

CAFES Project Director Guide

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Congratulations, You Got a Grant! or Welcome to Your Fiefdom or How to Manage a Business at Cal Poly with Money that isn't Yours

You slaved away for hours, days, weeks or months sweating through the details to get your proposal out by the dreaded deadline what seems like a lifetime ago. You have almost no recollection of what you said you were going to do in that particular proposal, but **HERE IT IS, YOU'VE BEEN FUNDED!**

Now, what do you do and what are your responsibilities?

As a member of the College of Agriculture, Food and Environmental Sciences, you are eligible to take advantage of the customized service provided by our CAFES Grants

Analyst. In the comfort of your own office, you can learn about:

1. The State, Corporation/Cal Poly Partners and Advancement/University Programs (formerly Foundation), their similarities, and differences and where your funding resides.
2. How to do: payroll, purchasing, travel, or even change your budget.
3. What does your sponsor expect from you?
4. Where can you go for help?

If you have funding that is being held in CPC/CPA and was externally funded, it is being managed through the Sponsored Programs Office (SPO) and its analysts. CSU ARI funding is part of this, but we have a Memorandum of Understanding (MOU) that the analyst for those projects is the CAFES Grants Analyst.

Role of the Analyst

1. The analyst is responsible for understanding all the terms and conditions of the funding that the Sponsor imposes.
2. The analyst must sign off on **all transactions** for the project except payroll timesheets. The analyst will sign off on putting someone on payroll, but Federal and State labor laws require that any time submitted **MUST** be paid – so no further approvals are needed from the analyst – **ONLY THE SUPERVISOR.**
3. The analyst represents the Sponsor to YOU.
4. The analyst represents YOU to the Sponsor. If you want to make changes to your project scope, timing, or budget, the analyst will contact your Sponsor when needed.
5. All communications between YOU and the Sponsor should be going through your analyst.

If you don't know who your analyst is for any given project – called an OrgKey for CPA/CPC account, you can always check with the CAFES Grants Analyst.

Not all of your projects will be handled by the same analyst.

If Cal Poly has many projects from the same Sponsor, it may make more sense for just one SPO analyst to be the specialist for that funding type.

The following pages are intended as a quick reference guide for all Project Directors and their assistants. Some of this may seem incredibly simple and obvious, but it is included to either maintain the flow or reinforce a point.

I. Funding

- A. Know or find out who your Sponsor (the owner of the money) is.
 - i. This makes a difference in some cases if you are planning on using this money as leverage to get other grants. This is termed “cost share” or “matching”. Federal grants CANNOT use any other type of Federal money as cost share.
 - ii. It may also indicate where your funding will reside here at Cal Poly. If it was a Center for Teaching and Learning (CTL) mini-grant, it will be State money and stay with the State. If it is from Dole or USDA, it will go through CPC/PPP.
 - iii. If it was a gift, it will probably be with Advancement/University Programs.
- B. Know if you have a specific line-item budget or not. Did you put one in your proposal? Or did the funding come in as a restricted gift just to fund your type of research?
- C. Familiarize yourself with any other terms and conditions associated with the money like progress reports, final report, return of product if they donated anything, delay of publication (we are a State institution, our Grants Development Office will usually make sure that there will be minimal delays for publication, but there could be up to 90 days), etc.

for B. and C. COGNOS reports: (found at <https://cpcreports.calpoly.edu/report/all/favorites>)

- 1. **To remember what “accounts” you have, run [Org Key Listing](#).** That’s about all that report is good for. If you don’t see an OrgKey that you think you should see, please contact the CAFES Grants Analyst.
 - 2. **To see the flavor of your funding (sponsor), who your analyst is, what your budget is, when your reports are due, etc., run [Sponsored Project Detail](#) if it’s a grant or contract.**
- D. If you have more than 1 sponsor for what YOU think of as 1 project, YOU CAN **NOT** COMBINE THOSE FUNDS! They will be separate accounts because the money belongs to separate entities. Find a mental model that works for you; I like the idea of different checkbooks. You **CAN, however, split expenses.**

II. Bookkeeping

- A. Institutional records are kept by either the State or CPC/PPP depending on where your funding resides.
- B. It is the Project Director’s responsibility to keep a set of records to reconcile with the primary set in case of any discrepancy and to make sure that funds are spent in accordance with the terms and conditions of the sponsor and that there is **NEVER a deficit.**
- C. Any system that serves all these purposes is fine.

