SJSU Research Foundation
The Engine behind SJSU RSCA Enterprise

University 101
November 2016

Sandeep (Sandy) Muju
Executive Director
Overview

- SJSURF’s Mission
- SJSU Research Foundation at a Glance
- Project Life Cycle Services
- Questions and Answers
The SJSU Research Foundation:

- Serves as SJSU’s Sponsored Programs Administrator (SPA),
- Partners with SJSU Faculty, Students, Research Affiliates, and Staff to Enable Success in Research, Scholarship, and Creative Activities (RSCA),
- Fosters the University's Quest for Excellence by:
  - Supporting Faculty Success
  - Expanding Student Horizons (Student Success)
  - Delivering Specialized Business Services
  - Developing Partnerships with the Community
**RF Management Responsibility Summary**  
**FY2015 - 16**

<table>
<thead>
<tr>
<th>Financial Operations Management</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsored Program Annual revenues</td>
<td>$47.9M</td>
</tr>
<tr>
<td>Self-supported Annual revenues</td>
<td>$8.7M</td>
</tr>
<tr>
<td>Board programs and IDC rebate</td>
<td>$2.1M</td>
</tr>
<tr>
<td>403(b) Investment Portfolio</td>
<td>$69.2M</td>
</tr>
<tr>
<td>RF Investment and Working Capital</td>
<td>$23.6M</td>
</tr>
<tr>
<td>Retirement Trust¹ Investment (RORMT) Portfolio</td>
<td>$3.1M</td>
</tr>
<tr>
<td>Owned Properties</td>
<td>$9.8M</td>
</tr>
<tr>
<td><strong>Total ($ Million)</strong></td>
<td><strong>$164.4M</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Fiduciary (&amp; Audit) Stewardship</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Active² grants, including multi-year programs Total</td>
<td>$244.2M</td>
</tr>
<tr>
<td>Closed³ Grants that are closed in FY 12-13; 13-14; 14-15</td>
<td>$110.7M</td>
</tr>
<tr>
<td><strong>Total ($ Million)</strong></td>
<td><strong>$354.9M</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Payroll &amp; HR Management</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>W-2 Employees (CY 2015)</td>
<td>1,317</td>
</tr>
<tr>
<td>1099 Indep. Contractors (CY 2015)</td>
<td>612</td>
</tr>
<tr>
<td><strong>Total Headcount</strong></td>
<td><strong>1,929</strong></td>
</tr>
</tbody>
</table>

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² *Fiscal management of active grants, and remain open for Audit by any agency at any time*
³ *Grants that closed in past 3-years must remain available for Audit by any agency at any time*
## Research Foundation: Selected Operational Indicators

<table>
<thead>
<tr>
<th>Operational Activity</th>
<th>FY2015-16 Annualized Count</th>
<th>FY2015-16 Annualized $ Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposals submitted</td>
<td>308</td>
<td>$124,810,139</td>
</tr>
<tr>
<td>Awards received</td>
<td>287</td>
<td>$56,189,626</td>
</tr>
<tr>
<td>Requisitions</td>
<td>15,090</td>
<td>$31,823,076</td>
</tr>
<tr>
<td>Checks processed</td>
<td>9,135</td>
<td>$31,690,177</td>
</tr>
<tr>
<td>Invoices to customers</td>
<td>930</td>
<td>$21,028,295</td>
</tr>
<tr>
<td>PO's to Vendors</td>
<td>418</td>
<td>$4,554,270</td>
</tr>
<tr>
<td>Payroll Timecards processed</td>
<td>14,942</td>
<td></td>
</tr>
<tr>
<td>Payroll W2's issued&lt;sup&gt;1&lt;/sup&gt;</td>
<td>1,317</td>
<td></td>
</tr>
<tr>
<td>1099's issued&lt;sup&gt;1&lt;/sup&gt;</td>
<td>612</td>
<td></td>
</tr>
<tr>
<td>New Hires</td>
<td>623</td>
<td></td>
</tr>
<tr>
<td>Benefited Positions added</td>
<td>49</td>
<td></td>
</tr>
<tr>
<td>I/C (Independent Contractor agreements)</td>
<td>780</td>
<td></td>
</tr>
<tr>
<td>Employee Info Changes</td>
<td>1,691</td>
<td></td>
</tr>
<tr>
<td>Worker's Comp. Cases</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Letters/packages mailed</td>
<td>22,152</td>
<td></td>
</tr>
</tbody>
</table>

<sup>1</sup> Based on Calendar year past
Research Foundation Employee* HC by Type
(Calendar Year 2015; Total = 1929)

* Employee headcount (HC) numbers vary from year to year but this is a close approximation for a typical year.
Day to day operations at Research Foundation involve complex multi-faceted interactions in support of SJSU and CSU mission.
The Research Foundation Central Office (CO) is Organized into Three Primary Functional Groups:

- **Office of Sponsored Programs**
  (Rajnesh Prasad, Sr. Director of OSP)

- **Finance & Accounting**
  (Kam Lam, Sr. Director of Finance & Accounting)

- **Human Resources**
  (Lupe Lechuga, Interim Director of HR)

