Introduction to the SJSU Research Foundation – Focus on Pre-Award

Sponsored Programs Workshop
October 15, 2015
Overview of Workshop

- How Things Work at SJSU
- What is the SJSU Office of Research?
- What is the SJSU Research Foundation?
- What is Corporate and Foundation Relations? What is the Tower Foundation?
- Overview of Services
- Benefits of Funding, Partnerships, and Collaborations
- Types of Funding Opportunities
- Resources for Finding Funding - Quick Start Path
How Things Work at SJSU – Macro View
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.
The SJSU Research Foundation (SJSURF) serves as the campus Sponsored Programs Administrator or SPA. SJSURF is authorized to develop and submit proposals for external funding (pre-award), as well as receive and administer awards (post-award).

Sandeep Muju is the SJSURF Executive Director. Jeanne Dittman is the SJSURF Director of Sponsored Programs (Information Services, Pre-Award, Post-Award, Self-Support) [www.sjsu.edu/researchfoundation](http://www.sjsu.edu/researchfoundation)

The Tower Foundation is the university’s foundation dedicated to philanthropy, strengthening SJSU’s connections with alumni, donors, and the community. The Tower Foundation is dedicated to powering the university through donations, bequests, and major gifts.

The Corporate & Foundation Relations team from University Advancement works on behalf of the Tower Foundation to develop proposals for gifts and grants submitted to private foundations and corporations. All proposals are subject to the same approval process as grants handled by the SJSU Research Foundation.

The SJSU Research Foundation, Tower Foundation, and Corporate & Foundation Relations work together to ensure consistency with university priorities.
Five Year CFR Commitment History

*Through September 30, 2015
CFR – Campaign Progress

Campaign Progress

- Over Goal
- Campaign Goal

$208,863,849

$200,000,000

104%

$200,000,000

$50,000,000

$100,000,000

$150,000,000

$200,000,000

$250,000,000

$300,000,000

Confidential

CampaignDashboardJune2013 - FINAL

7/16/2013
CFR – Support by Source

Support by Source (New Commitments)

- Foundations: $39,370,878; 19%
- Corporations: $25,365,365; 12%
- Individuals: $144,127,106; 69%
Corporate & Foundation Relations Team

Contact Information:

- **Diane Satriano, Director**  
  Corporate & Foundation Relations  
  Ext. 4-3410

- **Eric Bonesteel, CFR Officer**  
  Corporations  
  Ext. 4-1493

- **Paul McNamara, Foundation Officer**  
  Foundations  
  Ext. 4-1471

- **Michelle Smith, CFR Officer**  
  Foundations  
  Ext. 4-1135
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.
Established in 1932, the SJSU Research Foundation has been around for 80 years.

SJSURF’s first project was the construction of the original football stadium in 1933.

SJSURF also managed the reacquisition of land at the corner of Fourth and San Fernando Streets from the City of San José on which stood a Carnegie Library. The same site was later developed into Wahlquist Library from 1942-2000, then later into the current Dr. Martin Luther King, Jr. Library.

(Photos from SJ Library photostream on Flicker)
Today SJSURF receives **over $41 million** in federal, state, and private funding each year.

A **501(c)(3) non-profit corporation**, the SJSU Research Foundation provides an **entrepreneurial management structure** through which the campus carries out **essential specialized instructional and service activities** not normally supported by the state budget.

SJSURF is organized to provide the kind of **comprehensive business infrastructure and professional services** that make it possible for our faculty to focus more on research and project deliverables, and less on administrative details.
SJSU Research Foundation
Overview of Services

- **Pre-award** staff to help identify funding opportunities, develop and submit proposals

- **Post-Award** staff to help manage award expenditures

- **Human Resources** staff to help with job posting, hiring, personnel

- **Accounting and Finance** staff to help with invoicing, purchasing, payroll

- **Administration for Self-Supported Projects**

- **Assistance with Intellectual Property**

- **Federal Advocacy**

- **Regular workshops** on external funding
Why do I Need These Services?
Benefits of Funding – Purchase Power

- **Opportunity to do what you love** (research, training, community service)
- **Release Time** (change the proportion of time spent on activities)
- **Overload** (potential to earn more salary during the AY or summer)
- **Hire student assistants**
- **Travel** (for yourself and students)
- **Publication or presentation costs**
- **Student stipends**
- **Resources for curriculum development**
- **Training programs** for students
- **Supplies and equipment**
- **Recognition** (hint: dossier and RTP)
Benefits of Funding – Increasing Ability

The ability to conduct research is central to the vitality of your discipline.

**Increases ability to:**

- attract highly qualified members of staff and faculty.
- attract highly qualified students.
- contribute through the advancement of professional practice, developing standards, presenting workshops, presenting at conferences, and serving as leaders of professional associations.
- enhance reputation both nationally and internationally.

One leads to another and all of them add up to a stimulating work environment!
Benefits of Creating Partnerships and Collaborations

- Offers **opportunity to network with other experts** and broadens your perspectives.

