days) and if the traveler comes home Saturday (with personal days included) and provide all documentation to ASC.
   b. Generally the airfare will be cheaper coming home on Thursday so ASC would only reimburse the cheaper.
   c. Traveler would not be reimbursed for any meals for Friday or Saturday, nor would the traveler be reimbursed for lodging for Thursday or Saturday.

7. Traveler for whatever reason didn’t turn in authorization within 30 days and submitted authorization 10 days prior to travelling.
   a. If a traveler is unable seek authorization to travel 30 days prior to travel and therefore doesn’t not purchase airfare or lodging 30 days prior to travel, the traveler will only be reimbursed within reason.
   b. For example, if the conference is in New York on March 30th and the traveler isn’t booking travel until March 20th and the airfare is $800, the traveler will only be reimbursed for approximately $500 since the norm to fly across country is approximately $450-$600. Also, if the conference is
at a hotel where there were blocked rooms at a rate of $140, but because the traveler is booking so late all of the blocked rooms are taken and now the rate is $200, the traveler will only be reimbursed the $140.

8. I am going to be attending a one-day meeting down in San Diego and will be coming home the same day so my only expense is mileage. Would I need to complete a TA or Section I of the ASC Travel form?
   a. No. As long as the mileage and meeting are within the scope of work of the sponsored project no prior authorization is required. In order to be reimbursed a Google, MapQuest, or Yahoo maps along with the ASC Travel Form is required within 30 days.

9. I am going to be attending a one-day meeting down in San Diego and will be coming home the same day but I am taking the train. Would I need to complete a TA or Section I of the ASC Travel Form?
   a. No. As long as the meeting is within the scope of work of the sponsored project no prior authorization is required. Upon return you would just need to complete the ASC Travel Form and attach your train ticket to get reimbursed.

10. I am going to be attending a meeting in San Francisco and would prefer to drive rather than fly. Will I be reimbursed mileage?
    a. With all cases, depending on the mileage rate, number of miles and cost for airfare, the lesser will be reimbursed. So if it is cheaper to reimburse to airfare to San Francisco rather than reimburse for mileage to San Francisco then ASC will reimburse for what airfare would have cost if you would have flown.

11. What if I am a state-side employee who is going to be having my college pay for part of the trip?
    a. On the CSUF Travel Authorization form, there is a section regarding who is to be charged. You would indicate the state side account to be charged and the amount you will be charging to the stated side; and then indicate the project number under “CSUF ASC Funds” and the amount you will be charging to the sponsored project. Then once you return your entire expense claim form is submitted to CSUF Travel Operations where they will review, then will send ASC a copy to review and once approved Travel Operations will charge the full amount indicated to the state funds and whatever is remaining they will bill ASC.
    b. For example you estimate your travel to cost $2000 and your department has committed to cover $1200. During authorization you would indicate your department code and then $1200 and then your project number and $800. Upon return your entire cost was only $1900 the department would be charged the full $1200 and ASC would pay the remaining $700.

**Equipment**

**Policy**
The ASC Fixed Asset Policy identifies, records, controls and manages all existing ASC assets and future assets to be acquired. Assets acquired by Sponsored Programs must ultimately be administered according to the appropriate funding agency’s guidelines. This policy outlines the periodic inspection and verification process, and elaborates on the procedure used to update the status of an asset as soon as it changes. Equipment purchased on a grant is defined by the ASC as “Any items which are usable for activities of the University as well as the ASC, such as research equipment, office equipment and furnishings, air conditioning, reproduction or printing equipment, motor vehicles, or any automatic data processing equipment which has an acquisition cost of $5,000 or more and has an expected life of one year or more.” Equipment purchases must follow the Bidding Process outlined in the Purchasing Policy.
With regard to equipment tagging, items costing greater than $500 will be tagged for tracking purposes. Also items costing less than $500 but deemed high-theft will also tagged for tracking purposes. It is up to the discretion of the Sponsored Programs Administrator and Accounting to determine what is considered “high-theft.”

