SJSU RESEARCH FOUNDATION

Managing Your Funded Projects

Sponsored Programs Workshop
March 10, 2016
Overview

- **Sponsored Programs**
  - Pre-Award
  - Post-Award
  - Self-Supported Programs

- **Finance and Accounting**
  - Purchasing
  - Accounts Payable
  - Payroll
  - Risk Management

- **Human Resources**
Pre-Award

- Provides funding information resources and assists faculty in locating funding opportunities.
- Works directly with faculty on the creation and development of contract and grant proposals.
- Analyzes and negotiates the grants or contracts with the sponsoring agency.
- Assists faculty with the development of the proposal budget.
Pre-Award – cont’d.

- Assists faculty with finding potential collaborators within the university community (where appropriate).

- Negotiates intellectual property terms and conditions related to patents, copyrights, trademarks, and other technology transfer issues.

- Advises faculty on potential risks and responsibilities.

- Works with faculty to resubmit proposals.
Post-Award

- Receives award notices from funding agencies.
- Sets up accounts (20 series accounts).
- Provides financial oversight and management of grants or contracts.
- Advises principal investigators on internal and sponsored agency’s guidelines, policies, and procedures.
- Serves as liaison between principal investigator and other departments (such as HR, Payroll, and Accounting) on transactions.
Ensures that expenses are aligned with the approved budget.

Monitors funds to make sure expenses are within the project period and the project is not overrun.


**Note:** The Federal agency has consolidated eight circulars into one—called the *Uniform Guidance or 2CFR Part 200*. The new circular became effective 12/26/2014.
Post-Award – cont’d.

- Follows up with principal investigators on cost share if required by the agency.
- Ensures that technical progress and fiscal reports are submitted to the agency on time.
- Closes out accounts.
Time and Effort Reporting


- Required to verify that the individual is performing the work, and that the effort distribution in the HR/Payroll system is a reasonable reflection of how the individual’s effort was actually performed on the federally funded project.

- Reflects the activities applicable to each sponsored agreement, general operations, and other indirect activities including academic units and that the total equals to 100%.
Self-Supported Programs Team

- Provides financial oversight and management of non-state funded educational activities underwritten by fees, or by the SJSU Research Foundation itself.

**Examples:** Faculty seminars, conferences, workshops, and organized campus research units.

The department or college requests to open the new accounts using a request form. Forms are located on the Research Foundation **Forms** web page.

- Sets up accounts (30 and 50 series accounts).
Self-Supported Programs Team – cont’d.

- Advises principal investigators and staff on policies and procedures.
- Serves as liaison between principal investigator and other departments (such as HR, Payroll, and Accounting) on transactions.
- Monitors funds to ensure that the project is in compliance with required policies.
- Closes out accounts.
### Research Foundation Funded Groups

<table>
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<tr>
<th>Analyst</th>
<th>Fund Group</th>
<th>Description</th>
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<tbody>
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<td></td>
<td>25</td>
<td>Other Government; International</td>
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</table>
## SJSU Research Foundation

### Summary of Account Status - Cumulative

**Run Date:** 11/10/2014  
**Account:** Admin  
**Period:** 11/01/2014 to 11/30/2014  
**Agency:** National Science Foundation  
**Flow Down Agency:** N/A  
**Grant Period:** 06/01/2011 - 05/31/2015  
**Indirect Cost %:** 43.40  
**Deliver To:**  
**Additional Signers:**  
**Analyst:** DUONG, LAN  
**Phone:** (608)924-1426

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<th>Cumulative Rev/Exp</th>
<th>Outstanding Commitments</th>
<th>Available Balance</th>
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# SJSU Research Foundation

## Summary of Account Status - Cumulative

**Run Date:** 10/27/2014  
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**Period:**  
**Account Open/End Date:** 03/01/2013 - 06/01/2016  
**Deliver To:**  
**Additional Signers:**  
**Account Name:**  
**Administrator:**  
**0185**

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**Account Total**  
388.28  
0.00  
388.28  
0.00  
388.28
Purchasing

Purchasing has sole authority to issue purchase orders within the requirements of Research Foundation policies, procedures, and sponsoring agency guidelines.

Projects must not issue their own purchase orders.
A purchase order is required when:

- Required by the vendor.
- The total amount of a single purchase is $1,000 or more.