- **Companies and community agencies** place importance on their role **supporting students and education**.

- Research partners can provide **access to resources beyond the campus**.

- Opportunity for you to **leverage our unique location—Silicon Valley**.

- Success breeds success and can lead to **larger opportunities for you, our campus, and professional affiliations**.
What Kind of Funding is Out There?

- Grants (both internal and external)
- Contracts with Specific Deliverables (external)
- Fellowships
- Donations
- Endowments
Locating External Funding Opportunities

Locating Sponsors and Funding Opportunities
- Funding Alert System—Keyword Selection and Sign-up
- Upcoming Grant Application Deadlines
- Government Agency Funding Sources
- On-Campus Funding Sources

Searchable Funding Databases
- Sponsored Programs Information Network (SPIN)
- Grants.gov
- Grants Resource Center (GRC)

Information Resources
- Office of Sponsored Programs Bulletin
- Staff to help with individual searches

http://www.sjsu.edu/researchfoundation/osp/findingfunding/
SJSURF Funding Alert System

What is it?
- A database that matches **keywords** (representing your **research interests**) to keywords from various **funding opportunities**.
- We use the system to send you (Funding Alert) emails that notify you of matching opportunities with upcoming deadlines.

http://www.sjsu.edu/researchfoundation/osp/findingfunding/fundingalerts/index.html

How to Sign Up
- Review the Keyword List and select **keywords** from list the that match your research interest.
- Complete and save the subscription form, and then email a copy of the completed form to: **foundation-osp-infoservices@sjsu.edu**

Contacts:
Brenda Swann, Information Services Manager – (408) 924-1414 or
Carmina Grande-Som, Information Services Assistant – (408) 924-1437
That’s a lot of info! Where do I start?
Quick Start Path

- Talk with your colleagues, chair, and deans

- Get to know your **Sponsored Programs Staff** at the SJSURF

- Contact the Associate Dean of Research, SJSU Office of Research

- Contact Information Services and sign up for **Funding Alerts** to become familiar with external sources of funding and can plan ahead for future deadlines

- Attend **Grant Workshops – you’ve already started!** Office of Research, SJSURF, CFD, GDA, C&FR have teamed up for an array of workshops for AY 15-16
Life Cycle of a Sponsored Project

- Proposal Submission (pre-award) and Project Management (post-award)
- Project Proposal Submission & Sponsor Review
- Award Negotiation & Acceptance
- Post-Award Processes
- Project Completion
- Annual Progress Report
- Project Closeout: Final Report, etc.
- Internal Clearance
- Pre-Award Processes
- Transition from Pre-Award to Post-Award

Pre-Award Processes

Life Cycle of a Sponsored Project
Each of the Research Foundation's sponsored programs managers is responsible for assisting in preparing, processing, and submitting your grant proposal and budget (pre-award).

Sponsored programs analysts assist with post-award services that encompass the financial management of a contract or grant award.
# OSP Staff Directory

## SJSU Research Foundation Office of Sponsored Programs

### Directory by College

<table>
<thead>
<tr>
<th>College of Applied Sciences and Arts</th>
<th>College of Education</th>
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<tbody>
<tr>
<td>College of Humanities and the Arts</td>
<td>Ellen Orosa 924-1546</td>
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<tr>
<td>College of Business</td>
<td>Jennifer Goff</td>
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<td>College of Engineering</td>
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<tr>
<td>College of Science - Meteorology</td>
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<tr>
<td>Michele Vaccaro 924-1430</td>
<td><a href="mailto:michelle.vaccaro@sjsu.edu">michelle.vaccaro@sjsu.edu</a></td>
</tr>
<tr>
<td>College of Science (except Meteorology and Moss Landing Marine Laboratories)</td>
<td></td>
</tr>
<tr>
<td>Bill Yabumoto 924-1307</td>
<td><a href="mailto:william.yabumoto@sjsu.edu">william.yabumoto@sjsu.edu</a></td>
</tr>
<tr>
<td>College of Science - Moss Landing Marine Laboratories</td>
<td></td>
</tr>
<tr>
<td>Joaquin Ramirez 924-1440</td>
<td><a href="mailto:joaquin.ramirez@sjsu.edu">joaquin.ramirez@sjsu.edu</a></td>
</tr>
<tr>
<td>College of Science - Moss Landing Marine Laboratories: Marine Operations</td>
<td></td>
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<tr>
<td>Khalid Nguyen 924-1420</td>
<td><a href="mailto:khalid.nguyen@sjsu.edu">khalid.nguyen@sjsu.edu</a></td>
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<tr>
<td>All University Programs</td>
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<tr>
<td>College of Social Sciences</td>
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<tr>
<td>Radha Aravamuthan 924-1427</td>
<td><a href="mailto:radha.aravamuthan@sjsu.edu">radha.aravamuthan@sjsu.edu</a></td>
</tr>
<tr>
<td>College of Science - Moss Landing Marine Laboratories: Pre-Award and Post-Award Assistant</td>
<td></td>
</tr>
<tr>
<td>Mary Margaret Perez 924-1310</td>
<td><a href="mailto:mmperez@milcalstate.edu">mmperez@milcalstate.edu</a></td>
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<tr>
<td>Pre-Award</td>
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<tr>
<td>Self-Support</td>
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<tr>
<td>Operations</td>
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<tr>
<td>Angela An 924-7704</td>
<td><a href="mailto:angela.an@sjsu.edu">angela.an@sjsu.edu</a></td>
</tr>
<tr>
<td>Proposal Processing Coordinator</td>
<td></td>
</tr>
<tr>
<td>Richard Chavez 924-1452</td>
<td><a href="mailto:richard.chavez@sjsu.edu">richard.chavez@sjsu.edu</a></td>
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<td>Joaquin Ramirez 924-1440</td>
<td><a href="mailto:joaquin.ramirez@sjsu.edu">joaquin.ramirez@sjsu.edu</a></td>
</tr>
<tr>
<td>College of Science - Moss Landing Marine Laboratories: Marine Operations, Marine Pollution Studies Laboratory, Water Pollution Control Laboratory, SJSU Self-Supported Project Accounts</td>
<td></td>
</tr>
<tr>
<td>Nicky Yoneda 924-1441</td>
<td><a href="mailto:nicky.yoneda@sjsu.edu">nicky.yoneda@sjsu.edu</a></td>
</tr>
<tr>
<td>SJSU Self-Supported Project Accounts</td>
<td></td>
</tr>
<tr>
<td>Steve Constantine 924-2170</td>
<td><a href="mailto:stephen.constantine@sjsu.edu">stephen.constantine@sjsu.edu</a></td>
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### Information Services

