Building the Bridge to Facilitate Effective Proposal & Award Management

Sponsored Programs Workshop

October 17, 2018
11:30 A.M. – 1:00 P.M.

SJSU | RESEARCH FOUNDATION
Overview

- Introductions
- About the SJSU Research Foundation
- The Project Life Cycle
- Building the Bridge – Collaboration and Partnership
- Questions
Who We Are

The Research Foundation:

- Serves as the campus sponsored programs administrator (SPA)
- Partners with SJSU faculty, students, research affiliates, and staff to support research, scholarship, and creative activities (RSCA)
- Fosters the university’s quest for excellence
As the SJSU Sponsored Programs Administrator, we:

- Provide support throughout the project life cycle
- Provide support during proposal development
- Are authorized to submit proposals for funding
- Receive and provide administration of awards
Executive Director, Rajnesh Prasad

Three Functional Areas:

- **Office of Sponsored Programs**
  - Information Services, Pre-Award, Proposal Processing, Post-Award, Self-Support Services

- **Finance & Accounting**
  - Accounts Payable, Accounts Receivable, Compliance, Insurance, Procurement, Fixed Assets, Audits

- **Human Resources**
  - Recruitment and Staffing, Labor Regulation Compliance, Compensation and Benefits Administration, Payroll, Employee Relations, Safety
Phase 1 - Generating your Idea
Phase 2 - Finding Funding
Phase 3 - Developing and Submitting Proposal
Phase 4 - Award Negotiation
Phase 5 - Award Setup
Phase 6 - Managing the Project
Phase 7 - Closing Out the Project
Building the Bridge to Facilitate Effective Proposal & Award Management
The Building Blocks Collaboration & Partnership

- Principal Investigator
- Office of Sponsored Programs
- Finance & Accounting
- Human Resources
The Principal Investigator Starts the Project Cycle

Phases 1 & 2

The PI does the following:

• Generates the idea

• Contacts and engages their chairs, deans, research administrators, and the Research Foundation as early in the process as possible

• Seeks Funding
Office of Sponsored Programs
Services & Support
# The Research Foundation as Partner

## Phase 2 – Finding Funding

### OSP Information Services

- Distributes Funding Alerts
- Provides Grant Search Tools, Resources (Sponsor’s Websites, SPIN, GRC)
- Provides Grant Search Consultations & Conducts Custom Searches
- Produces Research Foundation Bulletins
- Coordinates Grant-Related Workshops and Webinars
The PI does the following:

- Adheres to the Research Foundation submission deadline
- Understands the sponsor’s solicitation and includes the information for all sections of the proposal as required
- Ensures that all the information in the proposal is presented in a manner that is complete, accurate, and developed according to the practices commonly accepted within the scientific community
The Research Foundation as Partner

Phase 3 – Developing & Submitting

OSP Pre-Award

- Reviews guidelines
- Discusses project needs and strategies with PI
- Verifies compliance of proposal
- Routes proposals for authorized signers’ approvals
- Performs final quality assurance checks and submits proposal
Routing Process

Compliance
- Chancellor’s Office
- Federal Uniform Guidance
- Federal, State, and Local Government Regulations
- Auditors (Chancellor’s Office, University, Federal/State and Independent Auditors)

Signing Requirements
Proposal Routing and Approval Form (PRAF)

Financial Conflict of Interest Form 1 & 2 (FCOI)

California Form 700-U

IRB and IACUC Commitment Form

Cost Share Commitment Form
Routing Timeline

- Allow 7-10 business days for routing timeline
- Provide ample time for all reviewers
- Collaboration with Other Departments
- Out of office reviewers
Phase 4 – Award Negotiation

OSP Pre-Award

• Reviews terms and conditions
• Negotiates on behalf of the PI and university as necessary
• Accepts the award
Phase 5 – Award Setup

OSP Post-Award

• Reviews award documents for terms and conditions
• Sets up new account
• Meets with PI to provide project management orientation
• Partners with HR and Finance and Accounting to support staffing and procurement needs
The Research Foundation as Partner

