



**Office of Research and Economic Development (ORED)
Sponsored Programs**

PI AWARD ADMINISTRATION GUIDE

Congratulations on your new award! The Office of Research & Economic Development is here to assist you with administering this project. The PI Orientation Guide is designed to cover key highlights of the regulations and requirements from the funding agencies.

If you would like to schedule a one-on-one training session, please feel free to contact your Grants and Contracts Administrator (GCA) to set up a virtual or in-person meeting to review the specifics of your grant. This is an option for all PI's, Project Directors, or Project staff. If this is your first award it is a helpful overview of how to manage your award, if you are seasoned PI, this is an opportunity to review updates and stay up to date with changes in ORED and with campus processes.

PURPOSE

This guide provides Principal Investigators (PIs) and project personnel with an overview of sponsored project administration requirements, roles and responsibilities, compliance expectations, financial stewardship requirements, and available institutional resources.

AUTHORITY

This guide is intended as a general administrative resource and does not supersede sponsor terms and conditions, federal regulations, California State University policy, California State University Long Beach policy, CSULB Research Foundation requirements, collective bargaining agreements, or applicable laws and regulations. In the event of a conflict between this guide and sponsor requirements, the sponsor requirements shall prevail.

OVERVIEW

All work described in the scope of work must be completed within these award dates. Non-payroll expenditures (e.g. supplies) should be ordered no later than 60 days prior to the end date of the project and used by the end date of the project. If additional time is needed or the deliverable dates need to be changed, please contact your assigned GCA 90 days prior to the deliverable due date or end date.

Reporting Requirements: Refer to your award notice or contract for a full list of all project reports and their due dates. Please provide your GCA a copy of all reports submitted to the agency.

Failure to Comply: The sponsor awarded this grant to carry out the tasks and objectives that were detailed in the proposal. These tasks and objectives must be performed with a standard of care equal to, or greater than, the degree of skill and diligence ordinarily expected from higher education professionals. Furthermore, the agency expects compliance with all rules, regulations, policies, and procedures that are set forth by the sponsoring agency and by CSULB. Failure to meet the objectives of the award in a timely and professional manner or comply with the governing regulations and

policies may result in serious consequences including, but not limited to, nonpayment, loss or reduction of future awards and loss of the current award.

Budget: Attached is a copy of your budget with the expense codes to use when requesting payment. Budget modifications may need prior approval from the funding agency's Administrative Officer.

Financial Responsibility: It is the Principal Investigators' responsibility to manage and maintain an understanding of their budgets, expenses charged, and account balances on a regular basis. Financial information is accessible through the Data warehouse. Regular reports are provided by the GCA and on demand reports are available by request. Data Warehouse training for sponsored program management is available through Project Support Services.

Project Employee Oversight: The Principal Investigator is considered the supervisor of the employees hired on their grants. As such, the PI must follow the CSULB Research Foundation (FDN) Human Resources policies and procedures.

RESPONSIBILITIES

Principal Investigator

- Conducting the project in accordance with the approved scope of work.
- Meeting sponsor performance expectations and project deliverables.
- Ensuring expenditures directly benefit the sponsored project.
- Monitoring budgets and available balances.
- Reviewing financial activity regularly.
- Complying with applicable sponsor, university, foundation, and regulatory requirements.
- Maintaining required compliance approvals.
- Submitting technical and programmatic reports on schedule.
- Working with Sponsored Programs before implementing significant project changes.

Grants and Contracts Administrator (GCA)

- Award setup and administration
- Financial oversight and compliance monitoring
- Confirming expenditures are *Allowable, Allocable, Reasonable, Necessary*, and consistently treated as well as adequately documented
- Prior approval requests
- Award modifications
- Subaward administration and monitoring
- Financial reporting coordination
- Award closeout

Project Support Services (PSS)

- Purchasing coordination
- Personnel actions
- Payroll coordination
- Operational support
- Research Foundation administrative processes
- Communication among project personnel, Sponsored Programs, Foundation administrative offices, and CSULB campus accounting and business partners

- Sponsored Program specific system training (e.g. Data Warehouse, PeopleSoft, CSUBuy, and Concur)

Financial Stewardship

In coordination with the assigned GCA, PI's are primarily responsible for:

- Ensuring that expenses are regularly reviewed
- Cost share commitments are met
- Pending obligations are documented and communicated
- Project timelines are managed properly
- Sponsor reporting requirements

Questions concerning expenditure allowability should be directed to your GCA before costs are incurred whenever possible.