All tagged items will be transferred to the University on a quarterly basis.

**Disposition after Award Closeout**

Equipment acquired through a grant/contract may not be sold, traded-in, scrapped, transferred to another grant or contract, or otherwise disposed of without the written approval of ASC. All equipment acquired through a grant/contract remains the property of the University until the grant/contract has ended. In some instances the sponsor may specify that any equipment purchased with sponsor funds remains property of the sponsor and once the contract/grant is complete the equipment needs to be transferred to the sponsor. In those cases property acquired through the grant/contract through the life of the agreement and thereafter remains property of the sponsor.

**Stipends, Scholarships, Honorariums & Research Incentive Payments**

**Stipends**

A stipend is usually a regular, fixed payment. The stipend recipient is usually a degree candidate. However, there are circumstances in which the recipient is not a degree candidate, or may not be a student at all, such as compensation paid to high school teachers for attendance at a training seminar on campus.

Stipends may be awarded for enrollment in and/or attending classes. Stipends may be in exchange for services provided to support a program, grant or project. Stipends may also be awarded to an individual to support his/her training and education. Stipends for non-CSUF students are paid in the same manner as student stipends. There is a difference in how the payment is reported to the individual at tax time.

**Stipend Payment**

In order to pay a stipend, the PI will need to complete the Stipend Form, the W-9 Form (only for individuals who are not CSUF Students), and the Check Request Form. If the “Yes” box is checked off for CSUF Student, the Office of Sponsored Programs will verify that the individual is a currently enrolled student. If they are not a currently enrolled student a W-9 Form will need to be provided for processing payment.

**Tuition for Students**

Some Sponsored Projects have proposed to pay certain student’s tuition for one or more semesters. This is considered a participant support cost.

**Tuition Payment**

In order to process payment for a student’s tuition the PI can either choose to pay the university directly or have the student pay first, and then have the student seek reimbursement.

1. Pay University Directly
   a. In order to pay the university directly the PI would need to complete the Check request form to pay CSUF Cashiers Office and attach to it each student’s proof of enrollment/registration for the current semester along with a printout of the total fees for each student.
b. ASC will pay the Cashiers Office directly and they will disburse the money to pay each student’s tuition.

2. Student Requests for Reimbursement for Tuition
   a. The student would need to provide the PI with proof of payment for tuition and a printout of their class schedule for the current semester. The PI will attach those documents to a completed Check request form made out to the Student.
   b. ASC will disburse the check directly to the student for reimbursement for that semester.

Honorariums
An honorarium is usually in recognition of professional services or contribution, where custom, propriety, or agreement precludes the payment of a standard business rate of compensation. An honorarium for a non-CSUF employee always involves services. A completed W-9 Form should be completed so that the ASC may document the honorarium recipient’s taxpayer number.

Honorarium Payment
In order to pay an honorarium, the PI will need to complete the Stipend Form, the W-9 Form (only for individuals who are not CSUF Students), and the Check Request Form.

Research Incentive
An incentive is a financial or otherwise reward to encourage participation in a human subject research study. PI’s are allowed to provide such incentive payments to individuals participating in research if specified in the approved budget. CSUF Institutional Review Board (IRB) is required to approve, in advance, the method and amount of compensation to any human research participant. Investigators may not deviate from the amount, type or timing of the payment without first obtaining a modification to their approved human subject’s protocol. An individual payment should be less than $50 unless prior approval from sponsor and IRB has been obtained.

If the amount paid to an individual participant during a calendar year is $600 or more, CSUF ASC is required to report such payments to the Internal Revenue Service. In such cases, anonymity of participants cannot be maintained. Project Principal Investigator (PI) is required to track annual human subject/incentive payments and notify CSUF ASC when the individual has received $600 or more in a calendar year. In such cases the recipient is required submit W-9 form and to sign a privacy waiver form.

Cash Payments for Research Incentives
Cash used to pay participants must be physically protected from loss at all times and reconciled periodically.

