

San José State University Research Foundation Proposal Routing & Approval Form

SPONSOR DUE DATE

Part 1: Project Identification

RFP #:

PROPOSAL ROUTING NUMBER

| | | | | |
|---|-------|-------|---|--|
| PROPOSAL TITLE | | | FOUNDATION ONLY | |
| | | | CFDA# <input style="width: 60px;" type="text"/> | Bi-Tech Proposal # <input style="width: 60px;" type="text"/> |
| PROJECT DIRECTOR/PI | PHONE | EMAIL | DEPT/COLLEGE | |
| CO-PROJECT DIRECTOR/PI | PHONE | EMAIL | DEPT/COLLEGE | |
| CO-PROJECT DIRECTOR/PI | PHONE | EMAIL | DEPT/COLLEGE | |
| SPONSOR NAME & ADDRESS | | | SPONSOR TYPE | |
| | | | <input type="checkbox"/> FEDERAL | <input type="checkbox"/> CORPORATE |
| SPONSOR CONTACT PERSON | | | <input type="checkbox"/> STATE | <input type="checkbox"/> NONPROFIT |
| | | | <input type="checkbox"/> OTHER _____ | |
| SPONSOR SUBCODES <input type="checkbox"/> Cost Share <input type="checkbox"/> Tower <input type="checkbox"/> Local Gov't <input type="checkbox"/> Non-CA State Gov't <input type="checkbox"/> International <input type="checkbox"/> Other <input type="checkbox"/> Bequest | | | | |

Part 2: Project Summary

| | | | |
|---|--|---|--|
| PROPOSAL DESCRIPTION <div style="border: 1px solid black; height: 150px; width: 100%;"></div> | PROPOSAL TYPE <input type="radio"/> NEW <input type="radio"/> RENEWAL <input type="radio"/> SUPPLEMENT <input type="radio"/> CONTINUATION | AWARD TYPE <input type="radio"/> GRANT <input type="radio"/> CONTRACT <input type="radio"/> CO-OP AGREEMENT <input type="radio"/> PURCHASE ORDER | PURPOSE <input type="radio"/> RESEARCH <input type="radio"/> INSTRUCTION <input type="radio"/> OTHER |
| WORK SITE <input type="checkbox"/> ON CAMPUS SPACE (BUILDING NAME): _____ <input type="checkbox"/> OFF-CAMPUS* SPACE (WORK SITE): _____ | | | |
| *OFF-CAMPUS DEFINITION: MORE THAN 50% OF EXPENDITURES, EXCLUDING SUB-AWARDS, WILL BE INCURRED FOR ACTIVITIES IN FACILITIES NOT OWNED OR LEASED BY SJSU. | | | |

Part 3: Budget Summary

| | | | | | | |
|---|---|--|--|--|--|--|
| | <u>REQUESTED FROM SPONSOR</u> | | <u>COST SHARING</u> | | <u>TOTAL BUDGET</u> | |
| | FIRST 12 MONTHS | TOTAL PROJECT | | | | |
| DIRECT COSTS | \$ <input style="width: 80px;" type="text"/> | \$ <input style="width: 80px;" type="text"/> + | \$ <input style="width: 80px;" type="text"/> = | \$ <input style="width: 80px;" type="text"/> | | |
| F&A COSTS | \$ <input style="width: 80px;" type="text"/> | \$ <input style="width: 80px;" type="text"/> | \$ <input style="width: 80px;" type="text"/> | \$ <input style="width: 80px;" type="text"/> | | |
| TOTAL BUDGET | \$ <input style="width: 80px;" type="text"/> | \$ <input style="width: 80px;" type="text"/> | \$ <input style="width: 80px;" type="text"/> | \$ <input style="width: 80px;" type="text"/> | | |
| BUDGET PERIOD ____ TO ____ PROJECT PERIOD ____ TO ____ | F&A COST Year 1: BASE _____ RATE _____ % CALCULATION METHOD _____ | | F&A COST ANALYSIS <input type="checkbox"/> Full Recovery <input type="checkbox"/> Mandatory Under-Reimbursed <input type="checkbox"/> Rate Exception/Under-Reimbursed <input type="checkbox"/> None Allowed/Other | | TOTAL COST SHARE: Cash \$ <input style="width: 80px;" type="text"/> In-Kind \$ <input style="width: 80px;" type="text"/> Type Mand/Vol _____ | |
| Time and Effort | PI: <input type="checkbox"/> Release Time <input style="width: 40px;" type="text"/> % <input type="radio"/> One Semester <input type="radio"/> Academic Year <input type="checkbox"/> Summer <input style="width: 40px;" type="text"/> | | | | | |
| | Co-PI: <input type="checkbox"/> Release Time <input style="width: 40px;" type="text"/> % <input type="radio"/> One Semester <input type="radio"/> Academic Year <input type="checkbox"/> Summer <input style="width: 40px;" type="text"/> | | | | | |

