Managing Your Funded Projects

Sponsored Programs Workshop
December 9, 2016
Overview

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

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

- Human Resources
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.
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 for new awards issued on or after 12/26/2014.
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).
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>
<thead>
<tr>
<th>Analyst</th>
<th>Fund Group</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OSP Analysts</strong> (Analysts are assigned by Colleges)</td>
<td>21</td>
<td>Federal Agency</td>
</tr>
<tr>
<td></td>
<td>22</td>
<td>State Agency</td>
</tr>
<tr>
<td></td>
<td>23</td>
<td>Non-Profit Organization</td>
</tr>
<tr>
<td></td>
<td>24</td>
<td>Profit Organization</td>
</tr>
<tr>
<td></td>
<td>25</td>
<td>Other Government; International</td>
</tr>
<tr>
<td></td>
<td>26</td>
<td>Cost Matching and Program Income</td>
</tr>
<tr>
<td><strong>Ricky Yoneda (4-1441)</strong></td>
<td>34</td>
<td>Self-Supported Funds</td>
</tr>
<tr>
<td></td>
<td>51</td>
<td>Deans Department &amp; Library</td>
</tr>
<tr>
<td></td>
<td>52</td>
<td>Current Operating</td>
</tr>
<tr>
<td></td>
<td>53</td>
<td>P.I. Cost Share – F&amp;A Distribution</td>
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<tr>
<td></td>
<td>55</td>
<td>Other Board Programs</td>
</tr>
<tr>
<td><strong>Ricky Yoneda</strong></td>
<td>35</td>
<td>Campus Programs (MLML Accounts)</td>
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### Sample Account #:

<table>
<thead>
<tr>
<th>Fund Group</th>
<th>Department Code</th>
<th>Sequential</th>
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<tbody>
<tr>
<td>34</td>
<td>1100</td>
<td>0001</td>
</tr>
</tbody>
</table>
### SJSU Research Foundation

**Summary of Account Status - Cumulative**

<table>
<thead>
<tr>
<th>Object Code</th>
<th>Description</th>
<th>Total Budget</th>
<th>Current Rev/Exp</th>
<th>Cumulative Rev/Exp</th>
<th>Outstanding Commitments</th>
<th>Available Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>01100</td>
<td>Federal Sponsored Programs</td>
<td>0.00</td>
<td>401.24</td>
<td>84,804.04</td>
<td>0.00</td>
<td>-84,804.04</td>
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<tr>
<td>21111</td>
<td>Project Director-Release</td>
<td>59,282.00</td>
<td>0.00</td>
<td>19,821.60</td>
<td>0.00</td>
<td>39,460.40</td>
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<tr>
<td>21113</td>
<td>Project Director-Summer</td>
<td>23,202.00</td>
<td>0.00</td>
<td>15,370.00</td>
<td>0.00</td>
<td>7,832.00</td>
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<tr>
<td>21800</td>
<td>Student Assistants</td>
<td>10,484.00</td>
<td>253.00</td>
<td>6,232.25</td>
<td>0.00</td>
<td>4,145.75</td>
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<tr>
<td>21</td>
<td>S &amp; W-Mandatory Benefits</td>
<td>93,132.00</td>
<td>253.00</td>
<td>41,423.85</td>
<td>0.00</td>
<td>51,708.15</td>
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<tr>
<td>22500</td>
<td>Fringe Benefits-Mandatory</td>
<td>3,898.00</td>
<td>26.81</td>
<td>1,780.42</td>
<td>0.00</td>
<td>2,117.58</td>
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<tr>
<td>22600</td>
<td>Fringe Benefits-Std no FICA</td>
<td>0.00</td>
<td>0.00</td>
<td>87.08</td>
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<td>22800</td>
<td>Release Time Benefit</td>
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<td>Fringe Benefits</td>
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<td>24100</td>
<td>Travel &amp; Prof. Development</td>
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<td>1,510.24</td>
<td>6,415.68</td>
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<tr>
<td>28100</td>
<td>Supplies</td>
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<td>859.70</td>
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<td>28120</td>
<td>Lab Supplies</td>
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<td>1,168.75</td>
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<td>28</td>
<td>Materials &amp; Supplies</td>
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<td>0.00</td>
<td>2,028.45</td>
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<td>31250</td>
<td>Insurance</td>
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<td>120.00</td>
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<td>-120.00</td>
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<tr>
<td>Direct Cost Total</td>
<td>132,158.00</td>
<td>1,790.05</td>
<td>60,648.34</td>
<td>0.00</td>
<td>71,509.66</td>
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<tr>
<td>38300</td>
<td>Facil &amp; Admin (F&amp;A)</td>
<td>57,355.00</td>
<td>776.87</td>
<td>26,321.38</td>
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<tr>
<td>Indirect Cost Total</td>
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<td>26,321.38</td>
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<tr>
<td>Total Expenses</td>
<td>189,513.00</td>
<td>2,566.92</td>
<td>86,969.72</td>
<td>0.00</td>
<td>102,543.28</td>
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</tbody>
</table>