All fund transactions must be recorded in a “Cash Log” that includes:

- Date of the transaction
- Signature of participant acknowledging receipt of payment
- Subject ID code (alpha/numeric code assigned by researchers to protect the identity of participants)
- IRB protocol number
- Amount of payment
- Name of the person making the payment
The name of the participant cannot be disclosed unless the participant signed a privacy waiver (see above).

1) Cash Advances are issued to an Investigator upon receiving a completed Check Request (CK) form indicating on the form “IRB APPROVED CONFIDENTIAL DATA”.
2) Each cash advance must be cleared upon completion of the research or by the date specified on the cash advance, whichever comes first. When warranted, due dates may be extended by the Director of OSP.
3) To clear a cash advance, an Investigator must turn in the “cash log” and a copy of the cash Advance Check to the Office of Sponsored Programs located at Titan Hall-ASC.

Gift Card Payments for Research Incentives
Principal Investigators may purchase gift cards for distribution to human subject research participants. It is extremely important for PIs to avoid purchasing of excessive number of gift cards as the costs of undistributed gift cards/certificates will not be reimbursed. All gift cards must be locked up and secured to prevent theft.

All gift card transactions must be recorded in a “Gift Card Log” that includes:

- Date of the transaction
- Signature of participant acknowledging receipt of the gift card
- Subject ID code (alpha/numeric code assigned by researchers to protect the identity of participants)
- IRB protocol number
- Gift Card dollar value
- The person making the payment

The name of the participant cannot be disclosed unless the participant signed a privacy waiver (see above).

1) Purchase Order or Cash Advance (see I.1) may be provided for the purchase of gift cards
2) In order to clear the advance or seek reimbursement, copies of the back of the gift card (indicating gift card number) must accompany the Gift Card log and the original purchase receipt.

Check Payments for Research Incentives
Upon request from the PI, ASC may issue a check to a participant who submitted W-9 form and a signed privacy waiver form (see above).

1) PI completes a Check Request (CK)
2) Participant completes and signs a privacy waiver form and W-9 Form.
3) PI submits CK and the privacy waiver form signed by the participant to OSP

Any payments given to participants in medical research studies are subject to HIPPA laws. This law requires all information pertaining to those individuals remain confidential. It will be the responsibility of the Principal Investigator to insure that these records are adequately secured.
How to Complete Sponsored Programs Forms

OPAS

1. Complete Section I with PI's information
2. Write a justification for request for advanced funding
3. No more than 25% of the total proposed budget can be requested on an OPAS
   a. List dollar amounts in each object code (not just a lump sum)
4. Indicate what type of IDC base and percentage is being used (this should be at the same rate and base as the expected funding) so that Office of Sponsored Programs (OSP) can setup the 8131 object code (IDC Object Code)
5. Indicate if there are Human Subjects, Animal Subjects, or other compliance issues
6. Indicate what account ASC can use if funding is not provided so that all unallowable expenditures can be transferred to that account
   a. Agency Account
   b. IDC Account
   c. Other Discretionary Account
7. Obtain Signatures from PI, Chair and Dean
8. Submit OPAS to the Office of Sponsored Programs
   a. The OSP Director will review and either sign and provide to the Sponsored Programs Administrator to set up the new account or return to the PI
# 700-U Form – Conflict of Interest

## Conflict of Interest Form

### 700-U

The Office of Grants and Contracts will require this form to be completed during the Proposal Stage.

The Office of Sponsored Programs will require this form to be completed during close out.

---

### 1. Information Regarding Funding Entity

(Use a separate Form 700-U for each funding entity.)