ADDITIONAL INFORMATION

Part 4: Special Considerations

PROPOSAL ROUTING NUMBER _____

| RESEARCH COMPLIANCE | EXPORT CONTROL |
|---|---|
| 1. Anything patentable, confidential, copyrightable, or proprietary? <input type="radio"/> Yes <input type="radio"/> No | 17. Will the project involve participation, collaboration, or access to information by foreign nationals? <input type="radio"/> Yes <input type="radio"/> No |
| 2. Intellectual property in which SJSU may have an interest? <input type="radio"/> Yes <input type="radio"/> No | 18. Will the project involve the shipment of equipment, technology, software, materials data or other information? <input type="radio"/> Yes <input type="radio"/> No |
| 3. Does Sponsor require full IP ownership rights? <input type="radio"/> Yes <input type="radio"/> No | 19. Will the project involve a foreign subcontract or other foreign contractual agreement? <input type="radio"/> Yes <input type="radio"/> No |
| 4. Additional insurance coverage needed (off site, volunteers)? <input type="radio"/> Yes <input type="radio"/> No | 20. Use of Drones? Model / Category identified? <input type="radio"/> Yes <input type="radio"/> No |
| 5. Additional Employment for Faculty? <input type="radio"/> Yes <input type="radio"/> No | FACILITIES, LAB & SPACE REQUIREMENTS - If yes to any of the following, please provide approval documentation from FD&O and/or Chair and Dean |
| 6. Is an Organized Research Training Unit (ORTU) involved? <input type="radio"/> Yes <input type="radio"/> No | 21. Additional SJSU facilities or equipment needed? <input type="radio"/> Yes <input type="radio"/> No |
| 7. Use of DEA Controlled Substances and Listed Chemicals? <input type="radio"/> Yes <input type="radio"/> No | 22. Facility remodeling or alteration proposed? <input type="radio"/> Yes <input type="radio"/> No |
| 8. Biological Hazards? Carcinogens? Recombinant DNA? <input type="radio"/> Yes <input type="radio"/> No | 23. Substantial use of computing facilities or personnel needed? <input type="radio"/> Yes <input type="radio"/> No |
| 9. Use of human subjects? <input type="radio"/> Yes <input type="radio"/> No | PERSONNEL & APPROVAL COMPLIANCE |
| 10. Use of vertebrate animals? <input type="radio"/> Yes <input type="radio"/> No | 24. Other SJSU personnel mentioned in proposal? <input type="radio"/> Yes <input type="radio"/> No |
| 11. Student Participation? <input type="checkbox"/> For Credit? <input type="checkbox"/> Non-Credit? <input type="radio"/> Yes <input type="radio"/> No | 25. Substantial use of library facilities or personnel? <input type="radio"/> Yes <input type="radio"/> No |
| 12. Any impact on curriculum or degree programs? <input type="radio"/> Yes <input type="radio"/> No | FINANCIAL CONFLICT OF INTEREST |
| 13. Continuing Education programs? <input type="radio"/> Yes <input type="radio"/> No | 26. Financial Conflict of Interest to disclose? <input type="radio"/> Yes <input type="radio"/> No |
| 14. Working with minors or those with sensitive positions (i.e. Minors- under 18 yrs old or those with access to Financial or Level 1 Data)? <input type="radio"/> Yes <input type="radio"/> No | 27. PI provided list of all personnel deemed investigators* on project? <input type="radio"/> Yes <input type="radio"/> No |
| 15. Subject to State Clearing House (Exec. Order 12372)? <input type="radio"/> Yes <input type="radio"/> No | *Investigator can be the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by NASA/NSF/PHS/Other, or proposed for such funding, which may include, collaborators, consultants, and sometimes, students- if deemed as investigator, by the PI. |
| 16. Cost Share proposed? <input type="checkbox"/> Mandatory? <input type="checkbox"/> Voluntary <input type="radio"/> Yes <input type="radio"/> No | |

