

San José State University Research Foundation
Sponsored Programs Workshop

The Nuts and Bolts of Proposal Preparation and Award Management

October 30, 2019

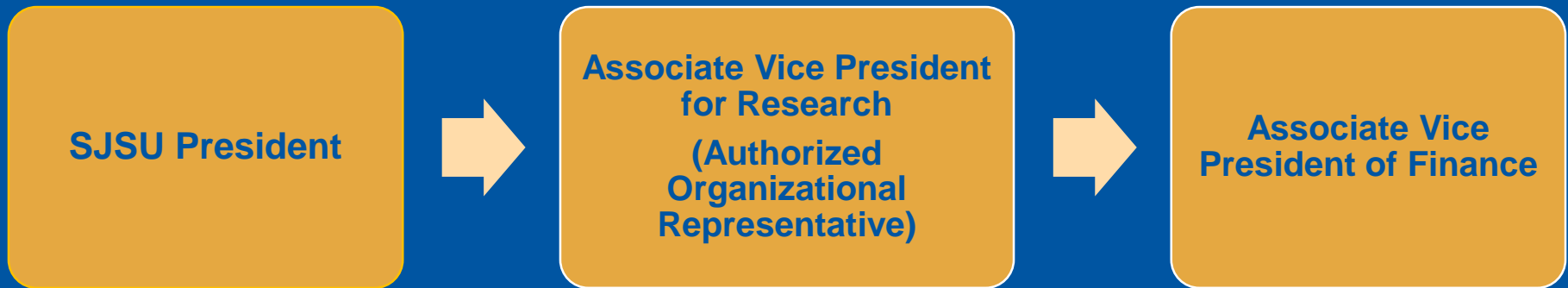
Overview of Workshop

- Introduction
- SJSU Research Foundation
- Sponsored Programs and PI Responsibilities During Pre-Award & Post-Award
- Critical Considerations
Project Life Cycle Phases 2-6
- Questions and Answers

SJSU Research Foundation

- Campus sponsored programs administrator (SPA)
- Authorized to develop and submit proposals for funding
- Receive and provide administration of awards

Designation of Approvals



Research Project Life Cycle



In General — Be Proactive!

- Initial Contact with Sponsored Programs Manager
- Establish Needs and an Agreed Upon Timeline
- Clarify Roles and Responsibilities
- Ask and Answer Questions
- Encourage Training Opportunities



Developing and Submitting Proposals - Phase 2

Sponsored Programs Manager Responsibilities

The initial contacts for proposal development are Sponsored Programs managers who work with principal investigators and project teams by providing assistance throughout the proposal development, submission and award or declination process.

Developing and Submitting Proposals - Phase 2

Sponsored Programs Manager Responsibilities

- Defines research goals,
- Interprets sponsor's guidelines
- Reviews and edits proposal documents,
- Develops and ensures accurate project budgets,
- Initiates and monitors on-campus review (routing) processes,
- Ensures adherence to institutional, sponsor, and governmental guidelines,
- Submits proposals in accordance with guidelines,
- Negotiates awards and contracts.

Developing and Submitting Proposals - Phase 2

Principal Investigator Responsibilities

- Initiates contact with the SJSU Research Foundation, as early in the process as possible
- Reads and understands the funding opportunity guidelines,
- Complies with SJSU and Research Foundation Proposal Routing and Approval policies and procedures
- 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,
- Ensures that all required university forms and certifications are completed in a timely manner,
- Ensures that all work and activities will be performed as described in the proposed project.

Developing and Submitting Proposals - Phase 2

Proposal Routing

Ensures Compliance with the Following Authorities:

- Chancellor's Office
- Federal Uniform Guidance
- Federal, State, and Local Government Regulations
- **Auditors** (Chancellor's Office, University, Federal, State and Independent Auditors)

Developing and Submitting Proposals - Phase 2

Minimum Documents to Initiate Routing:

- Final Budget and Budget Justification
- Complete draft proposal narrative or abstract
- Proposal Routing and Approval Form (PRAF)

****Any changes to the final budget/budget justification or cost-share elements after the routing has initiated will require the routing process to begin again, which may delay the potential submission.**

Developing and Submitting Proposals - Phase 2

Other Potential Items Needed Prior to Routing:

- Waivers (PI Status, Indirect Costs)
- Human/Animal Subjects Approvals
- Cost Share Commitment Form
- Conflict of Interest Form
- Insurance Certificates

Developing and Submitting Proposals - Phase 2

Budget and Budget Justification

- Identify cost categories
- Personnel and Fringe Costs
- Materials and Supplies vs. Equipment
- Subawards vs. Service Agreement
- Anticipate cost of living increases and inflation

Developing and Submitting Proposals - Phase 2

Proposal Routing and Approval Form (PRAF)

- Must be included with all routing packages
- Completed by OSP Manager and PI
- PI completes parts 1, 2, and 4 of the PRAF.
- OSP Manager completes part 3 once the budget has been finalized.