- **Name of Entity:**
- **Address of Entity:**
- **Principal Business of Entity:**
- **Amount of Funding:**
  - Estimated
  - Actual

### 2. Type of Statement

(Chose at least one box)

- Initial (for new funding)
- Interim (for renewed funding)
- [ ] May 3, 2023

### 3. Filer Information

- **Type of Payment:**
  - [ ] Gift
  - [ ] Income

- **Amount:**
  - [ ] $0.00
  - [ ] $1.00 - $999.99
  - [ ] $1,001.00 - $10,000.00
  - [ ] $10,001.00 - $100,000.00
  - [ ] $100,001.00 - $1,000,000.00
  - [ ] $1,000,001.00 - $10,000,000.00
  - [ ] $10,000,001.00 - $100,000,000.00
  - [ ] $100,000,001.00 - $1,000,000,000.00
  - [ ] $1,000,000,001.00 - $10,000,000,000.00
  - [ ] $10,000,000,001.00 - $100,000,000,000.00
  - [ ] $100,000,000,001.00 or more

**Date Received:**

**Date Issued:**

### 4. Verification

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

**Date Signed:**

**Signature:**

(attach a current photo ID)

---

The Form 700-U is for university use only.

This statement is a public record under Gov. Code Section 10298.

FPFC Toll Free Hotline: 855/278-3772 www.fpc.ca.gov

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Clear Form  Print Form
Cost Transfer Request Form

Cost Transfer Request Form

1. Actual Journal Entry
   a. What project and object code are you transferring from (credit) and what project and object code are you transferring the expense to (debit)

2. Details of cost to be transferred
   a. What actual expense are you transferring
   b. For example if a materials expense, what was the post date, reference #, and description of materials expensed

3. Justification
   a. Answer questions 1 & 2 as a justification for the transfer.
   b. Answer questions 3 & 4 if the transfer is being requested for an expense more than 90 days after the post date

*** Please note transfers SHOULD not take place more than 90 days after the original post date

4. PI must sign transfer and submit to Sponsored Programs Administrator who will review and either approve and sign or return to the PI
Cost Match Form

Certification of Cost Share

The Sponsored Programs Administrator will complete this form based on the backup documentation received by the PI for any Cost Sharing.

It is the responsibility of the PI to carefully review, sign, obtain Chair or Dean signature and return to: Titan Hall-ASC.

PI must also provide supporting documentation for this form.
Personnel Transaction Form

Personnel Transaction Report
(PTR)

1. New hires need to complete this portion of their personal information
2. The effective date is the date the individual can start working
   a. The account number is to which project the employee’s salary and wages will be charged
   b. Action type determines the purpose of this form (i.e. to hire a new employee)
3. Employee classification
   a. Will this person be working 40 hours a week? 30 hours a week? Or a student at 20 hours a week?
   b. Based on guidance from HR during job description review will this person be salaried or hourly?
4. Pay Rate – indicate the rate of pay for this employee
5. Promotion change, work location and position
   a. Is this person receiving a promotion or reclassification?
   b. Will the individual work on or off campus?
   c. Will this person have supervisory authority, work with children, etc.?
6. Complete the department contact information
7. Complete this portion if the person is leaving the job
8. Signatures needed from the employee and supervisor; if approved the Sponsored Programs Administrator will sign
### Request for Reimbursed Release Time Form

1. Complete the information for the individual being released, Department and College name and Budget manager name.
2. Complete the project # and Project Title.
3. Indicate how many WTU’s are being released, annual salary, gross monthly salary and benefit rate, and no. of months.
4. Obtain all appropriate signatures.
5. The released salary amount and released benefit amount will auto-populate based on what was completed in #3.
6. Once the Office of Sponsored Programs has received the completed form the amount for salary and benefits will be encumbered and a PO# will be assigned for this form.

Once the Office of Sponsored Programs receives the invoice from the University for the salary, the OSP will reimburse the University for the released individual’s salary and benefit amount based on this form.
Effort Reporting

**Effort Report Form**

1. Review the project(s) the individual has been paid from during the certification period (this includes reimbursed time, overload, and committed cost share)
2. W Days represents number of days worked within the certification period
3. CP Days represents number of days in the certification period
4. The percentages are calculated based on the submitted and approved reimbursed time forms and faculty special consultant pay forms. Review the percentages for accuracy
5. Print, sign, and return to ASC. Forms may also be returned via e-mail at sdawes@fulleton.edu
### ASC Exempt Staff Monthly Certification Form