Part 5. Approvals Routing

If this project is awarded, the described activities will become an expected part of the faculty member's job responsibilities. SJSU Research Foundation is the applicant institution on all proposals submitted. If awarded, the recipient of the grant or contract will be SJSU Research Foundation on behalf of the principal investigator. PI's signature, or approval on Cayuse, certifies that; 1.) the information submitted on the routing form and within the application is true, complete, and accurate to the best of the PI's knowledge; and 2.) that the PI agrees to accept responsibility for the scientific conduct of the project and to provide the required progress report if a grant is awarded as a result of the application.

| SIGNATURES TO BE OBTAINED OR APPROVED ON CAYUSE |
|--|
| PI/PROJECT DIRECTOR _____ DATE <input type="text"/> <input type="text"/> <i>Certifies correctness of proposal and willingness to abide by university and sponsor policies and commonly accepted scientific practices in performing project.</i> |
| CO-PI/PROJECT DIRECTOR _____ DATE <input type="text"/> <input type="text"/> <i>Certifies correctness of proposal and willingness to abide by university and sponsor policies and commonly accepted scientific practices in performing project.</i> |
| DEPARTMENT CHAIR _____ DATE <input type="text"/> <input type="text"/> <i>Approves project, including department cost sharing and faculty participation, and will ensure research compliance</i> |
| COLLEGE DEAN _____ DATE <input type="text"/> <input type="text"/> <i>Approves project, including college cost sharing, and certifies its compatibility with college policies.</i> |

| SIGNATURES TO BE OBTAINED OR APPROVED ON CAYUSE |
|---|
| SJSURF OSP MANAGER _____ DATE <input type="text"/> <input type="text"/> <i>Certifies proposal complies with application guidelines and that budget is adequate and correct.</i> |
| SENIOR DIRECTOR, OSP _____ DATE <input type="text"/> <input type="text"/> <i>Certifies project meets SJSU Research Foundation and university policies.</i> |
| UNIVERSITY FISCAL OFFICER _____ DATE <input type="text"/> <input type="text"/> <i>Certifies appropriateness of university fiscal involvement.</i> |
| AVP, RESEARCH _____ DATE <input type="text"/> <input type="text"/> <i>Approves proposal on behalf of university president.</i> |

Proposal Routing and Approval Form, Part 2 and Part 4

Part 2: Project Summary

PURPOSE:

- **Research:** All research and development activities that are sponsored by federal and non-federal agencies and organizations. This term includes the training of individuals in research techniques (commonly called research training) where training takes place in the same facilities as other research and development activities and when such activities are not included in the instruction/training function of the university.
- **Instruction:** Specific instructional or training activity established by grant, contract, or cooperative agreement. This term does not include the training of individuals in research techniques, commonly referred to as research training.
- **Other:** Sponsored programs and projects financed by federal and non-federal agencies and organizations that involve the performance of work other than instruction/training and organized research. Examples of such programs and projects are health service projects and community service programs

Part 4: Special Considerations: Additional Information

RESEARCH COMPLIANCE

1-3. Patents/Copyrights/Intellectual Property Issues: Please explain briefly, via email to your OSP Manager, and see SJSU Intellectual Property Policy posted at: [Intellectual Property](#).

Security Classifications/Confidentiality Requirements/Publications Restrictions: Please explain briefly, via email to your OSP Manager.

Intellectual Property Ownership Rights: If sponsor requires full IP ownership rights, signed IP waiver is required.

4. Additional Insurance: Additional information may be required for offsite projects and or volunteers, i.e. location of activities, number of individuals needing insurance, number of days, number of minors involved, etc. Please include applicable costs in budget, and allow additional time for SJSURF to obtain necessary insurance certificates.

