Introduction to the San José State University Research Foundation and Pre-Award Services
Overview of Workshop

- How Things Work at SJSU
- 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
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.

Finance, and Graduate Studies & Research review and sign off on every grant or contract proposal for external funding that is submitted from SJSU.
How Things Work at SJSU – Macro View

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). Pamela Stacks is the Interim Chief Operating Officer and Jeanne Dittman is the Director of Sponsored Programs for Pre-Award and Post-Award.  www.sjsufoundation.org

The Tower Foundation is the University’s foundation dedicated to philanthropy. It was established to strengthen 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 works with University Advancement on behalf of the Tower Foundation to develop proposals for gifts and grants that are 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 consult with each other and work together to ensure consistency with university priorities.
Five Year CFR Commitment History

- 2008-09: Corporations $3,000,000, Foundations $1,000,000
- 2009-10: Corporations $3,000,000, Foundations $1,000,000
- 2010-11: Corporations $0, Foundations $7,000,000
- 2011-12: Corporations $2,000,000, Foundations $5,000,000
- 2012-13: Corporations $0, Foundations $3,000,000
CFR – Campaign Progress

Campaign Progress

$200,000,000

104%

$208,863,349

Confidential

CampaignDashboardJune2013 - FINAL

7/16/2013
CFR – Support by Source

Support by Source (New Commitments)

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

- Diane Satriano, Director
  Corporations
  Ext. 4-3410

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

- Paul McNamara, Foundation Officer
  Foundations
  Ext. 4-1471
How Things Work at SJSU – Micro View

IMPORTANT!! Check Our Policies
SJSU Academic Senate policies affect the development of proposals and the administration of funded awards (for example, policies on the use of 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.sjsufoundation.org/html/sjsuf-faculty-resources/research-policies.htm

Other policies such as the Cost Share policy can also be found at http://www.sjsufoundation.org/html/sjsuf-faculty-resources/research-policies.htm

Both 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 OMB Circulars (A-21, A-110, A-133)
- 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)
SJSU Research Foundation – Now

Today SJSURF receives over $47 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.

The 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
- For more information visit: [www.sjsufoundation.org](http://www.sjsufoundation.org)
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 your Ability

- The ability to conduct research is central to the vitality of your discipline.
- Increased ability to attract highly qualified members of staff and faculty.
- Increased ability to attract highly qualified students.
- Increased ability to contribute through the advancement of professional practice, developing standards, presenting workshops, presenting at conferences, and serving as leaders of professional associations.
- Increased 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)
  - Basic and Applied Research
  - Training Grants/Workforce Development
  - Community Service
  - Curriculum Development
  - Equipment
- Contracts with Specific Deliverables (external)
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

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

SJSURF Funding Alert System

What is it?

- A database that matches keywords representing your research interests to keywords from public and private funding opportunities.
- We use the system to send you (Funding Alert) emails that notify you of matching opportunities with upcoming deadlines.

http://www.sjsufoundation.org/html/sjsuf-faculty-resources/FundingAlertSignUp.htm

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

For additional assistance contact:
Brenda Swann, Information Services Manager – (408) 924-1414 or
Carmina Grande-Som, Information Services Assistant – (408) 924-1437
San Jose State University Experts

http://experts.sjsu.edu

A web-based community resource that provides:

- Topic, department, and keyword search capabilities
- Faculty self-service data entry with password-protected access
- Content storage on a stable platform, maintained by the university

For additional assistance contact:
SJSU Information Technology Services
That’s a lot of info! Where do I start?
Quick Start Path

- Check out what your colleagues are doing
- Talk with your Chair and Dean
- Get to know your Sponsored Programs Staff at the SJSURF
- Sign up for Funding Alerts so that you start to become familiar with external sources of funding and can plan ahead for future deadlines
- Sign up in the SJSU Experts database
- Attend Grant Workshops
Life Cycle of a Sponsored Project

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

- New Project
  Notify SPA of Intent to Submit
- Proposal Development
- Internal Clearance
- Proposal Submission & Sponsor Review
- Non-competing Continuation
- Post-Award Processes
- Transition from Pre-Award to Post-Award

- Project Closeout: Final Report, etc.
- Annual Progress Report
- Project Monitoring
- Spending Money
- Establish New Project Account
- Award Negotiation & Acceptance
- Pre-Award Processes
- Project Completion
- Post-Award Processes
- Competing Continuation
Sponsored Programs Staff

- 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.
# SJSU Research Foundation | Office of Sponsored Programs