Account Total: -189,513.00  \(-2,165.68\)  \(-2,165.68\)  0.00  \(-187,347.32\)
# SJSU Research Foundation

## Summary of Account Status - Cumulative

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

<table>
<thead>
<tr>
<th></th>
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<th></th>
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<th></th>
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<tbody>
<tr>
<td>06100</td>
<td>Program Fees</td>
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<td>3,510.00</td>
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<tr>
<td>19500</td>
<td>Other Interfund Transfers</td>
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<td>0.00</td>
<td>250.00</td>
<td>0.00</td>
<td>250.00</td>
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</table>

**Total Revenue**  
3,760.00  
0.00  
3,760.00  
0.00  
3,760.00

| 24100       | Travel, Training & Prof Devel        | 1,772.29      | 0.00            | 1,772.29           | 0.00                    | 1,772.29          |
| 24291       | Workshop Expenses                   | 372.52        | 0.00            | 372.52             | 0.00                    | 372.52            |
| 24600       | Parking                              | 40.00         | 0.00            | 40.00              | 0.00                    | 40.00             |
| 24800       | Food & Lodging                      | 216.77        | 0.00            | 216.77             | 0.00                    | 216.77            |
| 28          | Travel, Training & Prof Dev         | 2,401.58      | 0.00            | 2,401.58           | 0.00                    | 2,401.58          |
| 28100       | Supplies                             | 115.84        | 0.00            | 115.84             | 0.00                    | 115.84            |
| 28510       | Subscriptions                        | 390.00        | 0.00            | 390.00             | 0.00                    | 390.00            |
| 28          | Materials & Supplies                 | 505.84        | 0.00            | 505.84             | 0.00                    | 505.84            |
| 30100       | Printing & Duplicating              | 176.10        | 0.00            | 176.10             | 0.00                    | 176.10            |
| 31300       | Investment & Banking Services        | 67.62         | 0.00            | 67.62              | 0.00                    | 67.62             |
| 38100       | Administrative Fees                  | 220.58        | 0.00            | 220.58             | 0.00                    | 220.58            |

**Total Expenses**  
3,371.72  
0.00  
3,371.72  
0.00  
3,371.72

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**Account Total**  
388.28  
0.00  
388.28  
0.00  
388.28
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 in the Office of Sponsored Programs is the designated representative for the Office of 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
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.