Personnel and Payroll

Personnel hiring, onboarding, payroll processing, employment classifications, and related personnel actions are administered through the CSULB Research Foundation. Because personnel procedures, forms, and requirements may be updated periodically, investigators should refer to current Research Foundation resources when initiating personnel actions.

Project Support Services is available to assist with coordinating personnel-related activities and navigating Research Foundation processes.

FDN hiring forms and resources:

- Website: <https://www.csulb.edu/research-foundation>
- HR & Payroll Forms: Found alphabetically on website under Forms/Human Resources <https://www.csulb.edu/research-foundation/forms>

Purchasing and Procurement

All purchases charged to sponsored projects must:

- Directly support project objectives.
- Be allowable under sponsor requirements.
- Comply with applicable procurement requirements.
- Be supported by appropriate documentation.

Project Support Services is available to assist with procurement coordination and administrative questions.

Payment: Receiving funding for your proposal does not mean that the Research Foundation also receives a cash payment, except in rare instances. Your GCA submits requests for payment as required by the award document. Invoicing is made on the following basis:

Cost-reimbursed: Project account is set up. PI can spend according to the award budget. ORED invoices the agency after expenses are incurred.

Fixed Price: Project account is set up. PI can spend according to the internal budget. ORED invoices the sponsor according to a fixed payment schedule or upon completion of task deliverables. At the conclusion of a fixed price agreement, provide GCA with a copy of the final deliverable. Any

remaining balance will be dispensed according to the University's policy on fixed price agreement residuals. Contracts with a significant unspent residual may need a written justification and possibly an approval from Academic Affairs before funds can be transferred to a residual account.

When the PI submits the Final Report, the GCA must be notified to complete the Final Billing of the sponsor.

Allowable/Unallowable Costs: We are required to follow the cost accounting standards defined by the federal government's Office of Management and Budget (OMB), the Code of Federal Regulations (CFR), individual agency regulations and campus policies. These regulations and policies define what types of costs are allowed on grants and contracts and how they should be allocated. Generally, hospitality expenses (e.g. food, alcohol) are not allowed. Meeting expenses often fall under this category. If an unallowable cost is submitted, the expense will not be reimbursed. Depending on the circumstances involved, any cost incurred may require an explanation or justification before it is charged to a specific project.

Prior Approvals: Governmental funding agencies typically require that they be notified prior to the following events:

- Incurring expenses prior to the start date of the award (pre-award spending)
- Absence of the Principal Investigator for three or more months
- Change of Principal Investigator
- Significant reduction of the Principal Investigator's level of effort

Effort reporting: Salary and wage charges to sponsored projects must be supported by work performed in furtherance of the project and must comply with sponsor requirements, applicable regulations, and institutional policy.

Principal Investigators are responsible for:

- Reviewing salary and wage charges for accuracy and appropriateness.
- Monitoring effort commitments made to sponsors.
- Ensuring project personnel perform the work charged to the award.
- Promptly notifying Sponsored Programs of significant changes in committed effort, key personnel involvement, or project responsibilities.

Faculty and staff may be required to complete effort certifications or other forms of payroll verification as required by the sponsor or institution. ORED Sponsored Programs provides guidance regarding applicable requirements, timelines, and documentation expectations.

Expendable Property: Durable items, such as computers, printers, and digital cameras, costing less than \$5,000 per unit often appear in the supplies expense category. These items are tagged as property. Expendable property is typically not an allowable expense when acquired towards the end date of the award. Contact your GCA before making these types of purchases. Purchase orders are required if the per unit cost is \$10,000 or more.

Equipment Requirements: The purchase of equipment must be handled through the Procurement via purchase orders. Equipment affected by property policies includes capitalized equipment with a cost per unit greater than \$5,000. Once delivered, the equipment must be tagged and tracked through property.

Cost Sharing: Cost-sharing (or matching) is that portion of project expenses over and above what the funding agency provides. Cost-sharing can be in the form of cash or in-kind goods and services. Cash matching must be documented by actual expenditures being paid from a source other than the grant. In-kind cost-sharing must also be documented via certified statements of work or certified letters from the parties providing the cost-sharing. Cost sharing documentation is auditable. As expenditures are incurred to meet internally supported cost sharing requirements, the PI and the College are responsible for providing the supporting documentation to ORED to ensure that adequate records are kept of audit purposes.

Subcontracts: A subcontract (also called a subaward) is issued if a separate organization will be providing a substantial contribution to the scope of work. When a subcontract is issued, the Principal Investigator will be required to provide additional oversight of the subcontractor and their work.

