

Frequently Asked Questions

Detailed below is Frequently Asked Questions from faculty and staff who are actively administering Foundation grant and contract projects.

Question 1: When are the annual reports for each grant due to the Foundation?

When the Foundation sends the award letter notifying you of your new grant project or change to an existing project, we will notify you in the body of the e-mail when the report(s) are due to be submitted to the agency. Here is an example e-mail:

Cal Poly Pomona Foundation, Inc. **“Quality Service Supporting Quality Education”**

Office of Grants and Contracts

MEMORANDUM

DATE: February 4, 2014

TO: Very Important Faculty Member

CC: Dean

Frank Ewers
Vicki Stepp
Office of Research and Sponsored Programs

FROM: Debbie Schroeder-Linthicum
Manager, Grants and Contracts

RE: Additional Time for an Existing Grant/Contract Award

Cal Poly Pomona Foundation, Inc. has been notified that we have been awarded additional time for an existing grant/contract award. Very important faculty member (VIFM) as project director, is responsible for the programmatic management and conduct of the project ensuring the work is accomplished in a timely manner and is administered within the requirements of the awarding agency. In addition, the funding agency regulations and guidelines including University/Foundation policies and procedures for the administration of a sponsored project must be adhered. Dean, as VIFM's supervisor, is responsible for the general oversight of this project and signatory responsibility in case VIFM needs personal reimbursement for expenditures paid.

Details of this award include:

Project Title:	Targeted Dendritic Cell Activation Through Multi-Adjuvant Liposomes
Awarding Agency:	Molecular Express/National Institute of Health
Amount of Award:	\$190,596.00
Period of Award:	March 1, 2012 through February 28, 2015
Foundation Project Number:	002380

You are authorized to spend up to the award amount in accordance with the detailed budget attached to this document. All grant expenditures must be incurred during the award period in order for Foundation to be reimbursed for all costs advanced. All expenditures incurred prior to the grant deadline must be liquidated prior to April 15, 2015. As a result, we will need all expenditure documentation no later than April 5, 2015.

A progress report is due February 28, 2015. We will need a copy of this report for our files in Foundation.

Debbie will also send out e-mail reminders as to when your reports is due. It is extremely important that these reports are submitted to the agency in a timely manner.

Question 2: If I have a question about purchasing a particular item from the grant, to whom should this request be directed?

If you have a question with regards to purchasing an item for your grant, please feel free to give Lily Maciel or myself a call. However, almost all grant projects have the ability to purchase any and all supplies relating to their project.

The Foundation does have requirements for the purchase of supplies in excess of \$10,000 per order. If you have a supply purchase that large, you will need to prepare a Request for Purchase Order Form that can be found on the Grants and Contracts at <http://www.foundation.csupomona.edu/grants-contracts/default.aspx> website under Forms. This form is prepared in advance of placing the order to the vendor. We will also need a vendor quote attached to the Request for Purchase Order form in order to process this request.

Question 3: How come my internal grant budget from the ORSP does not match the categories on the Foundation monthly accounting of grant expenses? How can I correlate the two?

When Foundation opens a new grant account or we have been notified that an agency has approved a change in a budget, we use the same budget worksheet that the Office of Research and Sponsored Programs created when they worked with you on the Preaward phase of your project.

The object codes are always details on these budget reports. These object codes are the same as the monthly accounting reports you can process in our system for grant activity. There are times when some budget line items are combined. As a result, we always include a summary of the budget on the bottom of this budget document.

If you have questions with regards to your budget, please give me a call and I can explain the details specific to your grant.