5. Additional Employment for Faculty Involved: Indicate who will receive additional employment, the percentage of time, and the dates of the additional effort. Please note that overall percentage cannot exceed 125%. If the individuals who will receive additional employment have time and effort on any Tower Foundation projects, please let your OSP manager know. See policy: [Additional Employment Policy](#)

6. Organized Research Training Unit: If an ORTU is involved, please indicate the date of SJSU approval of ORU. <http://www.sjsu.edu/research/ortu/>

7. DEA Controlled Substances and Listed Chemicals: The EH&S Department is responsible for ensuring that research or experiments involving controlled substances or listed chemicals complies with Drug Enforcement Agency regulations. Prior to possessing or working with DEA controlled substances, a Controlled Substance Use Authorization application must be completed and submitted to EH&S. Prior to possessing or working with DEA listed chemicals, a list Chemical Use Authorization application must be completed and submitted to EHS Additional information can be obtained at: [SJSU Environmental Health and Safety \(EHS\)](#)

8. Biological Hazards: The Institutional Biosafety Committee (IBC) is responsible for ensuring that recombinant DNA research or experiments involving biohazardous materials are conducted in compliance with NIH, CDC Guidelines, and Cal OSHA Requirements to promote safe and responsible work practices. Prior to possessing, storing, or working

with or transporting infectious agents, select agents and toxins, human or nonhuman primate materials (including blood, body fluids, cells and tissues), recombinant DNA or transgenic animals. For more information, please visit the web at: [Biological Hazards Information](#). **Chemical Hazards:** The EH&S Department is responsible for ensuring that research or experiments involving regulated or listed carcinogens and acutely or extremely hazardous chemicals are stored, handled and disposed of safely as required by local, state or federal regulations. Prior to working with the regulated chemical a Standard Operating Procedure (SOP) describing the storage, use, and disposal of regulated or listed carcinogens and acutely or extremely hazardous materials must be submitted to EHS. For more information, please visit: [SJSU Environmental Health and Safety \(EHS\)](#).

If Biological Hazards, Carcinogens and or Recombinant DNA are involved, SJSURF will route to Bill Murray, Dept of Biological Sciences, William.Murray@sjsu.edu

- 9. Human Subjects:** A protocol must be submitted to the Institutional Review Board (IRB). Information regarding the use of human subjects is posted at the IRB website, located at [Humans Subjects Research - Institutional Review Board \(IRB\)](#). In addition, all investigators using human subjects must complete the web-based tutorial which can be accessed at [Web-based human subjects tutorial videos](#). If Human Subjects are involved, please contact Alena Filip, Office of Research, Alena.Filip@sjsu.edu
- 10. Animal Subjects:** The Institutional Animal Care and Use Committee (IACUC) is responsible for ensuring that adequate care and facilities for vertebrate animals are available. Protocol forms are posted at [Institutional Animal Care & Use Committee \(IACUC\)](#). In addition, all investigators and personnel working on a project using animals must complete the necessary Animal Health and Welfare Training. IACUC verification is required if proposal is funded. If Animal Subjects are involved, please contact Larry Young, College of Science, Lawrence.Young@sjsu.edu
- 11. Student Participation:** Indicate if student participation is for credit or non-credit. If student participation will be for credit, SJSURF will need to notify Undergraduate Studies or Graduate Studies, and AVP of Office of Research.
- 12. Impact on Curriculum or Degree Programs:** If an impact is indicated, SJSURF will route to Undergraduate Studies or Graduate Studies for approval. Please be sure you have already discussed the impact with your Chair and Dean.
- 13. Continuing Education Programs:** If Continuing Education programs are involved, will need to notify AVP of Research and CIES for approval. <http://www.sjsu.edu/workforce/>
- 14. Working with Minors or those in Sensitive Positions:** If working with Minors, or individuals in Sensitive Positions (individuals who have access to Financial Data or Level 1 Data, i.e. first names, last names, social security numbers, back account information, etc.) include costs for fingerprinting and background checks, approximately \$110 per individual.
- 15. State Clearing House (Exec Order 12372):** Indicate if project is subject to E.O. 12372.
- 16. Cost sharing** should not be proposed on any proposal unless it is required by the sponsor agency. All cost sharing proposed must be approved by the appropriate SJSU chair and dean before the proposal is submitted. The type and amount of cost sharing must be itemized. Letters from units or entities providing cost sharing may need to be secured. Any cost sharing offered must be documented. Federal funds may not be used to cost share on other federally-funded projects. Cost sharing from third parties must be confirmed with a fully executed Cost Sharing MOU. See [Cost Share Policy](#).

