Overview

- Introductions
- About the SJSU Research Foundation
- The Project Life Cycle
- Building the Bridge – Collaboration and Partnership
- Questions
Who We Are

The Research Foundation:

- Serves as the campus sponsored programs administrator (SPA)
- Partners with SJSU faculty, students, research affiliates, and staff to support research, scholarship, and creative activities (RSCA)
- Fosters the university’s quest for excellence
Our Team

Executive Director, Rajnesh Prasad

Three Functional Areas:

- **Office of Sponsored Programs**
  - Information Services, Pre-Award, Proposal Processing, Post-Award, Self-Support Services

- **Finance & Accounting**
  - Accounts Payable, Accounts Receivable, Compliance, Insurance, Procurement, Fixed Assets, Audits

- **Human Resources**
  - Recruitment and Staffing, Labor Regulation Compliance, Compensation and Benefits Administration, Payroll, Employee Relations, Safety
As the SJSU Sponsored Programs Administrator we:

- Provide support throughout the project life cycle
- Are authorized to develop and submit proposals for funding
- Receive and provide administration of awards
Building the Bridge to Facilitate Effective Proposal & Award Management
Phase 1 - Generating your Idea
Phase 2 - Finding Funding
Phase 3 - Developing and Submitting Proposal
Phase 4 - Award Negotiation
Phase 5 - Award Setup
Phase 6 - Managing the Project
Phase 7 - Closing Out the Project

The Project Life Cycle
The Building Blocks Collaboration & Partnership

- Principal Investigator
- Office of Sponsored Programs
- Finance & Accounting
- Human Resources
Phases 1 & 2

The PI does the following:

- Generates the idea
- Contacts and engages their chairs, deans, research administrators, and the Research Foundation as early in the process as possible
- Seeks Funding
Office of Sponsored Programs
Services & Support
OSP Information Services

- Distributes Funding Alerts
- Provides Grant Search Tools, Resources (Sponsor’s Websites, SPIN, GRC)
- Provides Grant Search Consultations & Conducts Custom Searches
- Produces Research Foundation Bulletins
- Coordinates Grant-Related Workshops and Webinars
Phase 3 – Developing & Submitting

The PI does the following:

• Adheres to the Research Foundation submission deadline
• Understands the sponsor’s solicitation and includes the information for all sections of the proposal as required
• Ensures that all the information in the proposal is presented in a manner that is complete, accurate, and developed according to the practices commonly accepted within the scientific community
Phase 3 – Developing & Submitting

OSP Pre-Award

• Reviews guidelines
• Discusses project needs and strategies with PI
• Verifies compliance of proposal
• Routes proposals for authorized signers’ approvals
• Performs final quality assurance checks and submits proposal
Routing Process

- Compliance
  - Chancellor’s Office
  - Federal Uniform Guidance
  - Federal, State, and Local Government Regulations
  - Auditors (Chancellor’s Office, University, Federal/State and Independent Auditors)

- Signing Requirements
Forms

- Proposal Routing and Approval Form (PRAF)
- Financial Conflict of Interest Form 1 & 2 (FCOI)
- California Form 700-U
- IRB and IACUC Commitment Form
- Cost Share Commitment Form
Routing Timeline

- Allow 7-10 business days for routing timeline
- Provide ample time for all reviewers
- Collaboration with Other Departments
- Out of office reviewers
## The Research Foundation as Partner

### Phase 4 – Award Negotiation

**OSP Pre-Award**

- Reviews terms and conditions
- Negotiates on behalf of the PI and university as necessary
- Accepts the award
Phase 5 – Award Setup

OSP Post-Award

• Reviews award documents for terms and conditions
• Sets up new account
• Meets with PI to provide project management orientation
• Partners with HR and Finance and Accounting to support staffing and procurement needs
Phase 6 – Managing Your Project

OSP Post-Award

• Oversees day to day fiscal management and compliance regulations
• Monitors the project budget and financial projections
• Follows up with PI to ensure technical progress reports are submitted to sponsor agency on time
• Assists with sponsor agency audits; annual grant and contract audits
Phase 6 – Managing Your Project

PI does the following:

• Manages project personnel in compliance with federal and state laws and Research Foundation policy

• Ensures that all required forms and certifications are completed in a timely manner

• Abides by the terms and conditions of the sponsored project award

• Conducts the work on the project according to research protocol
Phase 6 – Managing Your Project
Phase 7 – Closing Out

PI does the following:

• Ensures that all work performed is conducted in compliance with all applicable laws and policies

• Ensures that all work meets the highest ethical standards and is conducted without real or perceived conflicts of interests

• Ensures that all expenditures are made in compliance with the approved budget, and ensures timely submission of expenses for reimbursements, appointment forms, and timesheets

• Submits reports on the research in a timely manner and according to the sponsor's requirement
Phase 7– Closing Out

OSP Post-Award

• Follows up with PI for any outstanding expenses that have not been posted to the account before closing

• Ensures that all revenue has been received from the sponsor

• Prepares and submits final fiscal report and other reports (if required) to sponsor agency

• Closes out the account when all the reports are on file
Office of Sponsored Programs
Key Considerations

- Compliance
  - Additional Employment/Overload
  - Forms
  - Reports

- Budget Management

- Cost Share Contributions
Human Resources Services & Support
Human Resources
• Provides guidance on applicable employment and labor law compliance
• Assists with workforce planning decisions
Phase 6– Managing Your Project

Human Resources

• Recruitment and Staffing

• Labor Regulation Compliance
  • Appointment Forms and New Hire Paperwork
  • E-Verify
  • Background Checks and Livescan

• Payroll

• Compensation Analysis and Review
### Human Resources

- Benefits Administration
- Employee Relations
- Performance Management, Training
- Workers Compensation
Phase 7– Closing Out

Human Resources

• Processes legally mandated documentation and actions for terminations
• Process final check in timely manner
• Responds to prospective employers or outside agency inquiries
• Provides ongoing support for benefited retirees, dependents, and survivors
Human Resources
Key Considerations

Compliance Requirements for Benefited Positions

Background Checks

Before you Begin . . .

- New Hire Paperwork
- E-verify
- Livescan – if “Sensitive Positions”

Payroll
Human Resources - Key Considerations

- Changes in Assignment (account number, rate of pay)
- Voluntary Terminations – Must be submitted 5 days before actual termination date
- Involuntary Terminations – Requires HR consult prior to taking any action
Finance & Accounting Services & Support
The Research Foundation as Partner

Phase 3 – Developing & Submitting
Phase 4 – Award Negotiation

Finance & Accounting

• Reviews insurance requirements
• Provides guidance on coverages for contract, grant, or other project activities
• Continues guidance on risk mitigation strategies (waivers, certificates of insurance, and indemnification)
Phase 6– Managing Your Project

Finance & Accounting

• Procurement Services
  • Compliance and Uniform Guidance
  • Purchase Orders
  • P-Cards
  • Independent Contractor Service Agreement
    Encumbrance and Tracking

• Accounts Payable Services
  • Payments for Suppliers, Utilities
  • Travel and Employee Reimbursements
  • General Tax Compliance
## The Research Foundation as Partner

### Phase 6– Managing Your Project

**Finance & Accounting**
- Property/Fixed Asset Services
- Risk Management Services
- Accounts Receivable
- Monthly Account Status Reports
- Audits – Federal, State, CSU, Agency
Finance & Accounting
Key Considerations

Compliance, Compliance, Compliance!

- Timing of Reimbursements
- Insurance
- Tax
- Audit
- Property Tracking
Thank You!