Introduction to the San José State University Research Foundation

Focus on Pre-Award

Sponsored Programs Workshop
September 19, 2013
Overview of Workshop

- How Things Work at SJSU
- What is the *SJSU Research Foundation*?
- What is *Corporate and Foundation Relations* and *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 Graduate Studies and Research as the Authorized Organizational Representative who approves proposals for external funding, along with the Associate Vice President of Finance.

Graduate Studies & Research and Finance 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). Jerri Carmo is the Interim Chief Operating Officer of SJSURF and 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

![Bar chart showing the commitment history from 2008-09 to 2012-13. The x-axis represents the years, and the y-axis represents the amount in dollars. The chart includes bars for Corporations and Foundations for each year, with the highest commitment in 2010-11.](image-url)
Corporate & Foundation Relations Team

Contact Information:

- **Diane Satriano, Director**  
  Corporations  
  Ext. 4-3410

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

- **Lisa Peckler, CFR Officer**  
  Foundations  
  Ext. 4-1139

- **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’s 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 Martin Luther King, Jr. Library. (Photos from SJ Library photostream on Flicker)
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
- Federal 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

That’s a lot of info! Where do I start?
Quick Start Path

- Sign up for *Funding Alerts* so that you start to become familiar with external sources of funding and can plan ahead for future deadlines.

- Join the *Experts Database*.

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

- Attend *Grant Workshops*.

- Check out what your colleagues are doing.

- Talk with your *Chair and Dean*.
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.


How to Sign Up/Who to Contact
- To sign up for the SJSURF Funding Alert System, first **choose keywords** from the SJSURF Keyword List at the link above.

- If you have any questions regarding the **SJSURF Funding Alert System**, please contact:  
  **Information Services staff at foundation-osp-infoservices@sjsu.edu**  
  Or  **Carmina Grande-Som at (408) 924-1437.**
SJSU Experts Database

A web-based community resource that provides:

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

http://experts.sjsu.edu
Experts @ SJSU

University Experts provides a single source of information about campus experts. Information here is a combination of information entered by experts themselves and information queried from various authoritative sources on campus (like name, education, phone number).

Only individuals who have identified themselves as a collaborative researcher, media source and/or an external speaker are in the database. Please visit the SJSU Faculty & Staff Directory if needed.

How Do I Get Listed?

Search

Search by Topic:
- Collaborative Researchers
- Media Source
- Speakers

Topic: Advertising

Search by Department:
- Collaborative Researchers
- Media Source
- Speakers

Department: Accounting & Finance

Search by Keyword:
- Collaborative Researchers
- Media Source
- Speakers

Keywords:
Life Cycle of a Sponsored Project

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

Proposal Development

Internal Clearance

Proposal Submission & Sponsor Review

Annual Progress Report

Project Monitoring

Spending Money

Establish New Project Account

Award Negotiation & Acceptance

Non-competing Continuation

Competing Continuation

New Project Notify SPA of Intent to Submit

Project Closeout: Final Report, etc.

Annual Progress Report

Pre-Award Processes

Transition from Pre-Award to Post-Award

Project Completion

Post-Award Processes
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

**Jerri Carmo**  
Interim Chief Operating Officer | Senior Director, Office of Sponsored Programs  
jerri.carmo@sjsu.edu

<table>
<thead>
<tr>
<th>Pre-Award Services</th>
<th>Post-Award Services</th>
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| **Jeanne Dittman, Associate Director**  
924-1434 | **Lan Duong, Associate Director**  
924-1426 |
| **College of Applied Sciences and Arts**  
**College of Education**  
**College of Humanities and the Arts**  
**Angela Mercado**  924-1546 | **College of Applied Sciences and Arts**  
**College of Education**  
**College of Humanities and the Arts**  
**Facilities Development and Operations**  
**Student Affairs**  
**International and Extended Studies**  
**Provost Office**  
**SJSU Police Department**  
**Jasmine Le**  924-1433 |
| **College of Business**  
**College of Engineering**  
**College of Science—Meteorology**  
**Michele Vaccaro**  924-1430 | **College of Business**  
**Lan Duong**  924-1426 |
| **College of Science**  
(except Meteorology and Moss Landing Marine Laboratories)**  
**Bill Yabumoto**  924-1309 | **College of Engineering**  
**College of Social Sciences**  
**Graduate Studies and Research**  
**Student Affairs**  
**Undergraduate Studies**  
**University Advancement**  
**University Library**  
**Luanh Chu**  924-1428 |
| **College of Science—Moss Landing Marine Laboratories**  
**Khoi Nguyen**  924-1440 | **College of Science—Moss Landing Marine Laboratories**  
**Dinh Trang Vo**  924-1433 |
| **College of Science—Moss Landing Marine Laboratories Marine Operations**  
**Joanne Dittman**  924-1434 | **College of Science—Moss Landing Marine Laboratories**  
**Jeanne Nguyen**  924-1306 |
| **All University Programs**  
**College of Social Sciences**  
**Graduate Studies and Research**  
**Sydney Chui**  924-1427 | **College of Science—Moss Landing Marine Laboratories**  
**Mary Margaret Poes**  924-1310 |
| **College of Science—Moss Landing Marine Laboratories Pre-Award and Post Award Assistant**  
**Mary Margaret Poes**  924-1310 | **College of Science—Moss Landing Marine Laboratories**  
**Jeanne Nguyen**  924-1306 |

**Information Services**  
**Carmina Grande Son**  924-1437 | **SJSU Self-Supported Project Accounts**  
**Ellen Orsza**  924-7627 |

**Ellen Orsza**  924-7627 | **SJSU Self-Supported Project Accounts**  
**Ellen Orsza**  924-7627 | **SJSU Self-Supported Project Accounts**  
**Steve Constantine**  524 2170 | **Ellen Orsza**  924-7627 |
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.
### Roles – Expanded

#### Principal Investigator:
- Notifies SJSURF and reads Program Guidelines
- Works with SJSURF on **budget preparation**
- **Provides proposal documents** to Manager for routing & upload
- 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 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
- SJSU Research Foundation Interim Chief Operating Officer
- SJSU Fiscal Officer
- SJSU AVP of Graduate Studies and 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 22.

Also work with your Sponsored Programs Manager to have your final proposal budget completed by October 22.

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 to structure your Project Description, Scope of Work, or Narrative.

- Use the guideline headings as a guide. For example, if the guidelines say to include sections on the Team, Methodology, and Management Plan in your project description, then use the headings Team, Methodology, and Management Plan 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 2012-13

- CASA $3,682,233
- Business $3,452,600
- Education $3,655,243
- Engineering $897,895
- Humanities & Arts $430,787
- Science $5,195,203
- Moss Landing Marine Laboratories $11,751,607
- Social Science $15,006,660
- University Programs $3,357,354

Total $47,429,582
Learn More! Fall 2013 Workshops

October 10, 2013
SJSU Research Foundation
Budget Basics—Developing Budgets for a Successful Proposal
MLK Library 255/257
11:30am – 1:00pm

November 7, 2013
SJSU Research Foundation
Compliance (IACUC, IRB, RCR, FCOI)
MLK Library 255/257
11:30am – 1:00pm

December 3, 2013
SJSU Research Foundation
Focus on Post-Award and Research Foundation Human Resources
MLK Library 255/257
11:30am – 1:00pm
A Celebration of SJSU Sponsored Research

Tuesday, November 12, 2013
4:00-6:00 pm

Featuring Program Exhibits and Presentations by Externally Funded Faculty and Staff