The requester is required to submit a requisition for purchase order (with a price quote from the vendor) to the sponsored programs analyst.
If the purchase is for services, a contract may have to be put in place with the vendor before a purchase order can be issued.

- All service agreements and contracts must be signed by the executive director of the Research Foundation or a designated representative.

- The director of sponsored programs is the designated representative for Sponsored Programs and Self-Supported Programs.
Three competitive quotes for purchases of equipment are **required** when the per unit acquisition cost is:

- $5,000 or more for Federal contract and grant accounts
  (21-26).
- $10,000 or more for self-supported accounts
  (other than 2x).

The bidding requirement may be satisfied by a sole source or unique statement.

Purchasing will procure the equipment requested by projects and departments **after** documentation has been completed and the required authorization has been obtained.
New P-Card Service

The new “P-Card” service provides you with a business credit card that you can use for frequent and routine purchases from vendors who accept Visa.

P-Card benefits include:

- Ability to obtain goods and services faster and more easily
- Streamlined requisition process—can submit twice a month with P-Card
Elimination of need to use your personal funds for purchases

Decreased need for cash advances (e.g. for meetings or travel)

Simplified expense reporting process

Convenience, security, and flexibility

Automatic recording of all purchases made by the cardholder
P-Card Service – cont’d.

- Immediate payment to suppliers/vendors
- Can be used for Travel with pre-approval
- Same rules as direct purchases

For more information about P-Card Services, contact Adele Ajimura at adele.ajimura@sjsu.edu or 408-924-2864.

The **Procurement Card Program Policy and Procedure Manual**, forms, and important dates can be found on the Research Foundation website on the **Forms** page. [http://www.sjsu.edu/researchfoundation/formsdir/index.html](http://www.sjsu.edu/researchfoundation/formsdir/index.html)
Accounts Payable

Accounts Payable is responsible for making payments for goods, services, and program services within the requirements of Research Foundation policies, procedures, and sponsoring agency guidelines.
Invoices

- Invoices related to purchase orders and direct pay items must be billed to the SJSU Research Foundation.

- Projects must not use the project name, SJSU, or any other company name for billing purposes.

- Original invoices must be attached to the check requisition and submitted to the sponsored programs analyst for review.

**Note:** All new vendors must complete a W9 form.
Miscellaneous Income

Miscellaneous income payments are reported on the IRS 1099 Misc. Form if cumulative payments to an individual are $600 or more during the calendar year.

Examples of miscellaneous income payments include:

- Independent Contractor Fees
- Research Incentives
- Participant Support
- Prizes and Awards
- Honorariums

**Note:** SJSU and SJSU Research Foundation employees must be paid through Payroll.
Miscellaneous Reimbursements

Check requests for miscellaneous reimbursements must be:

- Approved by the principal investigator.

- Approved by the principal investigator’s department chair or dean when reimbursement requests are made directly by the principal investigator.
To initiate payment of student awards, the following documents are required:

- **Non Service Stipend Student Award and Acceptance Letter**
  The award letter must be attached to the check requisition submitted to the sponsored programs analyst.
  The sponsored programs analyst and Accounts Payable Office will review and send student payment information to the Financial Aid and Scholarship Office (FASO).

- **FASO will disburse student awards on the FASO scheduled disbursement dates.** Contact the director of Financial Aid for questions about disbursement schedules.

- **FASO payments are processed through the Bursar’s Office and are applied to student accounts.**
The principal investigator must:
1. Complete the requisition form.
2. Obtain account signer approval.
3. Attach supporting documentation.
4. Forward to the sponsored programs analyst for review.

Note: The sponsored programs analyst will forward the form to the Accounts Payable/Purchasing Department.
Travel must be approved before the traveler departs for a trip or makes non-cancellable arrangements.

Refer to the Research Foundation Travel Policy and Travel Expense Guides for additional information on the Research Foundation’s Forms web page.

http://www.sjsu.edu/researchfoundation/formsdir/index.html
After returning from the trip the traveler:

1. Completes a Travel Expense Claim Form.
2. Obtains supervisor and account signer approval.
3. Attaches supporting documentation.
4. Submits the form to the sponsored programs analyst for review.