Phase 6– Managing Your Project

OSP Post-Award

• Oversees day to day fiscal management and compliance regulations

• Monitors the project budget and financial projections

• Follows up with PI to ensure technical progress reports are submitted to sponsor agency on time

• Assists with sponsor agency audits; annual grant and contract audits
Phase 6– Managing Your Project

PI does the following:

• Manages project personnel in compliance with federal and state laws and Research Foundation policy

• Ensures that all required forms and certifications are completed in a timely manner

• Abides by the terms and conditions of the sponsored project award

• Conducts the work on the project according to research protocol
The Principal Investigator's Role – Cont.

Phase 6 – Managing Your Project
Phase 7 – Closing Out

PI does the following:

• Ensures that all work performed is conducted in compliance with all applicable laws and policies

• Ensures that all work meets the highest ethical standards and is conducted without real or perceived conflicts of interests

• Ensures that all expenditures are made in compliance with the approved budget, and ensures timely submission of expenses for reimbursements, appointment forms, and timesheets

• Submits reports on the research in a timely manner and according to the sponsor's requirement
Phase 7– Closing Out

OSP Post-Award

• Follows up with PI for any outstanding expenses that have not been posted to the account before closing

• Ensures that all revenue has been received from the sponsor

• Prepares and submits final fiscal report and other reports (if required) to sponsor agency

• Closes out the account when all the reports are on file
Office of Sponsored Programs
Key Considerations

- Compliance
  - Additional Employment/Overload
  - Forms
  - Reports

- Budget Management

- Cost Share Contributions
Human Resources Services & Support
Phase 3 – Developing & Submitting

Human Resources

• Provides guidance on applicable employment and labor law compliance

• Assists with workforce planning and management decisions
Human Resources

• Recruitment and Staffing

• Labor Regulation Compliance
  • Appointment Forms and New Hire Paperwork
  • E-Verify
  • Background Checks and Live Scan

• Payroll

• Compensation Analysis and Review
Phase 6– Managing Your Project

Human Resources

• Benefits Administration
• Employee Relations
• Performance Management, Training
• Workers Compensation
Phase 7 – Closing Out

Human Resources

• Processes legally mandated documentation and actions for terminations
• Process final check in timely manner
• Responds to prospective employers or outside agency inquiries
• Provides ongoing support for benefited retirees, dependents, and survivors
Human Resources
Key Considerations

Compliance Requirements for Benefited Positions

Background Checks

Before you Begin . . .

- New Hire Paperwork
- E-verify
- Livescan – if “Sensitive Positions”

Payroll
Changes in Assignment (account number, rate of pay)

Voluntary Terminations – Must be submitted 5 days before actual termination date

Involuntary Terminations – Requires HR consultation prior to taking any action
Finance & Accounting Services & Support
Phase 3 – Developing & Submitting

Phase 4 – Award Negotiation

Finance & Accounting

• Reviews insurance requirements
• Provides guidance on coverages for contract, grant, or other project activities
• Continues guidance on risk mitigation strategies (waivers, certificates of insurance, and indemnification)
Phase 6– Managing Your Project

Finance & Accounting

• Procurement Services
  • Compliance and Uniform Guidance
  • Purchase Orders
  • P-Cards
  • Independent Contractor Service Agreement
    Encumbrance and Tracking

• Accounts Payable Services
  • Payments for Suppliers, Utilities
  • Travel and Employee Reimbursements
  • General Tax Compliance
Phase 6– Managing Your Project

Finance & Accounting

• Property/Fixed Asset Services
• Risk Management Services (including additional insurance as appropriate)
• Accounts Receivable
• Monthly Online Account Status Reports
• Audits – Federal, State, CSU, Agency
Finance & Accounting
Key Considerations

Compliance, Compliance, Compliance!

- Timing of Reimbursements
- Insurance
- Tax
- Audit
- Property/Asset Tracking
Questions?

thank you