[Print Form](#)[Submit by Email](#)

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#

Bi-Tech Proposal #

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

☐ FEDERAL☐ CORPORATE☐ STATE☐ NONPROFIT☐ OTHER

SPONSOR CONTACT PERSON

SPONSOR EMAIL

SPONSOR SUBCODES

☐

Cost Share

☐

Tower

☐

Local Gov't

☐

Non-CA State Gov't

☐

International

☐

Other

☐

Bequest

Part 2: Project Summary

PROPOSAL DESCRIPTION

PROPOSAL TYPE

AWARD TYPE

PURPOSE

☐

NEW

☐

GRANT

☐

RESEARCH

☐

RENEWAL

☐

CONTRACT

☐

INSTRUCTION

☐

SUPPLEMENT

☐

CO-OP AGREEMENT

☐

OTHER

☐

CONTINUATION

☐

PURCHASE ORDER

WORK SITE

☐

ON CAMPUS SPACE (BUILDING NAME):

☐

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 4: Special Considerations

PROPOSAL ROUTING NUMBER

RESEARCH COMPLIANCE	EXPORT CONTROL
1. Anything patentable, confidential, copyrightable, or proprietary? <input type="checkbox"/> Yes <input type="checkbox"/> No	17. Will the project involve participation, collaboration, or access to information by foreign nationals? <input type="checkbox"/> Yes <input type="checkbox"/> No
2. Intellectual property in which SJSU may have an interest? <input type="checkbox"/> Yes <input type="checkbox"/> No	18. Will the project involve the shipment of equipment, technology, software, materials data or other information? <input type="checkbox"/> Yes <input type="checkbox"/> No
3. Does Sponsor require full IP ownership rights? <input type="checkbox"/> Yes <input type="checkbox"/> No	19. Will the project involve a foreign subcontract or other foreign contractual agreement? <input type="checkbox"/> Yes <input type="checkbox"/> No
4. Additional insurance coverage needed (off site, volunteers)? <input type="checkbox"/> Yes <input type="checkbox"/> No	20. Use of Drones? Model / Category identified? <input type="checkbox"/> Yes <input type="checkbox"/> No
5. Additional Employment for Faculty? <input type="checkbox"/> Yes <input type="checkbox"/> 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="checkbox"/> Yes <input type="checkbox"/> No	21. Additional SJSU facilities or equipment needed? <input type="checkbox"/> Yes <input type="checkbox"/> No
7. Use of DEA Controlled Substances and Listed Chemicals? <input type="checkbox"/> Yes <input type="checkbox"/> No	22. Facility remodeling or alteration proposed? <input type="checkbox"/> Yes <input type="checkbox"/> No
8. Biological Hazards? Carcinogens? Recombinant DNA? <input type="checkbox"/> Yes <input type="checkbox"/> No	23. Substantial use of computing facilities or personnel needed? <input type="checkbox"/> Yes <input type="checkbox"/> No
9. Use of human subjects? <input type="checkbox"/> Yes <input type="checkbox"/> No	PERSONNEL & APPROVAL COMPLIANCE
10. Use of vertebrate animals? <input type="checkbox"/> Yes <input type="checkbox"/> No	24. Other SJSU personnel mentioned in proposal? <input type="checkbox"/> Yes <input type="checkbox"/> No
11. Student Participation? <input type="checkbox"/> For Credit? <input type="checkbox"/> Non-Credit? <input type="checkbox"/> Yes <input type="checkbox"/> No	25. Substantial use of library facilities or personnel? <input type="checkbox"/> Yes <input type="checkbox"/> No
12. Any impact on curriculum or degree programs? <input type="checkbox"/> Yes <input type="checkbox"/> No	FINANCIAL CONFLICT OF INTEREST
13. Continuing Education programs? <input type="checkbox"/> Yes <input type="checkbox"/> No	26. Financial Conflict of Interest to disclose? <input type="checkbox"/> Yes <input type="checkbox"/> 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 I Data)? <input type="checkbox"/> Yes <input type="checkbox"/> No	27. PI provided list of all personnel deemed investigators* on project? <input type="checkbox"/> Yes <input type="checkbox"/> No
15. Subject to State Clearing House (Exec. Order 12372)? <input type="checkbox"/> Yes <input type="checkbox"/> 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="checkbox"/> Yes <input type="checkbox"/> No	

Developing and Submitting Proposals - Phase 2

Routing Timeline

- Allow **7-10 business days** to complete prior to submission
- Target submittal deadline is **two (2) business days prior** to sponsor deadline
- Each key personnel and their respective chair(s) and dean(s) in the proposal are included in the routing process
- Before the routing reaches AVP for Research, we require final documents.



Award Negotiation – Phase 3

- Awards from federal sponsors (i.e. NSF, NIH, DOE) have standard terms and conditions that are non-negotiable.
- Awards from local or industry sponsors (City of SJ, County of Santa Clara, IBM, Facebook, etc.) are negotiable. Once we receive an award, we will review the terms and conditions.