Note: The sponsored programs analyst will forward the form to Accounts Payable for review.
The Research Foundation Payroll department processes:

- Timesheets for 600-800 employees per pay period
- 1500+ W2’S per year
- $28,000,000+ (twenty eight million dollars) PER YEAR
- Federal, State, and Multi-State Tax filing
Pay Periods
The Research Foundation has 24 pay periods—two pay periods per month:

- **1st – 15th** of the month – Timesheet is due by the 15th or 16th of the month. Pay date is the 26th of the month.

- **16th – 30th or 31st** of the month – Timesheet is due by the 30th or 31st of the month. Pay date is the 10th of the month.

If the pay date falls on a weekend, pay day will occur on the preceding Friday.

The current payroll calendar is located on the Research Foundation’s website.
Timesheet Processing

Employees and supervisors must:
- Make timesheet processing a priority.
- Submit accurate timesheets on time for each time period.

Supervisors (including principal investigators) must:
- Be available to sign timesheets as required or arrange for a “back up” authorized signer.
- Review timesheets for accuracy.
- Ensure that timesheets are submitted on time.
Time Reporting

Non exempt (hourly) employee timesheets should reflect the hours worked.

Example: An employee works 2.5 hours overtime on Monday and leaves 2.5 hours early on Friday. The timesheet should reflect 10.5 hours on Monday and 5.5 hours on Friday – NOT 8 hours on Monday and 8 hours on Friday.

Note: Remember that all non-exempt employees are required to take their appropriate meal and break times.

Exempt employee timesheets should reflect exceptions—time off (such as vacation and sick time) as opposed to time worked.
The following information is required for processing timesheets:

- Employee name
- Research Foundation Employee ID and class number
- Account number

Step by step instructions on how to complete employee timesheets are provided on the SJSU Research Foundation’s website.

Risk Management Services

The SJSU Research Foundation provides numerous lines of insurance, including:

- Liability Coverage Program
- Excess Cyber Risk Liability
- Commercial Property Insurance
- Crime
- Identity Fraud Expense Reimbursement
Risk Management Services – cont’d.

- Auto
- Travel
- Marine

- Special Events Insurance – for campus functions
- Participant Accident Insurance (PAI) for Minors
Risk Management Services – cont’d.

➢ Risk mitigation strategies
  ▪ Waivers
  ▪ Certificate of Insurance

➢ Consultations (with PIs and Research Foundation staff) regarding insurance requirements for agreements and contracts.
The Risk Management team is also responsible for securing insurance for all Research Foundation international travel.

Travel to high hazard areas must be approved by the CSU Chancellor’s office and the SJSU president.

For State Department Warnings visit the U.S. Passports & International Travel website.

For the High Hazard Country Listing visit the CSU Risk Management website.
Risk Management Services – cont’d.

Other services include:

- Car rental insurance – Enterprise
- Field trips
- Claims management
- Coordination of risk management with SJSU Risk Management and CSU Systemwide Risk Management
Human Resources Department

Overview
The Human Resources department provides a full range of services and support that enable Research Foundation programs to accomplish their research and public service objectives, while supporting a work environment where diversity and individual and team contributions are respected and valued.

Human Resources provides and oversees the following services:

- Compliance
- Recruitment and Staffing (now includes Background Checks)
- Compensation and Benefits Administration
- Performance Management, Training, Skills Development
- Employee Relations
- Workers Compensation & Injury and Illness Prevention Program (IIPP)
- Policies and Procedures
- Immigration Services
- Community Outreach
All New and Rehired Employees

Principal Investigators and managers must ensure that required documentation for all new and rehired employees (students, benefited and non-benefited employees) is completed **before** the employee begins working.

**No employee is authorized to begin work** until the following processes have been completed:

- E-Verify
- Background Checks for all new or rehired benefited employees
- Live Scan (for sensitive positions)
- Executive Order 1083 Acknowledgement
E-Verify

- E-Verify is an Internet-based system that allows an employer to **electronically** determine the eligibility of an employee to legally work in the United States.

- The E-Verify process is **mandatory** for those employers with federal contracts or subcontracts that contain the Federal Acquisition Regulation (FAR) E-Verify clause.

- The SJSU Research Foundation became an E-Verify employer on June 1, 2011, and partners with a third party company (currently Equifax) in this endeavor.

- **All** new employees, including re-hires, benefited and non-benefited, must complete the E-Verify process.
Background Checks

- Research Foundation’s Background Checks policy aligns with the CSU policy and directives.

- This policy will be implemented as of April 1, 2016.