Very Important Grant Program									
Grant Number 002360									
June 1, 2013 through May 31, 2014									
Project Period: Year 4									
								CPP	Object Code
TRAINEE COSTS									
TIER 1 TRAINEE COSTS (Undergraduates)				Unit price	Units (months)	# of trainees			
1. Stipends (\$2575/mo max.)				\$2,575	6	6	92,700	7320	
2. Tuition and fees (max \$7000/year)				\$1,166	6	6	20,988	7282	
3. Research related funds (max \$3000/yr)				\$3,000		6	18,000	7196	
4. Training Course Fees (max \$2500/trainee)				\$2,500		6	15,000	7196	
5. Bridges Supplement - CIRM mtg travel (max \$750/yr)				\$750		6	4,500	7195	
Total number of participants (CPP = 3; CSULA = 3)						6	-		
Subtotal							151,188		
TIER 2 TRAINEE COSTS (Graduates)									
1. Stipends (\$2575/mo max.)				\$2,575	12	4	123,600	7320	
2. Tuition and fees (max \$7000/year)				\$583	12	4	13,992	7282	
3. Research related funds (max \$3000/yr)				\$3,000		4	12,000	7196	
4. Training Course Fees (max \$2500/trainee)				\$2,500		4	10,000	7196	
5. Bridges Supplement - CIRM mtg travel (max \$750/yr)				\$750		4	3,000	7195	
Total number of participants (CPP = 2; CSULA = 2)						4	-		
Subtotal							162,592		
TOTAL TRAINEE COSTS							313,780		
Personnel									
Name/Title	Type	Annual Sal	Term	Monthly/hrly	WTUs	%effort	Effort mos./hrs		
Very Important Faculty Mem	9	\$109,651	Summer	\$12,183			0.66	8,041	7274
Very Important Faculty Mem	9	\$73,175	Summer	\$8,131			0.47	3,821	7274
TBD (Staff 12-months PT)	12	\$24,000	Calendar	\$2,000		100.00%	12.00	25,189	7274
Subtotal							37,051		
Fringe Benefits									
Name/Title			Term	Salary Base		Rate			
Very Important Faculty Member			Summer	\$8,041		13.00%		1,045	7310
Very Important Faculty Member 2			Summer	\$3,821		13.00%		497	7310
TBD (Staff 12-months PT)			Calendar	\$24,000		42%		10,080	7310
Subtotal							11,622		
Other Direct Costs									
Item				Unit Price	Qty				
1. Materials and Supplies	GE Course materials (CPP)			\$4,041	1	\$4,041	27,791	7326	
	Stem cell course mats. (CPP)			\$23,750	1	\$23,750	-		
2. Host Site Faculty Coordinator (consultants)				\$1,500	4	\$6,000	6,000	7291	
3. Travel for PD to attend CIRM mtgs in San Francisco (2x/yr)				\$1,500	1	\$1,500	1,500	7355	
4. Seminar Speakers (non-CPP faculty)				\$500	6	\$3,000	3,000	7291	
5. Student Insurance (Worker's Compensation Insurance) 1%							2,163	7143	
Subtotal							40,454		
Indirect Costs									
CIRM rate 10% (Base = TDC - tuition and fees)									
				Base: \$	366,738				
Subtotal							36,793	7135	
Total Direct and Indirect Costs							439,700		
BUDGET SUMMARY									
Indirect Cost Recovery (10 Percent)							36,793	7135	
Insurance - Workers Comp							2,163	7143	
Annual CIRM Sponsored Bridges Meeting for Students (\$750.00 max each)							7,500	7195	
Participant Support							55,000	7196	
Salary/Summer							37,051	7274	
Scholarships							34,980	7282	
Outside Services							9,000	7291	
Staff Benefits							11,622	7310	
Stipends							216,300	7320	
Supplies							27,792	7326	
Travel							1,500	7355	
							439,700		

Question 4: If I get a No-Cost Extension on a grant, where should the initial paperwork go? ORSP? or Foundation?

The Office of Research and Sponsored Programs (ORSP) processes all modifications to grant and contract accounts. This includes budget revisions, no cost extensions, or additional funding requirements.

Question 5. Can I move grant money from one category to the other?

Many grant projects have budget restrictions on moving funds from one category to another. The most common restriction has to do with participant support costs. This includes stipends, participant support travel, scholarships, etc. According to agency compliance guidelines, movement out of these budget line items require written agency approval before Foundation can modify your budget.

Another common budget change has to do with overload compensation to faculty and staff working on the grant account. Overload must be an agency approved item in your grant project. If overload has not been previously approved by the agency, the Office of Research and Sponsored Program must assist you in obtain formal approval from the agency.

Question 6: What procedures must take place if the grant project needs to change the Principal Investigator/Project Director to another faculty member?

If a named Principal Investigator(s) or Project Director(s) per the award document plans to or becomes aware of one or more of the three situations below, the Foundation must notify the agency in writing of this change:

- Devote substantially less effort to the work than described in the original award (defined as a reduction of 25 percent or more time).
- Severs their relationship with the University and/or the project.
- Is absent for a continuous period of three months or more and/or relinquish active direction of the project.

If the project needs to change the Principal Investigator(s), you must contact the Office of Research and Sponsored Programs as soon as possible. They will need to notify the agency of this change and request agency permission to appoint a new individual to manage the program.

Question 7: What if I need to switch the release time salary and benefits from one year to another year?

Most agencies do not allow for deferring assigned time from one year to another year. The effort that is stated in the grant proposal should be met in the year in which it was budgeted. Based on the requirements above, if you need to make this adjustment, the agency should be contacted to get their written approval of this modification.

Question 8: How do I get paid in the Summer and when does it start and end?