1. Complete individuals name and department
2. Enter the month and year this certification is for (must be completed monthly)
3. Complete section A with project #, funding agency, title project start and end date, PI Name and % effort
4. Complete section B with all projects not through Sponsored Programs
5. The sum of Section A and Section B should equal 100%
6. Print and sign
Purchase Order

1. Complete the vendor's information
2. Complete the Ship Merchandise to information (i.e. Bobby Smith in MH-235)
3. Complete who is requesting this Purchase Order #
4. Fill out the Quantity #, the item or product #, a description of the product, the project and object code # to which this expense should be charged, # of units, and the cost will auto-populate
5. Obtain appropriate signatures
6. Once the Purchase Order has been approved a PO# will be provided and the individual requesting the PO will be given a copy of this completed purchase order with # on top called a “Pink Copy”
7. Once the merchandise has been received and verified complete this section of the “Pink Copy”, attach the packing slip, shipping list, or invoice and submit to Titan Hall-ASC to process for payment
Check Request Form

1. Complete information regarding name and address for individual requesting reimbursement or payment for goods or services received.
2. Complete information for who is completing this check request.
3. Indicate whether the check if approved should be sent to the payee, department, or on RARE occasions with reasonable justification be held for pickup.
4. Describe the reason for requesting payment and indicate project # and object code for which this payment if approved should be charged.
5. Obtain appropriate signatures:
   a. Chair or Dean can sign for PI’s reimbursements.
Purchasing Card (P-Card) Application

The applicant needs to complete this application if they would like to request a P-Card for a Sponsored Project.

The form needs to be submitted to ASC Accounting in Titan Hall-ASC. The Sponsored Programs Administrator will review and if approved forwarded to the CFO for review. If approved, the applicant must attend a mandatory orientation to review the P-Card policy and receive the P-Card.
Independent Contractors Agreement

1. Indicate the date the agreement was entered into and the name of the Contractor/Consultant providing services on the Sponsored Project.

2. Enter the start and end date of the agreement.
   a. Be mindful that the contractor/consultant cannot begin work until this agreement is signed by all parties including the Executive Director/Designee in ASC.

3. Write out a detailed description of the services to be provided (i.e. Scope of work or Deliverables).

4. Enter the total amount of the contract.

5. Indicate invoicing terms.
   a. No more than monthly and no less than quarterly is preferred.
   b. ASC will not enter into a contract that states a portion of the contract is due upon signing contract (i.e. 25% of the contract due upon executing contract).
   c. ASC’s terms are Net 30 and will not sign an agreement that is less than Net 30.

6. Indicate the Project Number.

7. Obtain all appropriate signatures.

8. Once approved by all parties a PO# will be assigned and the full amount of the contract will be encumbered on the project.

*** Please note other papers were not included on this page but they are very important for the PI & contractor to read before entering into the agreement.
W-9 Form

1. Complete the personal information for the vendor or individual receiving payment
2. Complete the social security number for the individual or EIN number for the vendor receiving payment
3. Sign

*** Please note other papers were not included on this page but they are very important for the individual completing this form to read and review.
### Subcontract Issuance Request Form

**ASC Account Number:**

**Name of Subcontractor:**

**Please issue ( )**

- [ ] NEW
- [ ] AMENDMENT

**Amount funded by this action:**

**Subcontract Match:**

**Estimated Total funding if incrementally funded:**

**Estimated Total Project Period:**

**Invoicing instructions:**

- [ ] Monthly
- [ ] Quarterly
- [ ] Other, please specify:

**Expected deliverables and due dates (attach additional sheets as needed):**

**Reporting Requirements:**

**Special Instructions (if any):**

**Conflict of Interest Disclosure:**

1. I, my spouse or child has any ownership interest in the Subcontractor.
   - [ ] YES
   - [ ] NO
2. I, my spouse or child receive salary, income from parent, lease, or other engagement with the Subcontractor.
   - [ ] YES
   - [ ] NO
3. I, my spouse or child is a founder, officer, partner, trustee, or serve in a position of influence in the Subcontractor.
   - [ ] YES
   - [ ] NO

If any answer to the above is "YES," please provide supplemental information. Include a statement on how you ensure to maintain objectivity in designing, conducting, or reporting the project activity as a result of your relationship with the Subcontractor.