EXPORT CONTROL

PI will need to acknowledge that they are aware of, understand, and will ensure compliance with Export Control Regulations. [Export Control](#)

At-Risk Activities: If a project includes travel or work in a foreign country, underwater research, working aboard vessels, transporting groups of people in automobiles, etc., or any students working on these tasks, the SJSU Research Foundation Risk Management office will review for adequate safety protocols and insurance coverage.

17. Involvement of Foreign Entities or Foreign Nationals: Briefly describe the proposed activities, country(ies) and/or non-U.S. entities involved, and type of information, equipment, property or materials to be shared. If the project involves foreign nationals, whether or not employed by SJSU or SJSURF, this should be checked “yes.” An explanation of the foreign national's affiliation can be described in the additional information section on the first page of the routing form.

NOTE: *Foreign nationals granted US citizenship or permanent residence “green card” or granted status as a “protected individual,” e.g. political refugees and political asylum holders are “EXEMPT” from deemed export rule. A foreign person/national is not a U.S. citizen, legal permanent resident (green card holder) or protected person. This includes individuals, as well as foreign governments, international organizations, etc.*

18. Shipment of equipment, technology, software, materials data, or other: If shipment of these items is involved, please provide brief explanation.

19. International Sponsors/Subcontractors: If your proposal is being submitted to an international sponsor, please indicate the name and country of origin.

20. Usage of Drones-Unmanned Aircraft: Please identify the make/model/category of drone(s) being used. PI will need to acknowledge that they are aware of, understand, and ensure compliance with federal regulations. <https://www.faa.gov/uas/>

FACILITIES, LAB & SPACE REQUIREMENTS

21-23. Please indicate space needs the project may have. Also check what type of space may be needed. If space is being requested or reconfigured, indicate who is to provide (or alter) space (i.e., SJSU, SJSU Research Foundation, or other). Needs must be described, and arrangements must be discussed and approved by FD&O (<http://www.sjsu.edu/fdo/services/>) and/or Chair and Dean, as appropriate.

PERSONNEL & APPROVAL COMPLIANCE

24. Other SJSU Personnel mentioned in proposal: if other SJSU personnel are mentioned in proposal, will need to obtain their signature, along with signatures from their Chair and Dean. Allow additional time to obtain required signatures.

25. Substantial use of library facilities or personnel: Prior approvals from Library Dean is required if substantial use of library facilities or personnel are involved.

FINANCIAL CONFLICT OF INTEREST

26. Statement of Economic Interest-Private Industry: State regulations require a principal investigator to disclose whether or not he or she has a direct or indirect financial interest in the project's sponsor. If the sponsor is a private, for-profit organization, a Statement of Economic Interest (Form 700U) must be submitted. Principal investigators will not be able to spend on awards received from private, non-profit organizations unless a form has been completed and. This form may be accessed at: [California form 700](#)

Financial Interest Disclosure Statement - National Science Foundation (NSF)/Department of Health and Human Services (DHHS)/ National Aeronautics and Space Administration (NASA) & Other Government Entities: Any person who will work on an NSF, DHHS, NASA, or Other Government Entities, project who is responsible for the

design, conduct, or reporting of work performed on the project must complete a Financial Interest Disclosure statement. This disclosure includes employees of SJSU, SJSU Research Foundation, and all collaborators (paid/unpaid) who are deemed investigators. The completed disclosure form must be brought to SJSU Research Foundation at the time of the proposal submission. Principal investigators will not be able to spend on awards received from NSF, DHHS, or NASA, or Other Government Entities, unless a form has been completed. Disclosure forms can be accessed from the [Forms Page](#)

27. A list of all personnel deemed as an investigator on the project will need to be provided by the PI. Each investigator must complete and sign a conflict of interest form (Either the 700U, FCOI1 or FCOI2).