- D. It is advisable to keep copies of every item that is signed that will result in an expenditure.

III. Payroll

A. State/University Programs (formerly Foundation) funding

- i. Faculty
 - a. Release time: Check with your College Budget Analyst about having your grant charged for time.
 - b. Added compensation: (For holders of H1B visas and some staff) The CAFES Grants Analyst will work with Academic Personnel to secure this pay.
- ii. Students – ask your Department Coordinator to show you how to hire/monitor state student assistants. They can teach you, but it is YOUR JOB to keep track of this.

B. CPC/CPP

i. Background checks.

- a. Except faculty, anyone supervising students, working with minors, or handling cash will need a background check.
- b. ALL Intermittent hires will need a background check.
- c. Background check must be complete before person can be hired. No work is allowed until the hiring process is complete.

ii. Faculty

- a. Release time: Check with your Analyst (see your [Sponsored Project Detail](#) or check with the CAFES Grants Analyst) about having your grant charged for time. A 107c Form will need to be routed that matches what was in your proposal. For CAFES faculty, the CAFES Grants Analyst will usually initiate this form.
- b. Added compensation: For all faculty specifically mentioned in grant proposal, the analyst in charge will automatically add them to Corporation payroll at their current State pay rate. If they have never been paid before by the Corporation, they must go through the full CPC/CPP hire process including SPPIF and required training modules (see below under Students for general hire process). Timecards need to be submitted – see below under Students for the process.

iii. Students

The student classification is for enrolled students taking a minimum of 4 units/term for graduate students and 6 units/term for undergraduates. To initiate hiring a student, email the Grants Analyst the student(s)' name, Cal Poly email address, and pay rate.

Students on Timecards for hourly pay:

Very first CPC Hiring: each student employee must be identified.

If currently a CPC employee the Grants Analyst will email CPP HR to add the student to your project. If training modules are required, they will be assigned and must be completed as soon as possible after the hiring process is complete for the new OrgKey.

If this is a completely new hire for CPC, the full hiring process below is required.

The process for hiring **new** student employees for CPC is as follows. All forms can be found at <https://cpslo.sharepoint.com/sites/cal-poly-partners>

1. Under Business Services select Human Resources. Then scroll down to Onboarding. Under Related Resources you will find the Student & Intermittent Onboarding section and see the Application for Students and Intermittents. Download this form, and the new employee should fill it out and send it to both the project director and analyst. **NO signatures** at this point. The analyst will be routing everything back via AdobeSign.
2. In the same Student & Intermittent Onboarding location, The new employee needs to download “Personnel Information Form for Sponsored Programs (SPPIF)”. They should fill out Section I and send it to both of the Project Director and the Analyst. Again, **no signatures** yet.
3. Project Director will let the Analyst know what pay rate you want for this new person. Please be aware that with the rising minimum wage, we are advising not starting students at less than \$1.00 above minimum wage for undergraduates and \$3.00 above minimum wage for graduate students.
4. If there are trainings required, the we will contact the student directly and assign them.
5. The Analyst will finish up your forms and route everything for signatures via AdobeSign.
6. Once signed, they will forward the forms to CPC HR who will then reach out to the student to complete the hiring process.
7. The student is NOT officially employed until Step 6 is done. Any time “worked” before then is volunteered.

Timecards are hourly, entered on the web-based Cal Poly Partners/ASI Pay system accessible via the Cal Poly Portal. CPC pays every two weeks, the period always starts on a Saturday and goes through a Friday with paychecks available one week later.

General Note on CPC Pay: there is always one PRIMARY OrgKey which will show up first. If a person is hired on multiple OrgKeys, they must use the dropdown to select the appropriate one(s).

