Overview of Workshop

- Introduction
- SJSU Research Foundation
- Sponsored Programs and PI Responsibilities During Pre-Award & Post-Award
- Critical Considerations
  Project Life Cycle Phases 2-6
- Questions and Answers
SJSU Research Foundation

- Campus sponsored programs administrator (SPA)
- Authorized to develop and submit proposals for funding
- Receive and provide administration of awards
Designation of Approvals

SJSU President

Associate Vice President for Research (Authorized Organizational Representative)

Associate Vice President of Finance
Research Project Life Cycle

Under the Division of Research and Innovation
Supporting Research, Scholarship, and Creative Activities in Partnership with SJSU Faculty

- Finding Funding
- Developing and Submitting Proposals
- Award Negotiation
- Award Setup
- Managing the Project
- Project Closeout
In General — Be Proactive!

- Initial Contact with Sponsored Programs Manager
- Establish Needs and an Agreed Upon Timeline
- Clarify Roles and Responsibilities
- Ask and Answer Questions
- Encourage Training Opportunities
Developing and Submitting Proposals - Phase 2

Sponsored Programs Manager Responsibilities

The initial contacts for proposal development are Sponsored Programs managers who work with principal investigators and project teams by providing assistance throughout the proposal development, submission and award or declination process.
Sponsored Programs Manager Responsibilities

- Defines research goals,
- Interprets sponsor’s guidelines
- Reviews and edits proposal documents,
- Develops and ensures accurate project budgets,
- Initiates and monitors on-campus review (routing) processes,
- Ensures adherence to institutional, sponsor, and governmental guidelines,
- Submits proposals in accordance with guidelines,
- Negotiates awards and contracts.
Principal Investigator Responsibilities

- Initiates contact with the SJSU Research Foundation, as early in the process as possible
- Reads and understands the funding opportunity guidelines,
- Complies with SJSU and Research Foundation Proposal Routing and Approval policies and procedures
- 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,
- Ensures that all required university forms and certifications are completed in a timely manner,
- Ensures that all work and activities will be performed as described in the proposed project.
Proposal Routing

Ensures Compliance with the Following Authorities:

- Chancellor’s Office
- Federal Uniform Guidance
- Federal, State, and Local Government Regulations
- Auditors (Chancellor’s Office, University, Federal, State and Independent Auditors)
Minimum Documents to Initiate Routing:

- Final Budget and Budget Justification
- Complete draft proposal narrative or abstract
- Proposal Routing and Approval Form (PRAF)

**Any changes to the final budget/budget justification or cost-share elements after the routing has initiated will require the routing process to begin again, which may delay the potential submission.**
Other Potential Items Needed Prior to Routing:

- Waivers (PI Status, Indirect Costs)
- Human/Animal Subjects Approvals
- Cost Share Commitment Form
- Conflict of Interest Form
- Insurance Certificates
Budget and Budget Justification

- Identify cost categories
- Personnel and Fringe Costs
- Materials and Supplies vs. Equipment
- Subawards vs. Service Agreement
- Anticipate cost of living increases and inflation
Proposal Routing and Approval Form (PRAF)

- Must be included with all routing packages
- Completed by OSP Manager and PI
- PI completes parts 1, 2, and 4 of the PRAF.
- OSP Manager completes part 3 once the budget has been finalized.
# San José State University Research Foundation
## Proposal Routing & Approval Form

### Part 1: Project Identification

**PROPOSAL TITLE**

**PROJECT DIRECTOR/PI**
- PHONE
- EMAIL

**CO-PROJECT DIRECTOR/PI**
- PHONE
- EMAIL

**SPONSOR NAME & ADDRESS**

**SPONSOR CONTACT PERSON**

**SPONSOR EMAIL**

**SPONSOR SUBCODES**
- Cost Share
- Tower
- Local Gov't
- Non-CA State Gov't
- International
- Other
- Request

### Part 2: Project Summary

**PROPOSAL DESCRIPTION**

**PROPOSAL TYPE**
- NEW
- RENEWAL
- SUPPLEMENT
- CONTINUATION

**AWARD TYPE**
- GRANT
- CONTRACT
- CO-OP AGREEMENT
- PURCHASE ORDER

**PURPOSE**
- RESEARCH
- INSTRUCTION

**WORK SITE**
- ON-CAMPUS SPACE (BUILDING NAME):
- OFF-CAMPUS SPACE
  (WORK SITE):

*OFF-CAMPUS DEFINITION: MORE THAN 50% OF EXPENDITURES, EXCLUDING SUB-AWARDS, WILL BE INCURRED FOR ACTIVITIES IN FACILITIES NOT OWNED OR LEASED BY SJSTU.*
### Part 4: Special Considerations

**RESEARCH COMPLIANCE**

1. Anything patentable, confidential, copyrightable, or proprietary?  [ ] Yes  [ ] No
2. Intellectual property in which SJSU may have an interest?  [ ] Yes  [ ] No
3. Does Sponsor require full IP ownership rights?  [ ] Yes  [ ] No
4. Additional insurance coverage needed (off site, volunteers)?  [ ] Yes  [ ] No
5. Additional Employment for Faculty?  [ ] Yes  [ ] No
6. Is an Organized Research Training Unit (ORTU) involved?  [ ] Yes  [ ] No
7. Use of DEA Controlled Substances and Listed Chemicals?  [ ] Yes  [ ] No
8. Biological Hazards? Carcinogens? Recombinant DNA?  [ ] Yes  [ ] No
9. Use of human subjects?  [ ] Yes  [ ] No
10. Use of vertebrate animals?  [ ] Yes  [ ] No
11. Student Participation?  [ ] For Credit  [ ] Non-Credit
12. Any impact on curriculum or degree programs?  [ ] Yes  [ ] No
13. Continuing Education programs?  [ ] Yes  [ ] No
14. Working with minors or those with sensitive positions (i.e. Minors under 18 years old or those with access to Financial or Level 1 Data)?  [ ] Yes  [ ] No
15. Subject to State Clearing House (Exec. Order 12372)?  [ ] Yes  [ ] No
16. Cost Share proposed?  [ ] Mandatory  [ ] Voluntary

**EXPORT CONTROL**

17. Will the project involve participation, collaboration, or access to information by foreign nationals?  [ ] Yes  [ ] No
18. Will the project involve the shipment of equipment, technology, software, materials data or other information?  [ ] Yes  [ ] No
19. Will the project involve a foreign subcontract or other foreign contractual agreement?  [ ] Yes  [ ] No
20. Use of Drones? Model / Category identified?  [ ] Yes  [ ] No

**FACILITIES, LAB & SPACE REQUIREMENTS** - If yes to any of the following, please provide approval documentation from FD&O and/or Chair and Dean

21. Additional SJSU facilities or equipment needed?  [ ] Yes  [ ] No
22. Facility remodeling or alteration proposed?  [ ] Yes  [ ] No
23. Substantial use of computing facilities or personnel needed?  [ ] Yes  [ ] No

**PERSONNEL & APPROVAL COMPLIANCE**

24. Other SJSU personnel mentioned in proposal?  [ ] Yes  [ ] No
25. Substantial use of library facilities or personnel?  [ ] Yes  [ ] No

**FINANCIAL CONFLICT OF INTEREST**

26. Financial Conflict of Interest to disclose?  [ ] Yes  [ ] No
27. PI provided list of all personnel deemed investigators* on project?  [ ] Yes  [ ] No

*Investigator can be the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by NASA/NSF/PHS/Other, or proposed for such funding, which may include, collaborators, consultants, and sometimes, students- if deemed as investigator, by the PI.
Developing and Submitting Proposals - Phase 2

Routing Timeline

- Allow **7-10 business days** to complete prior to submission
- Target submittal deadline is **two (2) business days prior** to sponsor deadline
- Each key personnel and their respective chair(s) and dean(s) in the proposal are included in the routing process
- Before the routing reaches AVP for Research, we require final documents.
Award Negotiation – Phase 3

- Awards from federal sponsors (i.e. NSF, NIH, DOE) have standard terms and conditions that are non-negotiable.

- Awards from local or industry sponsors (City of SJ, County of Santa Clara, IBM, Facebook, etc.) are negotiable. Once we receive an award, we will review the terms and conditions.
Award Terms to Consider:

- Federal flow down
- Invoice
- Publication Rights
- Intellectual Property
- Commercialization Rights
- Indemnification
- Termination
- Confidentiality
- Governing Laws
- Survival Language
Award Setup – Phase 4

• Should the project be funded, Sponsored Programs manager will review the new award and its terms and conditions.

• Sponsored Programs manager will create a unique 10 digit account number (ONESolution).

• ONESolution allows for grant management tracking:
  o Financial Conflict of Interest
  o Institutional Review Board (Human Subjects)
  o Institutional Animal Care & Use Committee (IACUC)
  o Responsible Conduct of Research Training (RCR)
  o Insurance – CSURMA-AORMA
  o Hazardous Materials - Environmental Health & Safety (EHS) Committee
  o Progress Reports
  o Fiscal Reports

• PI will collaborate with Sponsored Programs manager and the SJSURF HR team to hire student(s) and staff on the project.
# SJSU Research Foundation

## Summary of Account Status - Cumulative

- **Run Date:** 10/29/2019
- **Account:** 2115002222
- **Period:** 10/01/2019 to 10/31/2019
- **Agency:** National Science Foundation
- **Flow Down Agency:** N/A
- **Grant Period:** 12/01/2019 - 11/30/2022
- **Indirect Cost %:** 46.00

### Object Code Description | Total Budget | Current Rev/Exp | Cumulative Rev/Exp | Outstanding Commitments | Available Balance
--- | --- | --- | --- | --- | ---
21113 | Project Director-Summer | 20,413.00 | 0.00 | 0.00 | 0.00 | 20,413.00
21800 | Student Assistants | 11,880.00 | 0.00 | 0.00 | 0.00 | 11,880.00
21820 | S.A. Graduate | 6,600.00 | 0.00 | 0.00 | 0.00 | 6,600.00
Award Management – Phase 5

Sponsored Programs Manager Responsibilities:

• Acts as a primary point of administrative contact for the sponsoring agency

• Understands award terms and conditions and how to adhere to them

• Assists PIs in managing the administrative and financial details of their projects

• Oversees compliance with funding agency regulations and standards

• Ensures the timely submission of progress reports, financial reports and closeout reports

“We like to bring together people from radically different fields and wait for the friction to produce heat, light and magic. Sometimes it takes a while.”
Principal Investigator Responsibilities

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

• Conducts the work on the project according to research protocol or the statement of work that was submitted with the original proposal or as subsequently modified by the sponsor in agreement with the principal investigator and the university.

• Ensures that all work meets the highest ethical standards and is conducted without real or apparent conflicts of interest.

• Ensures that all work performed is conducted in compliance with applicable federal, state, and local laws and with CSU, SJSU, and Research Foundation policies.
Award Management – Phase 5

Principal Investigator Responsibilities

- Submitting reports on the research in a timely manner and according to the sponsor's requirements
- Abiding by the terms and conditions of the sponsored project award
- Managing project personnel in compliance with federal and state laws and Research Foundation policy
- Ensuring that all expenditures are made in compliance with the approved budget, and ensuring timely submission of expenses for reimbursements, appointment forms, and timesheets, taking into account all restrictions to avoid disallowances or overspending
Budgets and Expenditures –
All project expenditures must adhere to the principles of allowability, allocability, reasonableness, consistency, and availability as prescribed in the Federal Uniform Guidance 2 CFR-200.

Open communication reduces potential for:
• Late Cost Transfers
• Disallowances
• Revised Invoices and Financial Reports
• Audit Findings
Award Management – Phase 5

Sponsor Approvals:

- Re-budgeting
- Carry forward
- Change of PI or level of effort
- Pre-award spending
- No cost extension
- Subcontract that is not in original proposal
Reporting Requirements

Technical
- Progress/Interim
- Final

Financial
- SF 425 for federal awards
- Sponsor-specific forms for others
Award Management – Phase 5

Reporting Requirements – Be Timely!

Delinquent Reports May Result In:

- Sponsors withholding funding on future awards
- SJSU and the Research Foundation being identified as non-compliant with sponsor reporting requirements.
Project Closeout – Phase 6

- Meet with Sponsored Programs manager before the grant period is over.
- Clear all pending expenses.
- Ensure all deliverables have been met and all reports are submitted.
- Close project account within 90 days after the grant end date.
Teamwork Matters!

Acting on Behalf of SJSU and the Research Foundation

• Know who does what and who can help.
• Interact regularly – not just when there are fires.
• Ask and answer questions – communication is key.
• Remain flexible. Not all sponsors and awards are created equal.
• Be patient and be a resource.
• Remember that this is truly a team effort – we are all in this together!