The RF Central Office staff collectively support over $244M+ in active RSCA grants portfolio and 1900+ individuals in support of the SJSU and CSU Mission.
RF’s Central Office provides specialized business services spanning the full life-cycle of RSCA contracts and grants management. That makes it possible for faculty/PIs to focus more on conducting research and project deliverables for funding agency, and less on administrative and regulatory requirements or marketing their work for continued future funding.
1 – Generating Your Idea

Principal Investigators

• Create project concept
• Consult with deans and chairs (as early as possible)
• Contact Research Foundation for assistance

Deans and Chairs

• Offer guidance
• Provide approvals
OSP – Information Services

• Provides funding alerts (*incl. Limited Submissions)
• Provides one on one grant-search consultations and custom searches
• Provides guidance on use of grant-search tools
• Assists with sponsor’s websites, SPIN, Grants Resource Center (GRC), Grants.gov
• Publishes bulletins, coordinates workshops, webinars

*Reference Research Foundation Limited Submissions Web Page
http://www.sjsu.edu/researchfoundation/osp/findingfunding/limitsub/index.html
OSP – Pre-Award

• Reviews guidelines and informs PI

• Checks for compliance of proposal
  (Conflicts of Interest, Release Time, Overload, Cost Share
  Grant-Related Instructional Faculty Approvals)

• Routes proposals for authorized signers approvals

• Performs final quality check and sends to PI for review

• Submits proposals upon PI’s approval
Finance and Accounting

• Oversees F&A rates set by DHHS and fringe benefit rates

• Provides risk management services (including event planning, travel, field trips involving students and minors, and all project-related activity)

• Provides guidance on risk mitigation strategies (waivers, certificates of insurance and indemnification)

• Oversees insurance requirements in contract services

Human Resources

• Provides guidance on applicable employment and labor law compliance

• Assists with workforce planning decisions
4 – Award Negotiation

OSP – Pre-Award
• Reviews the terms and conditions of the award
• Negotiates on behalf of PI and university, as necessary
• Accepts the award

Finance and Accounting
• Provides guidance on appropriate insurance coverage for contract, grant, or other project activities
• Reviews insurance requirements in contract services
• Continues guidance on risk mitigation strategies (waivers, certificates of insurance and indemnification)
5 – Award Setup

OSP – Post-Award

• Reviews award document; terms and conditions of the award
• Sets up new account in the grant management system (including timelines for deliverables)
• Meets with PI to provide project management orientation
• Informs HR and Finance & Accounting departments (as needed, to support staffing and purchasing needs)

Finance and Accounting

• Tax, and OMB guidance
• Procurement services such as:
  • P-cards,
  • POs to suppliers,
  • Independent Contractor Agreements Encumbrance and Tracking
OSP – Post-Award

• Oversees day to day fiscal management and compliance regulations

• Monitors budget and cash flow; forecasts availability of funds; documents cash and in-kind cost share

• Administers and monitors subcontracts

• Assists with technical and financial progress reports as required
6 – Managing Your Project

Human Resources Services

• Employment and Labor Regulation Compliance
• Recruitment and Staffing
• Compensation and Benefits Administration
• Guidance on Employee Relations, Performance Management, Training
• Workers Compensation & Injury and Illness Prevention Program (IIPP)
• Immigration Services
Finance and Accounting – 1/2

- **Accounts Payable Services:**
  - On time payments for suppliers, utilities
  - Timely travel and employee reimbursements
  - Use tax compliance, generate 1099’s, tax compliance

- **Payroll Services:**
  - Timely processing of timesheets – Now using online timecard system
  - Submission of W2’s
  - Accurate Federal, State, and Multi-State tax filing

- **Risk Management Services, including domestic and international travel assistance**
Finance and Accounting – 2/2

• Working Capital for Expenditure and Invoice Reimbursement
• Monthly Activity Reports
• Property/Fixed Asset Services
• Purchasing Services:
  • Purchase Orders
  • P-Cards
  • Independent Contractor Service Agreement Encumbrance and Tracking
• Audit Services – Federal, State, CSU, Agency
• Tax Services
  • Employment – Federal, State, Medicare, FICA
  • Sales – Multi-State
  • 990 Tax Returns
OSP – Post-Award

• Closes out the project
• Assists with sponsoring agency audits, annual grants, and contract audits

Human Resources

• Creates and administers legally mandated documentation for terminations, including timeliness of documentation
• Responds to inquiries from prospective employers or outside agencies, including EDD/Unemployment
• Provides ongoing support for benefited retirees, dependents, and survivors
Finance and Accounting

- Ensures final closeout compensation - In compliance with state and federal wage and hour laws regarding timely compensation payments
- Continues providing Accounts Payable services as needed
- Provides fixed asset/property accounting services
- Payroll closeout services
- Risk Management closeout services
- Purchasing closeout services
2016 Summer Highlights

MLML MOBY Project Awarded $12.7 Million

$7.8 Million Grant Awarded by NASA Shared Services Center

$900,000 Awarded for STEM Research System

Government-Education Specialist from India Speaks at SJSU

Key Functional Contacts

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Education is for improving the lives of others and for leaving your community and world better than you found it.

-Marian Wright Edelman

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