- a. Graduate Students on Stipend: Graduate students may be put on State stipend for quarters during which they will be registered for at least 4 units. There are VERY SPECIFIC CONDITIONS for a stipend, including that this is not an employment relationship. Stipends amounts can be anything up to the expected cost of attendance per quarter.
<https://www.calpoly.edu/financial-aid/costs-and-affordability/graduate-costs-of-attendance>

These students will receive funds through their student accounts. Any tuition and fees that are still due will be taken out first. The balance will be available to the student.

iv. Intermittent employees

Intermittent is an employment category for those not working more than 999 hours in a fiscal year from any funding sources in CPC/CPP. These positions are not fully benefitted and do not require a full recruitment. Typically these are part-time project staff or students either just before their first quarter or after they stop taking the minimum classes required but have not yet graduated.

v. Post-doctoral fellows or other full-time staff

These are considered full-time benefitted positions. You will need to work with CPC/CPP HR directly for this hiring process. Your analyst will need to know in order to verify the availability of the required minimum funding.

C. Tuition and Fees from grants

- i. Regular Matriculation: Send an email to your analyst **prior** to the registration deadline for the term in question with the following information: see deadlines at <http://www.afd.calpoly.edu/fees/>
 - a. Student's name
 - b. Student's Cal Poly ID#
 - c. Term(s) to be covered (must be within the same academic year)
 - d. Funding source (OrgKey(s) and Object Code(s))
 - e. Whether you want to cover full tuition and fees or a specified "not-to-exceed" amount (please specify amount)
 - f. Continuous Enrollment – 1 Unit – Grad Students only
Same process as above. Just make the request to your analyst.

IV. Purchasing

A. What can you buy? – See I.b.

- i. Every grant or contract has a sponsor (the person, group or organization that provided the funding) and that sponsor has specific terms and conditions for how their funding may be used. Your analyst for that project is our campus expert on that and **MUST** be in your purchasing loop.
- ii. What if you want to spend money on something that wasn't in your original budget?
You need to check with your analyst about the terms and conditions of your award. You might have total flexibility OR you might be totally restricted OR somewhere in between. In any event, remember, **IT'S THEIR MONEY** and sometimes you just might have to **ASK** permission.

Examples of things that are **usually approved**:

- A. I had budgeted to do the analyses here, but the equipment needs repairs. Can I have an external lab do the analyses instead to get finished on time?
- B. Since I got a quote for X two years ago, the price has doubled. Can I still buy the 100 that I need?

C. I didn't need as much money for X as I thought but I have good results and would like to go to an extra meeting. Can I rebudget for additional travel?

Examples of things that **don't generally work**:

A. I got supplies paid for by X and would like to buy a new desk or computer. (computers really need to be justified early and specifically for project use in most cases)

B. I didn't get students and I would like to have added comp instead.

C. I know I budgeted 6 WTU each year for release time, but my Department can't live without me. Can I have added comp? (Your Department signed off on your proposal.)

B. How do you buy it?

- i. People – Payroll – see III.
- ii. Subcontractors – money going to other organizations: talk to your analyst
In general this is for money that has been budgeted as going to another organization for work done there.
- iii. Consultants/Contractors – money going to individuals providing service: again, talk to your analyst
In general, this is for work done by individuals providing their own insurance for a specific scope of work and price

iv. Stuff – Purchasing

- a. The **Right Way**: basically any way involving **prior authorization**
 1. For any orders totaling **over** \$500 (in person or online) please visit the vendor's website, put requested items in a "cart", print the cart to a pdf and send it to BOTH your department purchaser and your analyst. The analyst will "reply all" to let you know if the purchase is approved. Then the department purchaser can place the order **using their CPC p-card** and know that the purchase is covered AND how to code the credit card reconciliation at the end of the month. **Always check CSUBuy first for the Cal Poly discounted rate.**
 2. For any orders totaling **under** \$500 (in person or online) these orders do not need the CAFES Grants Analyst's pre-approval; however, they will still be reviewed for allowability before final processing. For purchases made with the department's CPC P-card, the transactions will be submitted to the CAFES Grants Analyst for approval and may require additional justification as to why it is necessary for the project before it is approved.
 3. If your department has no purchaser, you can do the same process on your own, but Cal Poly never expects you to incur personal costs for your work here. You can use Item 4 below instead, even for rush orders (but it will take more a few days).
 4. For other vendors, Purchase Order is the top choice here. It provides a mechanism for oversight for appropriate expenditure by someone at the University or Corporation who is charged with representing the sponsor.

If the PO is through the Corporation, the fastest way is for you to fill in the form at:

<https://cpslo.sharepoint.com/sites/cal-poly-partners>

Under Business and Finance Forms, select Purchasing.