Award Management – Phase 5

Award Terms to Consider:

- Federal flow down
- Invoice
- Publication Rights
- Intellectual Property
- Commercialization Rights
- Indemnification
- Termination
- Confidentiality
- Governing Laws
- Survival Language

Award Setup – Phase 4

- Should the project be funded, Sponsored Programs manager will review the new award and its terms and conditions.
- Sponsored Programs manager will create a unique 10 digit account number (ONESolution).
- ONESolution allows for grant management tracking:
 - Financial Conflict of Interest
 - Institutional Review Board (Human Subjects)
 - Institutional Animal Care & Use Committee (IACUC)
 - Responsible Conduct of Research Training (RCR)
 - Insurance – CSURMA-AORMA
 - Hazardous Materials - Environmental Health & Safety (EHS) Committee
 - Progress Reports
 - Fiscal Reports
- PI will collaborate with Sponsored Programs manager and the SJSURF HR team to hire student(s) and staff on the project.

Award Setup – Phase 4

ONESolution Report

SJSU Research Foundation

Summary of Account Status - Cumulative

Run Date: 10/29/2019
Account: 2115002222
Period: 10/01/2019 to 10/31/2019

Account Name: Project Title
Administrator: PI Name

Analyst:
Phone:

Agency: National Science Foundation

Deliver To: PI Name

Flow Down Agency: N/A

Additional Signers:

Grant Period: 12/01/2019 - 11/30/2022

Indirect Cost %: 46.00

Object Code	Description	Total Budget	Current Rev/Exp	Cumulative Rev/Exp	Outstanding Commitments	Available Balance
21113	Project Director-Summer	20,413.00	0.00	0.00	0.00	20,413.00
21800	Student Assistants	11,880.00	0.00	0.00	0.00	11,880.00
21820	S.A. Graduate	6,600.00	0.00	0.00	0.00	6,600.00

Award Management – Phase 5

Sponsored Programs Manager Responsibilities:

- Acts as a primary point of administrative contact for the sponsoring agency
- Understands award terms and conditions and how to adhere to them
- Assists PIs in managing the administrative and financial details of their projects
- Oversees compliance with funding agency regulations and standards
- Ensures the timely submission of progress reports, financial reports and closeout reports



"We like to bring together people from radically different fields and wait for the friction to produce heat, light and magic. Sometimes it takes a while."

Award Management – Phase 5

Principal Investigator Responsibilities

- Ensures that all required university forms and certifications are completed in a timely manner
- Conducts the work on the project according to research protocol or the statement of work that was submitted with the original proposal or as subsequently modified by the sponsor in agreement with the principal investigator and the university
- Ensures that all work meets the highest ethical standards and is conducted without real or apparent conflicts of interest
- Ensures that all work performed is conducted in compliance with applicable federal, state, and local laws and with CSU, SJSU, and Research Foundation policies

Award Management – Phase 5

Principal Investigator Responsibilities

- Submitting reports on the research in a timely manner and according to the sponsor's requirements
- Abiding by the terms and conditions of the sponsored project award
- Managing project personnel in compliance with federal and state laws and Research Foundation policy
- Ensuring that all expenditures are made in compliance with the approved budget, and ensuring timely submission of expenses for reimbursements, appointment forms, and timesheets, taking into account all restrictions to avoid disallowances or overspending

Award Management – Phase 5

Budgets and Expenditures –

All project expenditures must adhere to the principles of **allowability, allocability, reasonableness, consistency,** and **availability** as prescribed in the Federal Uniform Guidance 2 CFR-200.

Open communication reduces potential for:

- Late Cost Transfers
- Disallowances
- Revised Invoices and Financial Reports
- Audit Findings

Award Management – Phase 5

Sponsor Approvals:

- Re-budgeting
- Carry forward
- Change of PI or level of effort
- Pre-award spending
- No cost extension
- Subcontract that is not in original proposal

Award Management – Phase 5

Reporting Requirements

Technical

- Progress/Interim
- Final

Financial

- SF 425 for federal awards
- Sponsor-specific forms for others

Award Management – Phase 5

Reporting Requirements – Be Timely!

Delinquent Reports May Result In:

- Sponsors withholding funding on future awards
- SJSU and the Research Foundation being identified as non-compliant with sponsor reporting requirements.

Project Closeout – Phase 6

- Meet with Sponsored Programs manager before the grant period is over.
- Clear all pending expenses.
- Ensure all deliverables have been met and all reports are submitted.
- Close project account within 90 days after the grant end date.

Teamwork Matters!

Acting on Behalf of SJSU and the Research Foundation

- Know who does what and who can help.
- Interact regularly – not just when there are fires.
- Ask and answer questions – communication is key
- Remain flexible. Not all sponsors and awards are created equal.
- Be patient and be a resource.
- Remember that this is truly a team effort – we are all in this together!