My signature below confirms my instruction to issue a subcontract/amendment to the organization noted above. I will be responsible for the oversight of Subcontractor’s Scope of Work, and its scientific and technical progress.

**Pi Signature:** ____________________________  **Date:** ____________________________

---

**Subcontract Issuance Request Form**

1. Enter the Project # and name of Subcontractor

2. Check if this form is being used to set up a new subcontract or amend a previous subcontract
   - If used to amend a previous subcontract enter the subcontract number

3. Enter the amount of the new subcontract or amendment
   - If revising a subcontract to decrease funds enter a negative amount

4. Complete invoicing instructions

5. Detail the scope of work/deliverables, any specific reporting requirements needed for this agreement, and any special instructions requested by the PI or Prime Agreement

6. Complete the Conflict of Interest Disclosure

7. Obtain PI approval and submit to the Office of Grants and Contracts (OGC)
Travel Authorization Form

1. This form needs to be completed 30 days prior to travel
   a. Complete information for the traveler
2. Indicate purpose of the trip, dates, and whether personal days will be taken during travel
3. Indicate who will be paying for the travel
   a. If a sponsored project is paying for the travel just indicate the CSUF ASC # and leave the rest blank
   b. #6 on the form states “Authorized Amount not to Exceed – if there is a dollar amount in that line the traveler will only be reimbursed up to that dollar amount stated regardless if their expenses exceed that amount
4. Sign and Obtain proper signatures
5. Submit a copy of this form to Titan Hall-ASC Office of Sponsored Programs 30 days prior to travel
Travel Advance Form

(Only Section I of ASC’s Travel Authorization and Expense Form)

This form needs to be completed 30 days prior to travel if requesting an advance along with the TA and appropriate quotes for items requesting an advance (i.e. lodging, registration, and airfare)

1. Complete traveler’s information
2. Indicate Project # to be charged the advance and the expense
3. Indicate departure date and return and purpose of trip
4. Indicate amounts requesting for advance
5. Obtain appropriate signatures
Travel Expense Claim Form

This form needs to be completed **30 days upon return of travel.**

1. Complete traveler's information
2. Complete departure date and location and return date and location
3. Indicate project # to charge this expense
4. If advance was taken indicate those amounts
5. Indicate each expense
   a. i.e. airfare, lodging, registration, meals, mileage, tolls, etc.
6. Indicate where the check should be mailed for reimbursement
7. Obtain appropriate signatures

*** Attached to this form should be the following:

- Agenda for conference or meeting
- Original itemized receipts for every expense
- If mileage is claimed - printouts of MapQuest or Google maps
- Airfare itinerary
Lost/Missing Receipt and Payment Verification Form

Complete this form if you have lost or misplaced the itemized original receipt to be claimed for reimbursement.

Please note this form should only be used on or for the rare occasion an individual loses or misplaces the itemized original receipt.
# Drivers Application

The CSU Fullerton Auxiliary Services Corporation (ASC) driving policy applies to all persons who are required or instructed to drive a company owned or leased vehicle or who drive a personal vehicle on company business. The ASC partners with the California Department of Motor Vehicles (DMV) to ensure that each employee who drives on company business maintains a driving record that meets the minimum requirements of the ASC’s insurance carrier.