If your grant has summer compensation included in the approved budget, please contact Foundation Employment Services to establish yourself as a Foundation employee. All Foundation employee hours, including faculty summer compensation, must be logged into the Kronos Time Keeping System in a timely manner during the periods in which the hours were worked. It is not acceptable to submit hours late for time worked on the project. Summer quarter starts the Monday after the last day of Spring quarter and ends the Friday before Fall quarter begins.

Question 9: Can I get paid overload/overtime as a Foundation employee on my grant project?

According to grant compliance regulations and CSU directives, overload compensation must be approved by the agency in the grant budget before it can be paid from your project. If it has not been included in your budget and you wish to get paid overload, you must contract the Office of Research and Sponsored Programs. They will need to contact the agency to get written approval to pay this type of compensation.

Question 10: What is Indirect Cost Recovery (ICR) and how do I calculate how much ICR I will receive?

When the Foundation is awarded a grant and/or contract, there are operating costs at the University and Foundation which are directly related to the project (library resources, building maintenance, Office of Research and Sponsored Programs, Office of Grants and Contracts, Employment Services, Financial Services, classroom or laboratory space, etc.). These costs are not readily identifiable with a particular project but are necessary to the general operation of the project and the institution. As a result, Foundation has negotiated an indirect cost recovery rate with the Department of Health and Human Services which is applied to recover the unreimbursed expenditures incurred at the University on behalf of sponsored programs. This negotiated agreement allows the project to collect indirect cost recovery funds from the agency. It should be noted that indirect cost recovery is not the Foundation's fee for the administration of your project.

All indirect recovery funds that are collected from your grant project are submitted to Academic Affairs who determines the amount of funding that is returned to your College.

Question 11: Why are intellectual property issues being reviewed during the preaward phase of my project?

The new Technology Transfer/Industry Clinic Office managed by Marie Talnack is under the division of Academic Affairs and has been tasked with encouraging, developing, protecting and commercializing technological advances and other intellectual property. The purpose of Cal Poly Pomona's Technology Transfer Office (TTO) is to assist faculty, students, staff and administration with intellectual property issues, protection, patenting and commercialization of research developed at the University. Marie is responsible for reviewing all contracts in the Office of Research and Sponsored Programs during the preaward phase and assuring these contracts protect the University's interests in this area.

Question 12: Who owns intellectual property developed by students?

There is a copy of the University's intellectual property policy posted on the TTO website for faculty, staff, and students of the University. The University's current intellectual property policy allows for the Creator (faculty or student) to retain all copyrights to their works. For students that create patentable intellectual property using their own time and resources, all rights belong to the student creator. There are circumstances where the University has committed what is referred to as "Extraordinary Resources" and in these cases the University has intellectual property rights due to the commitment of these resources. In these situations, the students and the Technology Transfer Office will negotiate interest in an invention. As a publicly funded University, this commitment of extraordinary resources needs to be determined. When it appears there has been a commitment of extraordinary resources, ownership in intellectual property rights may be pursued in collaboration with the creator(s) or waived back to the creator(s) at the discretion of the University of Cal Poly Pomona Foundation, Inc. (Foundation).

Examples of Extraordinary Resources for University Ownership in Intellectual Property:

Extraordinary resources for student projects would include employment of the student by the University or Foundation, significant use of equipment or facilities, and financial assistance through grants, scholarships, and other financial resources expended to support development of a student creation. In addition, when applicable it would also cover the situation where the University or the Foundation allocated funds for the filing and prosecution of patent rights.

Question 13: What is the University Technology Transfer Office? The Technology Transfer Office (TTO) assists student entrepreneurs with understanding the transition process from developing an idea to protecting and commercializing the idea to market entry. The office has been tasked with encouraging, developing, protecting and commercializing technological advances and other intellectual property at Cal Poly Pomona. To learn more about the TTO and find additional information about services and resources available, go to the TTO website at: <http://www.csupomona.edu/~research/tto/>.

Question 14: What if I have an idea for a new product or service, can the Technology Transfer Office help me? Yes, once you believe your idea could evolve into an actual business venture there are a variety of resources on campus to help you. In particular the TTO can help you understand how to protect your ideas when you share it with others (Confidentiality Agreements), when you want to protect it (the patenting process) and what to do if you want to license it to others (the licensing process). This assistance is available for your own ideas or student teams at no cost.

How do I start working with the TTO? To set up an appointment we can be contacted at (909) 869-3771 and are located in Building 1, Room 222. Should it appear that that the idea has merit, you should file what is called an Invention Disclosure with the TTO (available on our website under Forms: <http://www.csupomona.edu/~research/tto/forms>). The Invention Disclosure form is the way the TTO documents the idea and who are the inventors. It starts the process of working with the TTO to protect and commercialize your concept.