CSU’s Defining Purpose and Objectives for Auxiliary Organizations

“Auxiliary organizations exist because the state recognized the need for certain activities at the campuses and the CSU, but determined that these activities would be best performed by one or more nonprofit organizations having a legally separate relationship with their respective campus or the CSU.”

Title 5, section 42401

Sponsored Programs Purpose

• “To conduct post award administration function, faculty scholastic work, and finance and administration of various academic and administrative units…….”
• To provide a “reasonable and effective administrative, accounting and finance system for grants/contracts transactions” during the term of the external funded projects.
Sponsored Programs Goal

• To meet all the accounting, auditing and reporting requirements of the state and federal regulations, and terms and conditions of contracts
• While providing up to date accurate services to our account holders,
• In a friendly, non-bureaucratic manner.

Office of Sponsored Programs

What Do We Do?

• Review and sign off on pre-award proposals
• Manage the fiscal aspects of the grant from notice of award to close-out.
• Insure that expenditures meet the requirements of sponsors, chancellor’s office, state requirements, and standard/acceptable accounting practices.
• Payroll and HR: recruitment, benefits, classification for all grant/contract employees
• Fiscal/Compliance management for all grants/contracts
### And Do…

- Invoice and collect reimbursements from the Funding Agencies
- Monthly reports to principal investigators; online access to view account director’s report
- Weekly, monthly, quarterly, annual, and final fiscal reports to funding agencies
- Faculty release time payments
- Faculty additional pay (overload)
- Travel and advance fiscal management
- Assist and advise on reasonable, allowable, and allocatable expenditures and procedures

### And Do...

- Indirect cost proposal development and negotiation
- Indirect cost recovery
- Indirect cost reallocation – Colleges, Units, Departments
- Assist with cost sharing identification and reporting
- Assist with effort reporting
- Procure necessary insurance coverage
- Liability protection for University

### Other Things We Can Do

- Advance funding for federal, state, and local government grants and some foundation grants
- Budget projections
- Assistance with multiple grant management
- Human resources assistance and consultation
- Monitoring sub-recipient
- Project No-cost extension
- Obtain funding agency approvals – budget, extension
Conducting Quality Assurance

- We stay up to date on research administration rules and regulations.
- We participate in the ASC’s annual independent audit.
- We conduct the federally required A-133 audit, insuring compliance, and collect audits from subcontractors.
- We prepare for and respond to Chancellor’s Office, state, federal, and other outside audits.

CSUF ASC Post Award Administration Work Flow

Sample Notice of Award
Sample Control Record

Sample of Consultant Pay Request Form

Sample of Reimbursed Released Time
Sample of Cost Match Report Instructions

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**What is Effort Reporting?**

- Certification of effort is required by OMB-A21.
- Employees on federal and federal pass-through projects must certify effort.
- Effort reporting assures federal sponsors that faculty members are working on the projects for which they are being paid.
Effort certification provides a record of 100% of employee effort over all institutional services. The person completing and signing the effort certification must have “suitable means of verification” of the effort expended.

Why is Effort Reporting Important?

Failure to comply with effort reporting may lead to major disallowances and fees to the ASC and the University, and may lead to Criminal and Civil Liability for individuals. Civil Liability falls under the False Claims Act. Those who knowingly submit false claims for payment of government funds are liable for treble damages plus civil penalties.

Recent Findings:

- Northwestern University – $5.5 million, plus costs, attorneys’ fees and disallowances.
- In the Cantekin case, the U.S. Court of appeals for the Third Circuit held both the researcher and the institution liable under the federal False Claims Act.
- University of Chicago – paid a combined $650K to settle charges. The University reportedly paid $250,000, while the PI accused of the impropriety reportedly paid $400,000.
Sample of Effort Report
Instructions

1. Verify name and department
2. Review the list of accounts and the budgeted effort associated with each account to ensure the list is complete.
3. Enter actual effort for each line in Section A.
4. Enter actual effort for each line in Section B.
5. Enter actual effort in Section C (optional).
6. Enter any comments or notes you would like to make in Section D.
7. Make sure total effort equals 100%.
8. Sign.
9. Date.
10. Return to CP-275.
Example

- Dr. Smith’s salary was $30,000 for Fall 2006 and her activities were:
  - Released Time: 6 Units for project 50000 funded by NIH, 3 units of which were cost shared by her department. This project is under the direction of Dr. Michael Jones.
  - Released Time: 3 Units for project 50001 funded by NSF. Dr. Smith is the P.I. on the project.
  - Teaching: a 3 unit class.

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### Discussion

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FREQUENTLY ASKED QUESTIONS

Q. How do I request a budget transfer and how will I know if it is allowable?
A. A budget transfer can be requested by an email or memo to the Sponsored Programs Coordinator who is assigned to the account. Once the SPC receives the budget transfer, she will review the ability of the transfer and funds are available.

Q. What do I need to process to pay an individual from my account?
A. If an individual who has never worked by the ASC will need to complete a new hire package. Meeting with your SPC and ASC will assist in determining what paperwork to complete.

Q. How do I get a purchase order from my account if it has already been paid?
A. Contact accounts payable and make them aware of the problem.

Q. How do I estimate how much I would spend from my grant for salaries if I have several individuals paid from a specific category?
A. Contact your SPC to coordinate the best method of estimating the expenses. You will need to have a good idea on who you are paying and hourly rate. SPC will review the account detail expense report to assess what type of salary and benefits costs have accrued on your account and assist you in estimating future costs.

Q. How do I submit a no cost extension of my project?
A. All sponsors have different methods of submitting requests. You will need to coordinate this request with your SPC as soon as you realize that you need extra time to complete the scope of work. It is recommended 90 days prior to the project end date for sponsor’s approval.

Q. How and when do I properly submit my progress report?
A. Follow the grants terms and conditions.

Q. What is the balance in my account?
A. Our office can give you the information, or you can contact OSCoordinators to get on line access to your accounts.

web site: http://www.csufasc.com/sponsoredprograms for more information