

ICSUAM Requirements CSE Guidelines

It is the policy of the California State University (CSU) that each campus shall have policies and procedures in place to effectively administer externally funded programs awarded to the University and its Auxiliary organizations in compliance with applicable federal, state and CSU regulations and policies. The [Integrated CSU Manual 11002.01](#) (ICSUAM 11002.01) addresses general policy requirement for the administration of grants and contracts in support of externally funded research and sponsored program activities.

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

1. PROPOSAL SUBMISSION APPROVAL REQUIREMENTS

- Each proposal must receive formal approval **PRIOR to submission**.
- Proposals for Sponsored Programs shall not be submitted to the Sponsor without prior written approval of the president of the University or the president's University designee and of the chief financial officer of the University or the chief financial officer's University designee. Depending on the budget, other approvals may also be required such as a dean and chair.
- Preliminary proposals also require prior approval before submission. At a minimum, Chico State Enterprises (CSE) needs a scope of work and line item budget to obtain the necessary approvals.
- Failure to obtain prior approval can result in withdrawal of the proposal or declining the award.

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

STEPS TO ENSURE SUBMISSION

- A. In order to guarantee approvals can be obtained prior to submission, CSE must receive a draft narrative and line item budget at least ten **(10) working days** prior to the submission date.
- B. If the funding agency requires cost sharing, you must include a line item cost share budget column in your budget and identify the source(s) of the cost share. (If cost sharing is not required by the funding agency, do not offer any cost sharing. It creates a liability for you, your administrative home unit and Chico State Enterprises).
- C. Only the CEO of Chico State Enterprises may negotiate or agree to Facilities and Administrative costs (indirect costs) lower than those provided in the campus policy.

- D. As always, please inform your unit administrator(s) (i.e., dean and chair) as soon as you know you intend to submit a proposal and discuss any assigned time or cost sharing you may wish to propose.
- E. If you will use significant resources of a campus unit other than your home administrative unit on your project, you must obtain prior agreement and approval from the appropriate unit administrator. The agreement may need to take the form of a Special Campus Services Agreement. See your CSE Development Specialist for details.

2. AWARD ACCEPTANCE REQUIREMENTS

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

AWARD APPROVAL

- A. Only the CEO of Chico State Enterprises or other specifically designated CSE managers may approve and sign award documents or amendments to existing awards.

3. DUTIES AND RESPONSIBILITIES OF THE PI

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

CRITICAL RESPONSIBILITIES

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

4. ADDITIONAL EMPLOYEMENT REQUIREMENTS

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

5. CRITICAL POLICY AND REGULATION REQUIRMENTS

- ICSUAM codifies existing policies and regulations that must be followed in proposing and conducting sponsored projects, including:

- misconduct
- conflict of interest
- nepotism
- human subjects research
- animal subjects research

6. REQUIREMENTS BEFORE PROJECT WORK CAN BEGIN

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

SPECIAL APPROVALS

A. If you need to start a project prior to receiving approval to begin, contact CSE. Under limited circumstances, the CEO of Chico State Enterprises has authority to approve project work prior to receiving a fully executed award.

7. AWARD NOTIFICATION PACKET REQUIREMENTS

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