# San José State University Research Foundation
# Proposal Routing & Approval Form

## Internal Identifiers

| Proposal Routing Number (PRN): | | Proposal Number (PN): | |
|---|---|---|---|

**RUSH:** *This proposal is a RUSH (final documents required for routing were received in the Office of Sponsored Programs (OSP) four days or less of the sponsor deadline. Please refer to the* Proposal Submission Timeline Chart *for the standard working timeline.*

## Part 1: Investigator, Sponsor, & Project Information
*To be completed by the principal investigator (PI) or project director (PD)*

### Investigator Data

| Principal Investigator/Project Director: | Department & College: | SJSU Email: | Phone: |
|---|---|---|---|
| | | | |

**PI Status Approval Required:**     Yes          No

*(If yes, attach the approved PI/Co-PI Request form.)*

| Co-Principal Investgator(s)/Project Director: | Department & College: | SJSU Email: | Phone: |
|---|---|---|---|
| | | | |

| **Additional Information:** |
|---|
| |

**Co-PI Status Approval Required:**     Yes          No

*(If yes, attach the approved PI/Co-PI Request form.) Note: Contact Pre-Award Specialist (PAS) to capture additional Co-PI's on the PRAF Addendum.*

### Sponsor Data

| RFP#: | RFP Title: |
|---|---|
| | |

| How did you learn about this RFP? | