Overview of Workshop

- Why We Have Forms
- Forms from OSP
- Forms from Human Resources
- Forms from Accounting/Finance
Why We Have Forms

- Federal Regulations
- State Regulations
- CSU Regulations
- Sponsor Regulations
Chancellor’s Office
President
Finance, Office of Research

Sponsored programs and external funding are key elements of the SJSU Strategic Plan, providing additional funding for technology, research and scholarly works, unbounded learning, and service learning. [http://www.sjsu.edu/president/strategicplanning/](http://www.sjsu.edu/president/strategicplanning/)

The SJSU President has designated the associate Vice President of Research as the Authorized Organizational Representative who approves proposals for external funding, along with the Associate Vice President of Finance.

SJSU Finance and SJSU Office of Research review and sign off on every grant or contract proposal for external funding that is submitted from SJSU.
How Things Work at SJSU – Micro View

CSU Executive Orders

SJSU University Policies

Federal Uniform Guidance

State of California

IMPORTANT!!
Check Our Policies
SJSU Academic Senate policies affect the development of proposals and the administration of funded awards (such as policies on animal subjects, human subjects, financial conflict of interest, and responsible conduct of research).

It is important in your role as project director or principal investigator to be fully aware of these policies, which can be found online: [http://www.sjsu.edu/researchfoundation/osp/researchpolicies/index.html](http://www.sjsu.edu/researchfoundation/osp/researchpolicies/index.html)

Other policies such as the Cost Share policy can also be found at [http://www.sjsu.edu/researchfoundation/osp/researchpolicies/index.html](http://www.sjsu.edu/researchfoundation/osp/researchpolicies/index.html)

SJSU and SJSURF policies were developed to protect your interests and those of the University and to comply with the following authorities:

- Chancellor’s Office – Executive Order 890
- Federal Uniform Guidance (formally known as OMB Circulars)
- Federal, State and Local Government Regulations
- Auditors (Chancellor’s Office, University, Federal/State and independent auditors)
Yes – there are policies and rules to follow, but they won’t stop you from achieving your goals.
Life Cycle of a Sponsored Project

Sponsored Program Administration
Proposal Submission (pre-award)
and
Project Management (post-award)

Proposal Submission & Sponsor Review

Internal Clearance

Proposal Development

Competing Continuation

New Project
Notify SPA of Intent to Submit

Annual Progress Report

Project Monitoring

Project Closeout: Final Report, etc.

Life Cycle of a Sponsored Project

Establish New Project Account

Award Negotiation & Acceptance

Spending Money

Pre-Award Processes

Transition from Pre-Award to Post-Award

Project Completion

Post-Award Processes

Non-competing Continuation

Life Cycle of a
Sponsored Project

Post-Award Processes
Proposal Process

Campus routing consists of review and signatures of

- PI, Co-PIs
- SJSU employees named in the proposal
- Chair
- Dean
- Sponsored Programs Manager
- Director, Office of Sponsored Programs or Research Foundation Officer
- SJSU Fiscal Officer
- SJSU Associate Vice President of Research

Notify chair and dean ASAP. Provide project summary and budget estimate to chair and dean at least 14 days prior to routing. Allow at least 7 business days for routing, more if multiple PIs or participants.

Once signed off by all campus signers we can submit.
Sample Proposal Timeline

11/19/15 – Sponsor’s Deadline

11/17/2015 – Research Foundation’s Submission Date
(2 days prior to sponsor’s deadline)

• 11/13/15 – Submit proposal to AVP of Research for approval (4 working days prior to sponsor’s deadline)
• 11/11/15 – Submit proposal to SJSU Fiscal Officer
• 11/10/15 – Submit proposal to SJSURF Officer
• 11/09/15 – Submit proposal to College Dean
• 11/08/15 – Proposal Reviewed by Chair

• 11/06/15 – PI Submits proposal documents to OSP for proposal routing preparation (14 working days prior to submission date)
  Proposal ready for routing to begin
Forms Required for Proposal Routing

- Proposal Routing and Approval Form
- SJSU Research Foundation Proposal Certification Form (New)
- Financial Conflict of Interest Form(s)
  - Financial Conflict Of Interest (FCOI) – 1 Disclosure Form (NIH & NSF)
  - Financial Conflict Of Interest (FCOI) – 2 Disclosure Form (Government Entities)
  - California 700-U
- Cost Share Commitment Acknowledgment of Responsibilities
- Human Subjects or Animal Subjects Principal Investigator Commitment Form
# Proposal Certification Form continued - Signatures

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<thead>
<tr>
<th>PI/Project Director</th>
<th>Date</th>
<th>Co-PI/Co-PD</th>
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<td>Co-PI/Co-PD’s Chair</td>
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</tr>
<tr>
<td>PI’s Dean</td>
<td>Date</td>
<td>Co-PI/Co-PD’s Dean</td>
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<tr>
<td>#2 Co-PI/Co-PD</td>
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<td>#3 Co-PI/Co-PD</td>
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### Other SJSU Employees Included in Proposal

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<thead>
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### Additional Required Signatures

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<th>Biological Hazards, Carcinogens, rDNA Review</th>
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<tr>
<td>Genetically Engineered Organisms</td>
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<td>OTHER: Date</td>
</tr>
<tr>
<td>Substantial Use of SJSU Computing Facilities</td>
<td>Date</td>
<td>OTHER: Date</td>
</tr>
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Conflicts of Interest & Other Documents

NSF, NIH and other federal sponsors require a financial conflict of interest policy

- Financial Conflict Of Interest (FCOI)–1 Disclosure Form
  For use with NSF and PHS-funded agencies Only

- Financial Conflict Of Interest (FCOI)–2 Disclosure Form
  For use with contracts that include conflict of interest clauses from governmental entities

- California Form 700-U
  Statement of Economic Interests for Principal Investigators

- NIH Investigator Assurance

- NIH Investigator Public Access Policy Acknowledgement
Financial Conflict Of Interest (FCOI) – 1 Disclosure Form (NIH & NSF)

San José State University Research Foundation
Office of Sponsored Programs

Financial Conflict Of Interest (FCOI) – 1 Disclosure Form
For use with NSF and PHS-funded Agencies Only

Investigator Name: ________________________________

Department/College: ________________________________

Project Title: ________________________________

Proposed Sponsor: ________________________________

I am a PI [ ] Co-PI [ ] Other Key Personnel [ ] Subcontractor [ ] Consultant [ ] Student [ ]

[ ] At this time, I have nothing to disclose.

[ ] At this time, I am disclosing the significant financial interest(s) indicated below.

Responses must include the investigator, spouse, and dependent children.

Name of Entity: ________________________________

Address of Entity: ________________________________

Principal Business of Entity: ________________________________

Publicly Traded Entity: [ ] Non-Publicly traded Entity: [ ]

Are you a director, officer, partner, trustee, or employee of the entity? [ ] Yes [ ] No

Do you have an investment of $1,000 or more in the entity? [ ] Yes [ ] No

Do you hold an equity position of 5% in the entity? [ ] Yes [ ] No

Have you received income of $250 or more, or gifts valued at $50 or more from the entity?
(Exclude income received from the entity for a current or previously funded project.) [ ] Yes [ ] No

Have you received a loan from the entity for which the outstanding balance exceeded $250 in the past 12 months? [ ] Yes [ ] No

Do you have an interest in any intellectual property rights belonging to the entity as of the date of the disclosure? [ ] Yes [ ] No

For publicly-traded entities, does the value of any remuneration received in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceed $1,000? (For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.) [ ] Yes [ ] No

For non-publicly-traded entities, does the value of any remuneration received from the entity in the twelve months preceding the when aggregated exceed $1,000? [ ] Yes [ ] No
Conflict Of Interest Disclosure—Form-2
(Governmental Entities)

San José State University Research Foundation
Office of Sponsored Programs

Conflict Of Interest Disclosure Form - 2
For Use with Contracts that Include Conflict Of Interest Clauses from
Governmental Entities

Investigator Name: ____________________________

Department/College: ____________________________

Project Title: ____________________________

Proposed Sponsor: ____________________________

At this time, I have nothing to disclose. ☐

At this time, I have disclosed a potential conflict of interest below. ☐

I am disclosing the following significant financial interest or other potential conflict of interest related to the entity funding the project or the entity involved with the project as described above and below. Note: Responses should include the investigator, his/her spouse, and any dependent children.

Name of Entity: ____________________________

Address of Entity: ____________________________

Principal Type of Business: ____________________________

Are you a director, officer, partner, trustee, or employee of the entity? Yes ☐ No ☐

Do you have an investment of $1,000 or more in the entity? Yes ☐ No ☐

Do you hold an equity position of 5% in the entity? Yes ☐ No ☐

Have you received income of $250 or more, or gifts valued at $50 or more from the entity? (Exclude income received from the entity for a current or previously funded project.) Yes ☐ No ☐

Have you received a loan from the entity for which the outstanding balance exceeds $250 in the past 12 months? Yes ☐ No ☐

Do you have an interest in any intellectual property rights belonging to the entity? Yes ☐ No ☐

Investigator Certification:

• I agree to update this disclosure either on an annual basis, or as new reportable significant financial interests are obtained, and at project completion.

• I agree to cooperate in the development of a resolution plan to address any actual or potential conflict of interest identified via this disclosure.

• I agree to comply with any conditions or restrictions imposed by SJSU to manage, reduce, or eliminate actual or potential conflicts of interest or forfeit the award.

• I agree that I have no interest, will not acquire any interest, direct or indirect, financial or otherwise, that would conflict in any manner or degree with the performance of this agreement. I further understand that, in the performance of this agreement, I will not employ any contractor or person having such an interest.

• I agree to comply with the specific conflict of interest clause in the contract or agreement executed for the above-named project.

Signature: ____________________________ Date: _____________

Endorsements: I have reviewed this significant conflict of interest disclosure and believe that no significant conflict of interest exists, or that one does exist a resolution plan to manage, reduce, or eliminate any actual or potential conflict of interest is attached to this disclosure.

Signature: ____________________________ Date: _____________

Associate Vice President of Research signature is required if a potential conflict of interest is disclosed above.
NIH Investigator Assurance

The Department of Health and Human Services requires that all investigators named on an NIH proposal application complete the NIH Investigator Assurance. The signed assurance must be available to the sponsoring agency or other authorized DHHS or Federal officials upon request. Please read, sign, and date the assurance as required. The completed document will remain on file at the SJSU Research Foundation.

As principal investigator (PI) or Co-PI, I certify that:

1. The information submitted on the application is true, complete, and accurate to the best of my knowledge;
2. I am not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
3. I have not, within the last three (3) years, been convicted of, or had a civil judgment rendered against me for:
   • committing fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction, or contract under a public transaction;
   • violating a Federal or State antitrust statute;
   • embezzlement, theft, forgery, bribery, falsification or destruction of records, or making false statements or receiving stolen property;
4. I am not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated above; and
5. I have not, within the last three (3) years, had any public transaction (Federal, State, or local) terminated for cause or default.

I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application.

I understand that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

Printed Name

Signature

Date

SJSU Research Foundation
Office of Sponsored Programs

NIH Investigator Assurance

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Printed Name

Signature

Date

SJSU Research Foundation
NIH Investigator Public Access Policy Acknowledgement

The National Institutes of Health Public Access Policy requires investigators to make available all articles stemming from NIH funding on PubMed Central. This policy applies to all peer-reviewed articles accepted for publication in a journal on or after April 7, 2008.

Specifically, the NIH Public Access Policy ensures that “the public has access to the published results of NIH funded research. It requires scientists to submit final peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central upon acceptance for publication. To help advance science and improve human health, the Policy requires that these papers are accessible to the public on PubMed Central no later than 12 months after publication.”

For additional policy details, please visit the NIH Public Access Policy website (http://publicaccess.nih.gov/index.htm).

A number of issues may be raised by the need to ensure that authors maintain the legal rights (copyright) required to ensure compliance with this policy when working with publishers. Please contact Jeannie Dittman (408-924-1434 or email jeannie.dittman@sjasu.edu) with any questions regarding specific copyright language you may need to include as part of your contractual agreement with your publisher.

By printing and signing your name below, you acknowledge that you have read and understand the NIH Public Access Policy.

___________________________
Printed Name

___________________________
Signature

___________________________
Date
Other People You Should Know

Alena Filip, IRB Coordinator, (408) 924-2479 or alena.filip@sjsu.edu
Human Subjects – Institutional Review Board (IRB)

The collection of data from humans, including surveys, interviews, questionnaires, web forms, evaluations in which opinions are sought, etc., all require IRB review (application or request for exemption). Requires NIH Online Training (2 hours).
http://www.sjsu.edu/research/irb/index.html

Larry Young, IACUC Coordinator, (408) 924-4929 or lyoung@science.sjsu.edu
Animal Subjects – Institutional Animal Care and Use Committee (IACUC)

SJSU has established an IACUC, which is qualified through the training and expertise of its members to oversee the institution's animal care and use program, university facilities, and all animal-related activities.
http://www.sjsu.edu/gradstudies/iacuc/
San José State University Research Foundation
Human Subjects or Animal Subjects
Principal Investigator Commitment Form

Include this form in the proposal routing package when the sponsored project includes animal subjects or human subjects.

Prior approval by the Institutional Review Board (IRB) is required for all San Jose State University research involving human subjects. Prior approval by the Institutional Animal Care and Use Committee (IACUC) is required for all SJSU research involving animal subjects. Please note that research projects may not begin until the appropriate approval is received.

In order to allow ample time for review and approval, we recommend submission of the protocol package no later than sixty (60) days prior to the expected award date.

Principal Investigator:

College: __________________________ Department: __________________________

Email Address: __________________________ Phone Number: __________________________

Title of Project or Proposal: __________________________________________

__________________________ Propos. Due Date: __________________________ Expected Award Date

Sponsor: ____________________________

This proposal for external funding includes: ☐ Human Subjects ☐ Animal Subjects

By signing this document you are agreeing to the statements in the section below.

1) As principal investigator (PI) I agree to submit a protocol package for approval within the recommended timeframe to:

☐ San Jose State University IRB coordinator for inclusion of human subjects in my research project

☐ San Jose State University IACUC coordinator for inclusion of animal subjects in my research project

2) Should the sponsor require an approved protocol earlier than the award date, I will take the necessary steps to comply with the sponsor’s request.

3) In rare circumstances when the protocol cannot be determined until after the awarded project begins, I will submit a request in writing to the Associate Vice President of Graduate Studies and Research for approval to proceed with work on the awarded project. I further understand, that the approval must be provided to the SJSU Research Foundation.

4) I understand that I am required to provide a copy of the protocol approval from the IRB or the IACUC to the SJSU Research Foundation.

5) I fully understand that the award cannot be accepted at the SJSU Research Foundation unless the required approvals have been provided.

Principal Investigator
Printed Name: __________________________________________

Principal Investigator
Signature: __________________________________________ Date: __________

Revised 11/2013
Cost-Share Commitment

Acknowledgment of Responsibilities

Sponsored Programs

DATE: __________________________

FROM: _________________________

TO: SJSU Research Foundation

As the Principal Investigator of the proposed project entitled:

I certify that I have read and understand the SJSU Research Foundation Policy and Procedures on Cost-Share for Sponsored Programs.

My cost-sharing estimates are feasible estimates from pre-determined and verifiable sources.

I will fully assist the SJSU Foundation in obtaining accurate cost-share documentation for funded projects in a timely manner and for upon request of the SJSU Foundation. I understand that documentation requests may be on a monthly, quarterly, or semi-annual basis depending on the project.

The SJSU Foundation Cost-Share Policy details examples of acceptable cost-share documentation. Such documentation includes, but is not limited to:

- actual receipts (not purchase orders) for each cost-share dollar received and spent
- time and effort accounting for in-kind match
- contribution details from partner or third party organizations on letterhead, signed by an authorized official.

If cost-share documentation is not provided as agreed, it may be necessary for the SJSU Foundation to stop further expenditures of sponsor funds until cost-sharing objectives are met.

I have detailed the cost-share on the other side of this form, and I understand it is subject to audit.

PI Signature __________________________ Date __________________________

Chair Signature ______________________ Date __________________________

Dean Signature ______________________ Date __________________________
## Cost-Share Commitment Details

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<td></td>
<td>☐ In-kind</td>
<td></td>
<td>☐ YES ☐ NO</td>
</tr>
<tr>
<td></td>
<td></td>
<td>☐ Cash</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**TOTAL COST SHARE**

* A commitment letter from the sponsor is required for all off-campus cost-share sources.
SJSU Research Foundation
210 North Fourth Street, 4th Floor San Jose, CA 95112-5560
Phone (408) 924-1400 Fax: (408) 924-1406

PRE-AWARD SPENDING AUTHORIZATION

Sponsor Agency:
Project Director/PI Name:
Project Title:

Description of and justification for proposed action: if additional space is needed, please provide the justification as an attachment

Award or Subcontract No. or Information:
Anticipated Period of Performance:
Total Award or Contract amount:

Scope of Work: if additional space is needed, please provide the Scope of Work as an attachment

Assurances:

AS PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR OF THIS PROJECT, I CERTIFY THAT:

☐ This Pre-Award Spending Request is necessary to achieve the project objectives supported by the project.

☐ Should the sponsor be unable to provide the funds I will ensure the funds are reimbursed to the SJSU Research Foundation through the following account(s): (Required)

Project Director or Principal Investigator Signature / Date:

The Chair & College Dean have reviewed this request with respect to academic aspects and the funding risk involved.

Department Chair Signature / Date College Dean Signature / Date

I have reviewed this request with respect to CSU, SJSU, SJSURF, and federal and state regulations.

Director, Office of Sponsored Programs

Internal Request for Foundation Account #: Revised 7/2015
Post-Award Forms are available on the Research Foundation Forms web page: [http://www.sjsu.edu/researchfoundation/formsdir/index.html](http://www.sjsu.edu/researchfoundation/formsdir/index.html)

For Assistance Contact: Lan Duong  Associate Director Post –Award Services  
Email: [lanngoc.duong@sjsu.edu](mailto:lanngoc.duong@sjsu.edu)  Phone: 408-924-1426
# Human Resources Forms

<table>
<thead>
<tr>
<th>Document Name</th>
<th>Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-Academic Appointment Form</td>
<td>For any personnel change action (Account Number, Salary or FTE) for non-faculty employees</td>
</tr>
<tr>
<td>Academic Appointment Form</td>
<td>For any personnel change action for faculty employees</td>
</tr>
<tr>
<td>Request to Recruit</td>
<td>For all benefited positions; submit with job description to begin recruitment process (which takes at least two weeks)</td>
</tr>
<tr>
<td>Independent Contractor (IC) Agreement</td>
<td>To hire independent contractor (other than CSU or SJSURF employees), prior approval required</td>
</tr>
</tbody>
</table>
Human Resources Forms

<table>
<thead>
<tr>
<th>Document Name</th>
<th>Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>E-Verify (Electronic I-9)</td>
<td>Must be completed within three days of initial hire date</td>
</tr>
<tr>
<td>Live Scan</td>
<td>Required when working with children</td>
</tr>
<tr>
<td>Termination Appointment Form</td>
<td>For employment terminations. Must be submitted with final timesheet (at least three days prior to termination date)</td>
</tr>
</tbody>
</table>