Acknowledgement/Publicity Requirements: It is good practice to acknowledge your funding agency on any materials that you plan to disseminate. Please be sure to review your award for specific information regarding publicity.

COMPLIANCE

NIH Publication Requirement: All articles arising from NIH funds must be submitted to PubMed Central upon acceptance for publication. Detailed information is at <http://publicaccess.nih.gov>.

Data rights: Data rights are handled in many ways by different funding agencies/contractors.

Data Management Plan: NSF requires that research results are disseminated and shared in accordance with the approved Data Management Plan submitted with the proposal.

CSULB has also provided guidelines for Storing Files on University-Approved Cloud File Storage Service. Please see link below.

<https://www.csulb.edu/information-technology/information-security/protect-your-data-and-devices>

Research Security: Investigators are responsible for providing complete, accurate, and timely disclosures as required by sponsors and institutional policy. Certain sponsors require disclosures and certifications related to:

- Foreign affiliations
- Foreign appointments
- Foreign collaborations
- Foreign support
- Research security training
- Talent recruitment program certifications

Responsible Conduct of Research (RCR) and Other Training: Certain federal awards such as training grants from NSF, USDA NIFA and NIH require that students and sometimes faculty undertake RCR training.

Research on Human and Live Animal Subjects: Most research involving humans or live animals will be subject to prior approval by the Institutional Review Board (IRB) or the Institutional Animal Care and Use Committee (IACUC).

Patent Rights/Intellectual Property: The CSULB policy for the patent/intellectual property rights of work developed by faculty, staff and students can be found on the ORED website.

Financial Conflict of Interest: Based on CSULB Financial Conflict of Interest Policy regarding disclosure and training requirements, Key personnel need to promptly submit FCOI disclosure form and complete CITI Online training course “Conflict of Interest” or CSU system online FCOI training.

Import & Export Control: If you will be conducting research abroad, you need to consider export control issues that will likely impact your research and travel. Examples of activities impacted by export control regulations include: direct export of a controlled item, access and/or use of a controlled item by a foreign national, travel to a restricted country, international and domestic collaborations, conversations involving controlled technology, and taking or shipping a controlled item out of the U.S., such as a laptop, etc.

Biosafety: Research with recombinant DNA (rDNA) is governed by the U.S. Department of Health and Human Services (NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules). Research project with rDNA should register with Institutional Biosafety Committee (IBC) to review/register.

Use of Unmanned Aircraft Systems (UASs, Drones): CSULB Research projects involving the operation of UAS (Drones) are subject to Federal Aviation Administration (FAA) rules and regulations and must registration with CSULB Unmanned Aircraft System Evaluation Board (UASEB) to acquire prior approval.

Conflict of Interest: Conflict of interest is disclosed at the time of proposal submission. Should any additional conflicts arise during the course of your project, contact your GCA.

California Form 700U: CSU regulations state that PIs who have signed a California Form 700U, Statement of Economic Interests for Principal Investigators, prior to acceptance of an award must have Ethics Training every two years. You will be notified via email by CSU Training to complete the online training.

- **For IRB related inquiries, please email IRB@csulb.edu. If possible, specify the IRB protocol number in the email subject line.**
- **For IACUC related inquiries, please email ORED-IACUC@csulb.edu. If possible, specify the IACUC protocol number in the email subject line.**

Closeout: At the conclusion of your grant, the GCA will work with you to close out your project. Your role in the closeout process includes sending a copy of the final report to the GCA (or other documentation that it was submitted to the sponsor), finalizing any outstanding allowable expenses, and providing any outstanding cost share documentation.

For additional information and questions about your award, please contact your GCA.

RESOURCES

Office of Research and Economic Development

<https://www.csulb.edu/office-of-research-and-economic-development>

Research Related Policies

<https://www.csulb.edu/office-of-research-and-economic-development/research-related-policies>

Post-Award Administration Resources

<https://www.csulb.edu/office-of-research-and-economic-development/start-the-award-process>

Research Compliance

<https://www.csulb.edu/office-of-research-and-economic-development/research-compliance>

CONTACTS

ored@csulb.edu for general inquiries

ored-grants@csulb.edu for PSS questions

ORED-Compliance@csulb.edu for general Compliance inquiries

Contact your assigned GC) for award-specific questions and approvals

Revision History

Version	Date	Description
1.0	July 2026	Comprehensive revision of legacy PI Orientation Guide. Updated organizational references, compliance requirements, Sponsored Programs responsibilities, Project Support Services role, sponsor oversight expectations, and document governance framework.