Select Purchase_Requisition_Form

Fill it in as best you can.

Attach backup: a copy of a “cart”, or a quote is fine

Email it to your analyst who can then make adjustments as necessary and route via AdobeSign for the correct signatures

When complete, the analyst can send it to the CPC business office for them to generate an OFFICIAL purchase order

That PO can either be sent back to you so that you can send it to your vendor, or they can send it if you provide an email address for your vendor.

[It’s a lot of work, but it’s what we have for now as we transition from teaching to teacher/scholar (meaning research!!). Several faculty have found that having a graduate student coordinate ordering/receiving works for them and helps train the student for their future.]

If the PO has to be a State PO (state or University program funds), you will either have to learn the State financials or have a VERY cooperative Department coordinator. Unfortunately, several of the mini-grants leave faculty in this very awkward place.

5. Check Request (Corp) or Direct Buy Forms (State) are the next choice. CPC Check Request is available at:

<https://cpslo.sharepoint.com/sites/cal-poly-partners>

Under Business and Finance Forms, select Accounts Payable.

Select Check-Request-Form.

The State form for expenses of \$1500 or less:

<https://afd.calpoly.edu/procure-to-pay/how-to-pay/reimbursement>

This is for money already spent and needed to be reimbursed.

HOWEVER, **before** you spend the money, it is a good idea to get approval first. A simple email to the analyst usually works. **[Example: I’d like to buy a XXXX and I can save 40% over any University vendor by buying online from VVVVV. Is this OK?]**

It may also be possible at this point to pre-approve the use of a department CPC p-card, if your department is amenable.

6. **LAST 90 DAYS** of a project: the rules get tighter. Spending money just because you have it isn’t a good enough reason. Some purchases need special justification. **PLEASE USE PO’s or check with your analyst or you may end up spending your personal funds!!!!**
7. **For full CPC Purchasing Policy guidelines**, including purchases over \$5,000, see “111 – Purchasing Policy Cal Poly Corporation” on the Share Point Business and Finance forms page under Purchasing.

- b. The **Wrong** Way: basically any way with **no prior authorization including p-cards, personal credit cards and other personal expenditures**
In these cases, you are risking (or you are having your Department risk) not being reimbursed for these expenditures.

V. **Travel**

A. Know where your funding is – see I.a.ii.

Is travel allowed? – see I.b.

International Travel is a LOT more complicated, especially when involving students. Please allow at least 3 months notice.

B. Per Section II Bookkeeping (pg 3), include an estimated cost of travel and update with the actual expenses after your trip. Travel expenses can take a few months to process, so it is important that you keep your own internal record to prevent overspending on your project.

C. The process:

i. Faculty or Faculty with students

All of this goes through Concur. If you do not yet have a Concur card, please work with your department administrative support.

ii. Student ONLY

a. BEFORE TRAVEL **student** completes the CPC Travel Pre-Authorization Form (1A). The form is located at:
https://ari.calpoly.edu/content/resources_and_related_sites under TRAVEL FORMS.

Project Director should add OrgKey number, if possible (form is not great) and keep a copy.

If there are expenses, like registration fees or airline reservations, that need to be reimbursed right away, fill out those amounts in the “advance” fields.

Project Director can forward the 1A and those receipts to CAFES Grants Analyst to start the reimbursement.

The student also needs to fill out the Estimate of Travel Expenses Form.

If the student is driving their privately owned vehicle on state business, then they will need to complete the STD261 Form prior to travel as well.

All forms are located on our website on the Resources and Related Sites tab and should be submitted to the Grants Analyst prior to travel.

b. AFTER TRAVEL – student needs to fill out a **travel claim form** WITHIN 10 BUSINESS DAYS of return. There are currently **two versions available**: one dated April 22 which is easier and more intuitive to fill out and one dated June 18 which resemble the State form, but is much more difficult to fill out. As of July 2024, CPC travel prefers the one on our [website](#). Please send the claim form (still in Excel format) along with the signed Travel Pre-authorization Request (1A,) receipts for lodging, registration, airfare, etc. to the CAFES Grants Analyst for review and corrections.

The CAFES Grants Analyst will make sure everything is proper and complete before routing it back for signatures and submitting it to CPC travel for payment.