Human Resources Forms are available on the Research Foundation Forms web page: [http://www.sjsu.edu/researchfoundation/formsdir/index.html](http://www.sjsu.edu/researchfoundation/formsdir/index.html)

For Assistance Contact: Ranjit Kaur, Research Foundation HR Manager  
Email: [ranjit.kaur@sjsu.edu](mailto:ranjit.kaur@sjsu.edu)  Phone: 408-924-1409  
Or  
Lupe Lechuga Research Foundation Associate Director HR  
Email: [lupe.lechuga@sjsu.edu](mailto:lupe.lechuga@sjsu.edu)  Phone: 408-924-1410
## Accounts Payable Forms

<table>
<thead>
<tr>
<th>Document Name</th>
<th>Use</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Travel</strong></td>
<td></td>
</tr>
<tr>
<td>• Travel Approval Form</td>
<td>To obtain pre-approval. CSU requires pre-approval for travel.</td>
</tr>
<tr>
<td>• Travel Expense Claim Form</td>
<td>For travel expense reimbursements.</td>
</tr>
<tr>
<td>• Private Vehicle Use</td>
<td>When using your personal vehicle for grant-related travel such as seminars and site visits.</td>
</tr>
<tr>
<td><strong>Cashiering</strong></td>
<td></td>
</tr>
<tr>
<td>• Deposit Summary Form</td>
<td>To make deposits into your Research Foundation account</td>
</tr>
<tr>
<td><strong>Accounts Payable Forms</strong></td>
<td></td>
</tr>
<tr>
<td>• Justification of Percentage of Business Use (Cell Phones)</td>
<td>To submit a claim for reimbursement of cell phone charges.</td>
</tr>
</tbody>
</table>
# Accounts Payable Forms

<table>
<thead>
<tr>
<th>Document Name</th>
<th>Use</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Accounts Payable Forms</strong></td>
<td><strong>Requisition Form</strong> To submit vendor or IC invoices for payment. Attach the invoice and supporting documentation.</td>
</tr>
<tr>
<td><strong>W-9</strong></td>
<td>To identify vendor’s company status. Federal Identification Numbers are required on all payments to vendors and IC's.</td>
</tr>
<tr>
<td><strong>W-8</strong></td>
<td>To identify foreign vendor’s company status.</td>
</tr>
<tr>
<td><strong>P-card Forms</strong></td>
<td><strong>New P-card Form</strong> To request a P card to use with your Research Foundation grant account</td>
</tr>
<tr>
<td><strong>P-card Maintenance Form</strong></td>
<td>To change your mailing address or name.</td>
</tr>
<tr>
<td><strong>Remittance Form</strong></td>
<td>To submit P-card expenses to the Research Foundation.</td>
</tr>
</tbody>
</table>
Accounts Payable Contact

Accounts Payable, Travel, and P-Card Forms are available on the Research Foundation Forms web page:
http://www.sjsu.edu/researchfoundation/formsdir/index.html

For Assistance Contact: Adele Ajimura, AP/Cashier Manager
Email: adele.ajimura@sjsu.edu  Phone: 408-924-2864
Plan for Success

- **Determine funding agencies** (SJSURF and Corporate & Foundation Relations can assist).

- **Talk with the sponsoring agency’s program officer** (SJSURF, and SJSU Office of Research can facilitate).

- **Tailor your ideas (or subset of ideas) to the grant application** (SJSURF, Corporate & Foundation Relations, Office of Research, Center for Faculty Development, and other campus resources can help).

- **Prepare your documents well in advance of the sponsor’s deadline.**

- **Plan to be available the day before and the day of submittal.**
A Celebration of
SJSU Sponsored Research

Wednesday, February 10, 2016

4:00-6:00 pm
Featuring Program Exhibits
and
Presentations
by
Externally Funded Faculty and Staff