- Research Foundation has retained the services of a third party agency, AccurateBackground, for consistency and ease of administration. This agency is the same third party agency contracted by the CSU to conduct background checks for its own CSU employees.

- Policy applies to hiring of all NEW or RE-HIRED BENEFITED employees. Job offers are strictly conditional upon successful completion of background checks.

- Policy does not generally apply to hiring of student assistants or to volunteers, EXCEPT as to “sensitive” positions.

- The “basic” level Background Checks policy applies to all new or re-hired employees.

- The “basic” level Background Checks PLUS Live Scan applies to those benefited employees, student assistants, or volunteers whose job falls into the “sensitive” job category. “Sensitive” jobs generally fall into the areas of finance, working with or around minors, or having access to Level 1 Security information.
Live Scan

- The Live Scan process is a criminal history background check.

- Live Scan technology records an individual’s fingerprint pattern and digitizes the fingerprint characteristics that make fingerprints unique. An electronic transfer of fingerprints and personal data to the Department of Justice (DOJ) is realized within seconds.

- The Live Scan process will then be able to transmit results back to the Research Foundation within days. The DOJ also coordinates forwarding the fingerprints to the FBI if required.

- Any prospective new hires, re-hires (students; benefited or non-benefited), and volunteers who will be in contact and/or working with minors, are **required** to undergo the Research Foundation’s Live Scan process, as noted above.

- A new employee is **not** authorized to start work until this process is successfully completed.
CSU Executive Order 1083

On September 24, 2012, the Governor signed into law amendments to the California Child Abuse and Neglect Reporting Act. The new state law is intended to protect children from abuse and neglect.

The Research Foundation complies with the tenets of the new legislation. Only volunteers at the Research Foundation are exempt from this new law.

To comply with the Executive Order, each Research Foundation employee must:

- Complete the **Acknowledgement of Mandated Reporter Status and Legal Duty to Report Abuse and Neglect** form and submit it to the Research Foundation’s Human Resources department. The form is included in the new hire packet and can be located on the California State University website. ([http://www.calstate.edu/eo/EO-1083.pdf](http://www.calstate.edu/eo/EO-1083.pdf))

- An online training course is being developed in accordance with the directives of the Executive Order. Once it is available, each employee must complete the training.

- Please review the information outlined in the Executive Order. To view the information visit the California State University website. ([http://www.calstate.edu/eo/EO-1083.pdf](http://www.calstate.edu/eo/EO-1083.pdf))
New Hire Process for Benefited Employees

Refer to the *Staffing and Termination Process and Resource Guide* for details.

Reminder: Employees are not authorized to begin work until all required documentation has been completed. Measure D: San José minimum wage is $10.30 per hour (2015).

1. Hiring manager completes the **Request to Recruit** form and forwards the completed form to HR.

2. Once the employee accepts the position, the hiring manager completes the **Non-Academic Appointment** form and forwards the completed form to HR.

3. HR contacts the new employee for completion of “new hire” paperwork, including “Onboarding” information.

4. HR enters appointment information into the Bi-Tech system. All deadlines for submitting documentation is listed on the HR/PY Calendar.
New Hire Process for Non-Benefited Employees

Refer to *Staffing and Termination Process and Resource Guide* for details.

Reminder: Employees are not authorized to begin work until all required documentation has been completed.

1. Hiring manager completes the **Non-Academic Appointment** form and forwards to HR.

2. HR contacts the new employee for completion of “new hire” documentation.

3. HR enters the appointment information into the Bi-Tech system.

Voluntary Terminations

1. The employee notifies the manager that he or she is terminating employment.

2. The manager completes the Non-Academic Appointment form and also completes a final timesheet.

3. Both completed forms are forwarded to HR.

Note: An employee who provides a minimum of 72 hours notice (3 calendar days) must be paid on his or her last work day. If an employee does not give 72 hours notice, the employer has 72 hours to tender the final pay.
Involuntary Terminations

1. No employee shall be terminated without HR knowledge and agreement in advance of termination.

2. The manager contacts HR to discuss reasons for proposed termination.

3. HR may investigate the issues before any final actions are taken.

4. Once discussion and agreement take place between HR and the manager, a termination date is agreed upon.

5. The manager completes the Non-Academic Appointment form and timesheet, and forwards both forms to HR.

6. HR coordinates issuance of the final check with Payroll.
Complaint Procedure

- In the workplace, from time to time, there are differences of opinion, miscommunications, and misunderstandings between employees, and sometimes between management and one or more employees. Employees and managers are encouraged to resolve differences at the earliest possible date, and approach resolution in a way that supports resolutions.