<table>
<thead>
<tr>
<th>Brenda Swann, Information Services Manager</th>
<th>Carmina Sorn, Information Services Assistant</th>
</tr>
</thead>
<tbody>
<tr>
<td>408-924-1441</td>
<td><a href="mailto:carmina.sorn@sjsu.edu">carmina.sorn@sjsu.edu</a></td>
</tr>
</tbody>
</table>

(On leave until 2/2018)
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

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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/
As **principal investigator or project director** your role is to put your best effort into creating your proposal narrative, ensuring accuracy, integrity, and compliance.

The SJSU Research Foundation role is to help **ensure completeness and compliance** in the budget and in the overall submitted proposal package.

**PI and SJSURF work together** through the proposal preparation and proposal routing processes.
Principal Investigator:  

- Notifies SJSURF and reads program guidelines  
- Works with SJSURF on budget preparation  
- Uploads proposal documents to the Cayuse proposal routing system for Manager review and routing  
- Obtains peer review from colleague or Office of Research  
- Notifies chair and dean of intention ASAP  
- Allows at least 7-14 calendar days for campus routing  
- Plans for SJSURF to submit at least two days in advance of the sponsor deadline
Sponsored Program Manager Role – Expanded

Sponsored Programs Manager:

- Reviews **guidelines** and provides **guidance and interpretation**
- Assists with **budget preparation**
- Reviews the proposal documents uploaded to Cayuse
- Ensures **adherence** to guidelines-format, content, regulations
- Facilitates review and approval by **SJSU campus signers**
- Provides **quality assurance review**
- Submits proposals two days or more before sponsor deadline
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
- 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.
Proposal Process Timeline

Allow at least 7-14 calendar days for routing.

Sponsor Deadline = October 30

Submittal Date = October 28

Peer-Reviewed Documents to Cayuse for Routing = October 21.

Also work with your sponsored programs manager to have your final proposal budget completed by October 20.

Project Summary and Budget Overview or draft to chair and dean 10/7.

Please keep these timing issues in mind as you plan.
Proposal Preparation and Writing
Quick Overview

- **Allow plenty of time** to prepare your proposal thoughtfully and carefully.
- **Read the guidelines completely and thoroughly** before beginning, taking note of critical items.
- **Follow the guidelines!**

You know your research or what you want to achieve. The trick is to put it on paper. In many cases the sponsor’s guidelines tell you what they want you to write about. **Use the guidelines as a guide to structure your Project Description, Scope of Work, or Narrative.**

For example, if the guidelines say to include sections on the **Team, Methodology, and Management Plan** in your project description, then use those headings in your project description. **The reviewers appreciate clarity**, and it shows that you have read the guidelines.
Plan for Success

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

- **Talk with your sponsoring 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**.
Awards Received Fiscal Year 2014-15

- CASA: $3,084,140
- Business: $2,197,020
- Education: $1,118,100
- Engineering: $1,766,604
- Humanities & Arts: $136,400
- Science: $5,530,650
- Moss Landing Marine Laboratories: $7,052,005
- Social Science: $19,220,180
- University Programs: $1,871,676

Total: $41,976,775
November 19, 2015

SJSU Research Foundation
Grant Proposal Development Workshop

MLK Library 255/257
11:30am – 1:00pm
A Celebration of SJSU Sponsored Research

Tuesday, November 3, 2015

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