## Forms

- **Drivers Application Form**
  1. Applicant needs to complete information regarding department, phone #, email address, and supervisor name
  2. Applicant must check off applicable boxes
  3. Applicant must read rules 1-9
  4. Complete section regarding license and insurance
  5. Applicant must check off boxes and provide copies of current insurance card and current driver’s license
  6. Applicant must review numbers 1&2 and initial as proof of acknowledgement and authorization

### Example Fillable Form

<table>
<thead>
<tr>
<th>Field</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>My Department</td>
<td>[Enter Department]</td>
</tr>
<tr>
<td>Campus Phone Ext.</td>
<td>[Enter Phone Ext.]</td>
</tr>
<tr>
<td>Email Address</td>
<td>[Enter Email]</td>
</tr>
<tr>
<td>Supervisor</td>
<td>[Enter Supervisor Name]</td>
</tr>
</tbody>
</table>

**ASC Human Resources to Complete:**

1. [Print Name]
2. [Address]
3. [City, State, Zip]
4. [Phone]
5. [Fax]
6. [Email]

**Driver’s License Number:**

- [State]
- [Expiration Date]

**Name of Insurance Carrier:**

- [Carrier Name]
- [Expiration Date]

**Employee Signature:**

- [Signature]
- [Print Name]
- [Date]

### Certification

- [Driver’s Signature]
- [Date]

**Driver has provided proof of insurance:**

- [Yes/No]

**Driver has provided current driver’s license:**

- [Yes/No]

1. I understand that use of my personal vehicle for ASC business, my insurance rather than the ASC’s will be primary and first coverage to apply. Claims that are greater than my insurance policy may be covered by the ASC insurance policy. ASC has no obligation to reimburse me for any deductible amount due to my insurer. [Initial]

2. I hereby authorize the CSU Fullerton Auxiliary Services Corporation to disclose or otherwise make available my driving record to my employer, CSU Fullerton Auxiliary Services Corporation. I understand that my employer will enroll me in the Employer Pull Notice (EPN) program to receive a driver record report at least once every twelve (12) months or when any subsequent conviction, failure to appear, accident, driving license suspension, revocation, or any other action is taken against my driving privilege during my employment. I am not driving in a capacity that requires mandatory enrollment in the EPN program pursuant to California Vehicle Code (CVC) Section 18081.1(a). I understand that enrollment in the EPN program is in an effort to promote driver safety, and that my driver license report will be released to my employer to determine my eligibility as a licensed driver for my employment. [Initial]

### Rules:

1. Applicants must complete information regarding department, phone #, email address, and supervisor name.
2. Applicants must check off applicable boxes.
3. Applicants must read rules 1-9.
4. Complete section regarding license and insurance.
5. Applicants must check off boxes and provide copies of current insurance card and current driver’s license.
6. Applicants must review numbers 1&2 and initial as proof of acknowledgement and authorization.
Mileage Log

There are (2) options for requesting for reimbursement for mileage:

- Complete the Travel Expense Claim Form and complete the columns for date (day of travel – a line for each day), location (purpose of travel), and miles (# of miles to and/or from location)
  a. Attached to the claim form should be any further documentation for mileage (i.e. any appropriate meeting minutes or agenda’s), and a MapQuest or Google Maps print out showing miles to and from each location

OR

- Complete the Check Request Form and attach the above Mileage Log along with a MapQuest or Google Maps print out showing total miles to and from each location and any other appropriate documentation such as agenda’s or meeting minutes
  1. Complete information for individual requesting mileage reimbursement
  2. Enter dates in the “For Period” (i.e. March 1-March 31)
  3. Each travel date should have its own line OR each travel should have its own line
    a. For example each day should be listed on its own separate line
    b. OR if there were multiple locations travelled on 1 day then list each location and purpose
  4. Enter the starting location for each trip (See Travel Policy to determine start location (i.e. whichever is closer – headquarters or home))
  5. Enter destination for each trip
  6. Describe the purpose of the trip (i.e. Advisory Board Meeting)
  7. Enter total miles for that particular trip
  8. The total calculated on the mileage log should match the total requested reimbursement on the check request
**Stipend Form**

1. Enter project # to which this stipend should be expensed
2. Enter name of individual receiving stipend
   a. If a student or someone else on campus enter CWID#
3. Check off applicable boxes
   a. If CSUF Student check Yes, if Non-Student check Yes
4. Enter address for individual receiving stipend
5. Enter start and end date for stipend and amount to be paid by this stipend
   a. Stipend can be for one month or an entire semester
6. Detail the reason for the stipend
7. Obtain appropriate signatures