## Directory by College

**Pamela C. Stacks**
Associate Vice President of Research | Interim Chief Operating Officer
pamela.stacks@sj-su.edu

<table>
<thead>
<tr>
<th>College of Applied Sciences and Arts</th>
<th>College of Education</th>
<th>College of Humanities and the Arts</th>
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<tbody>
<tr>
<td>Angela Mercede An 924-1546</td>
<td><a href="mailto:angela.an@sj-su.edu">angela.an@sj-su.edu</a></td>
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<tr>
<th>College of Business</th>
<th>College of Engineering</th>
<th>College of Science—Meteorology</th>
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<tbody>
<tr>
<td>Michele Vaccaro 924-1430</td>
<td><a href="mailto:michele.vaccaro@sj-su.edu">michele.vaccaro@sj-su.edu</a></td>
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<tr>
<th>College of Science</th>
<th>(except Meteorology and Moss Landing Marine Laboratories)</th>
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<tr>
<td>Bill Yabunoto 924-1397</td>
<td><a href="mailto:william.yabunoto@sj-su.edu">william.yabunoto@sj-su.edu</a></td>
</tr>
<tr>
<td>Khoi Nguyen 924-1440</td>
<td><a href="mailto:khoi.nguyen@sj-su.edu">khoi.nguyen@sj-su.edu</a></td>
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<th>College of Science—Moss Landing Marine Laboratories Marine Operations</th>
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<td>Jeannine Dittman 924-1434</td>
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<th>All University Programs</th>
<th>College of Social Sciences</th>
<th>Graduate Studies and Research</th>
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<tr>
<td>Sydney Chiu 924-1427</td>
<td><a href="mailto:sydney.chiu@sj-su.edu">sydney.chiu@sj-su.edu</a></td>
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<tr>
<td>Mary Margaret Perez 924-1330</td>
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<th>Proposal Processing Coordinator</th>
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<tr>
<td>Richard Chavar 924-1452</td>
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## Information Services

**Brenda Swana**
Information Services Manager
408-924-1414 | brenda.swana@sj-su.edu

**Carmina Grande Son**
Information Services Assistant
408-924-1437 | carmina.son@sj-su.edu

**Lan Duong**
Associate Director, Post Award Services
924-1426 | lanang.duong@sj-su.edu

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<tr>
<td>Dienia Tran Vo 924-1432</td>
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<th>College of Science—Moss Landing Marine Laboratories: Marine Operations, Marine Pollution Studies Laboratory, Water Pollution Control Laboratory, SJSU Self-Supported Project Accounts</th>
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<tr>
<td>Jeannine Nguyen 924-1366</td>
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<tr>
<th>SJSU Self-Supported Project Accounts</th>
<th>Steve Constantine 924-2170</th>
<th><a href="mailto:steven.constantine@sj-su.edu">steven.constantine@sj-su.edu</a></th>
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<tbody>
<tr>
<td>Post Award Assistant</td>
<td>Ellen Ozawa 924-7627</td>
<td><a href="mailto:ellen.ozawa@sj-su.edu">ellen.ozawa@sj-su.edu</a></td>
</tr>
</tbody>
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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://www2.sjsu.edu/gradstudies/Research/irb.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/
Our Respective Roles – Overview

- 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 Role – Expanded

Principal Investigator:

- **Notifies SJSURF and reads Program Guidelines**
- **Works with SJSURF on budget preparation**
- **Provides proposal documents to Manager for routing and uploading**
- **Obtains peer review**
- **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
- Accepts and prepares proposal documents for routing
- Ensures compliance 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

Proposal Preparation  Routing  Submittal

- Campus routing consists of review and signatures of the
  - 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

- Allow at least 7-14 calendar days for this process; more if multiple PIs, Departments, or Colleges.

- 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 31

Submittal Date  = October 29

Peer-Reviewed Documents to SJSURF for Routing = October 20.

Also work with your Sponsored Programs Manager to have your final proposal budget completed by October 20.

Please keep these timing issues in mind as you plan your submittal.
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

- Talk with your Research Foundation Sponsored Programs Manager or your Corporate and Foundation Relations Officer as soon as you are thinking about submitting a proposal.

- Update your Chair and Dean on your interest in submitting a proposal.

- Determine funding agencies (SJSURF and C&FR can assist).

- Talk with your sponsoring Program Officer (SJSURF can facilitate).

- Tailor your ideas (or subset of ideas) to the grant application (SJSURF and C&FR and other campus resources can help).

- Prepare your documents well in advance of the sponsor’s deadline.
Awards Received Fiscal Year 2013-14

- CASA $3,062,997
- Business $823,186
- Education $4,719,384
- Engineering $2,124,090
- Humanities & Arts $235,834
- Science $5,508,435
- Moss Landing Marine Laboratories $21,427,177
- Social Science $18,869,078
- University Programs $3,841,550

Total $60,611,732
Learn More! Fall 2014 Workshops

October 9, 2014
SJSU Research Foundation
Online Proposal Creation and Automatic Routing
MLK Library 255/257
11:30am – 1:00pm

November 13, 2014
SJSU Research Foundation
Managing Your Externally-Funded Project
MLK Library 255/257
11:30am – 1:00pm

December 3, 2014
SJSU Research Foundation
Industry Agreements—Do’s and Don’ts
MLK Library 255/257
11:30am – 1:00pm
A Celebration of SJSU Sponsored Research

Tuesday, November 17, 2014
4:00-6:00 pm

Featuring Program Exhibits and Presentations by Externally Funded Faculty and Staff