- The Research Foundation understands that conflicts do not benefit either the Research Foundation or the employee. Employees and managers are encouraged to resolve differences at the earliest possible date.

- All employees of the Research Foundation are free to use and are encouraged to seek out our “open doors” in making management aware of your concerns. Research Foundation Human Resources stands ready to assist in addressing and resolving complaints and concerns. We encourage each employee to take advantage of this “Open Door” philosophy without fear of reprisals or retaliation.

- Research Foundation employees may interact with or be supervised by non Research Foundation employees, including SJSU faculty or staff, in their research, assignments, or activities. In compliance with federal and state laws, including Title IX of the Education Amendments of 1972, San José State University (SJSU) does not discriminate on the basis of sex, gender or sexual orientation in education programs, services, or activities. SJSU is committed to maintaining a safe education and working environment free of discrimination, harassment or retaliation on the basis of a protected category. The President of SJSU has designated the Associate Vice President of Human Resources as the Title IX Coordinator who will oversee the activities associated with Title IX. The Associate Vice President of Human Resources or designee will receive the complaint and will be responsible for the administration of the complaint procedures.
Any concerns or complaints concerning alleged discrimination or harassment which involve Research Foundation employees, including staff and most especially students, or volunteers, or any such incidents that occur involving anyone in Research Foundation programs that are brought to the attention of project directors, managers or supervisors, must also be reported to Research Foundation Human Resources in a timely manner, either by the complainant or by the project directors, managers, or supervisors.

Research Foundation Human Resources will then respond by assessing the complaint, and may decide to, in its own judgment and discretion, conduct an objective investigation of the complaint within as prompt and reasonable time as can be conducted, given the circumstances. Affected parties will be notified appropriately of results. Research Foundation Human Resources may include informing SJSU’s Title IX Coordinator of the complaint or concern, and will partner with them, as appropriate, in addressing and resolving the complaint or concern.
Appointment Expiration or Extension

1. HR generates an appointment form one month ahead of the employee’s end of appointment.

2. HR forwards the form to the sponsored programs analyst, who then forwards the form to the PI for his or her review and signature.

3. If the employee is terminating, PI ensures that the forms have been correctly filled out and signed, and then returns the forms to HR in a timely manner.
Independent Contractors

- An Independent Contractor (IC) Agreement form must be submitted and approved by Research Foundation HR before the independent contractor actually begins services. The IC’s resume must be included with the form.

- Questions regarding independent contractor qualifications can be discussed with the HR department.

  **Note:** A general rule is that an employer has the right to control or direct only the results of the services provided by an independent contractor, and not the means and methods of accomplishing the result.

- The independent contractor submits invoices. Please ensure prompt submittal of invoices.

- Requisitions and invoices must be signed by the account signer in order for Accounts Payable to process payment.
Independent Contractors – cont’d.

Please refer to the handout Independent Contractors Classification Compliance for more detailed information.

It is critically important that the Research Foundation properly categorizes its independent contractors.

Properly categorizing independent contractors as such is not only a matter of compliance from the federal government perspective; it is also mandatory compliance from the State of California by way of SB 459.

The following are categories who must not, under any circumstances, be categorized as independent contractors:

- San Jose State University faculty or staff
- Limited Liability Companies (LLC)
- Third Party Agencies
- Sole Proprietorships, or Partnerships
- Individuals with H-1B Visas
Reminders

Do:

- Make copies of everything you send.
- Initial all changes and corrections.
- Print account numbers and sign all forms.
- Ensure that all requisitions are signed by an authorized account signer.
Reminders

Do:

- Ensure that invoices are in the name of the SJSU Research Foundation.
  
  **Note**: Do not use the project name, SJSU, or any other name for billing purposes.

- Submit original invoices with requisitions.

- Contact Accounts Payable **before** obtaining goods and services from foreign vendors.

**Communications**: Please remember to use your SJSU e-mail address.
Reminders

Don’t:

- Use **Whiteout**. Instead, cross out errors with a single line.
- Use pencils. Please use pens **only**.
- Use paper clips. Instead, staple documents together.
Finally

- Thank you very much for your attention.

- If you have any questions, please do not hesitate to contact us.