<table>
<thead>
<tr>
<th>Name</th>
<th>CSUF Student</th>
<th>OTHER Student</th>
<th>NONE-Student</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>YES</td>
<td>NO</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Address</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Stipend Pay Period Start Date</th>
<th>End Date</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Requesting Stipend in the Amount of $</th>
</tr>
</thead>
</table>

* A Stipend can either be compensation for services rendered or a scholarship/fellowship where no service is performed. Stipends are paid through the Payroll Department. Scholarship/fellowship Stipends are paid through Accounts Payable Department.

**Reason for Stipend** To be completed by Dept.

**Stipend Recipient Signature**

**Principle Investigator/Project Director**

By signing this request, the PI and/or Authorized Signatory acknowledges that these expenditures are authorized per the terms and conditions of the Grants/Awards.
Gift Card Log & Waiver of Privacy for Participants receiving more than $600

**Gift Card Log**

If the grant has approved participants to receive gift cards, then this log is required. The PI is responsible for keeping all original itemized receipts for purchase of gift cards. The PI must then make a photo copy of the back of all gift cards where the gift card number is shown. That gift card number should be written under the column “Gift Card Number” in the log. The person that receives a gift card will then need to sign by the gift card number of the card they have received. In order to clear this expense and charge to the grant appropriately, the PI will need to submit the itemized original receipt, the completed and filled gift card log, and the photo copies of the gift cards.

<table>
<thead>
<tr>
<th>Gift Card Number</th>
<th>Student Name</th>
<th>Date Distributed</th>
<th>Student Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>179-345-009</td>
<td>Jackson Smith</td>
<td>1/31/2012</td>
<td>Jackson Smith</td>
</tr>
</tbody>
</table>

**Waiver of Privacy for Participant Payments**

Some projects that are subject to HIPPA laws will not have to complete the gift card log with the participant’s names; however in the event a participant receives over $600 in one calendar year, the participant will need to sign this waiver of privacy since the IRS dictates that any payment received over $600 in one calendar year must be reported to them for tax purposes.
OMB Circular and Sponsor Links

National Institute of Health Grants Policy Statement

U.S. Department of Education EDGAR

National Science Foundation Proposal & Award Policies & Procedures Guide (PAPPG), (NSF 16-1) has been issued. The new PAPPG will be effective for proposals submitted, or due, on or after January 25, 2016.

Significant changes include:

- Enforcement of 5 p.m. submitter’s local time across all NSF funding opportunities;
- Implementation of NSF’s Public Access Policy;
- Submission of proposal certifications by the Authorized Organizational Representative (AOR) concurrently with proposal submission;
- NSF’s implementation of the US Government Policy for Institutional Oversight of Life Sciences on Dual Use Research of Concern;
- Provision of Collaborators and Other Affiliations information as a new single-copy document, instead of as part of the Biographical Sketch;
- Submission of Biographical Sketches and Current and Pending Support separately for each senior personnel;
- Electronic signature and submission of notifications and requests by the AOR only;
- Revision of timeframe for submission of final project reports, project outcomes reports and financial closure of awards to 120 days after the award end date; and
- Numerous clarifications throughout the document.

2 CFR 200 Subpart E Cost Principles

Read the full Uniform Guidance 2 CFR 200
Listed Revisions

- Revision to Travel Section in Handbook       04/11/2014
- Revision to Purchasing Section in Handbook  04/11/2014
- Revision to Effort Reporting Policy, Procedure, Form & Section in Handbook  02/23/2017
- Revision to Subrecipient Monitoring Policy, Procedure and Section in Handbook  02/23/2017
- Revision to Cost Sharing Policy and Section in Handbook  04/11/2014
- Revision to Equipment Section in Handbook & Equipment Policy  04/11/2014
- Revision of EO890 to ICSUAM 11000.  02/01/2017
- Addition of Section on Reporting Requirements  03/24/2017