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 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.
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.
Check and Purchase Requisition Form

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.
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.
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 Research Foundation website.

www.sjsu.edu/researchfoundation/business/payrollbf/index.html
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 – continued

- Auto
- Travel
- Marine
- Special Events Insurance – for campus functions
- Participant Accident Insurance (PAI) for Minors
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 – continued

Other Services Include:

- Car rental insurance – Enterprise
- Field trips
- Claims management
- Coordination of risk management with SJSU Risk Management and CSU System-wide Risk Management
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
- Compensation and Benefits Administration
- Performance Management, Training, Skills Development
- Employee Relations
- Workers Compensation & Injury and Illness Prevention Program (IIPP)
- Immigration Services
- Community Outreach
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 have been completed:

- New Hire Forms
- E-Verify
- Live Scan (for sensitive positions)
- Executive Order 1083 Acknowledgement
An Internet-based system that allows an employer to *electronically* determine the eligibility of an employee to legally work in the United States.

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

**All** new hires and re-hires must complete the E-Verify process.
- A criminal history background check.
- Allows digitally scanned fingerprints and related information to be submitted electronically to the Department of Justice.
- Enables transmission of results to the Research Foundation within days.
- Prospective new hires, re-hires, and volunteers who are assigned to “sensitive” positions are **required** to undergo the Research Foundation’s Live Scan process.
- New employees who will be assigned to a “sensitive” position are **not** authorized to start work until HR receives results of their Live Scan.
Per California Child and Neglect Reporting Act (CANRA) and CSU Executive Order 1083 all CSU and Research Foundation employees are mandated reporters for suspected child abuse or 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.
- Complete the online training course (currently in development) when it becomes available. The course is being developed in accordance with the directives of the Executive Order.
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.

1. Hiring manager completes the **Request to Recruit** form and job description, and forwards 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 and E-Verify.

**Note:** 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** (faculty only) and forwards to HR.
2. HR contacts the new hire/re-hire for completion of new hire paperwork and E-Verify.
1. HR generates an Appointment Expiration and Extension Report form one month prior to the end of the employee’s appointment.

2. HR forwards the report to the sponsored programs analyst, who then forwards the report to the PI for review.

3. The PI reviews the report, indicates whether the employee is being extended or terminated, then signs and returns the report.

4. If the employee is terminating, the PI ensures that the appropriate form and final timesheet are submitted to HR in a timely manner.
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 final timesheet for the employee.

3. Both completed forms are forwarded to HR at least three working days before the termination date.

**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.
Any complaints concerning alleged discrimination, harassment, and retaliation must be reported to Research Foundation Human Resources in a timely manner, either by the complainant or by the project directors, managers, or supervisors.

HR will conduct an objective investigation of the complaint.

Affected parties will be notified appropriately of results.

When the complaint or concern involves an SJSU student HR will inform SJSU’s Title IX Coordinator and will partner with SJSU (as appropriate) in addressing and resolving the complaint or concern.

For further details, review the Discrimination, Harassment, and Retaliation Prevention Policy and Compliant Procedure.
The SJSU Research Foundation has updated its Independent Contractor Policy, Procedure, and Forms. These updates will streamline the independent contractor submission and approval process.

The updated policy, procedure, and forms are posted on the Research Foundation Forms web page:
http://www.sjsu.edu/researchfoundation/formsdir/index.html

The benefits of these updates include:

- Centralized processing through Research Foundation Purchasing to increase efficiency
- Automatic tracking of all independent contractor agreements
- Simplified payment process by the elimination of requisition forms preparation
- Updated fillable forms

Please begin using the updated Independent Contractor forms immediately. Effective January 1, 2017, outdated forms will no longer be accepted.
It is critically important that the Research Foundation properly categorize its independent contractors. Properly categorizing independent contractors is not only a matter of compliance from the federal government’s 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:**

- Corporation including a Limited Liability Company (LLC) or a DBA, using their LLC or DBA tax identification number;
- Third party agency;
- Partnership;
- Current or active member of the San José State University (SJSU) faculty or staff;
- Current or active member of any other CSU faculty or staff;
- California State University, SJSU, or Research Foundation ex-employee whose separation date from their respective organization is one calendar year or less from a proposed IC assignment with the Research Foundation;
- Holder of an H1B visa
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 email 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.
Thank you for attending.

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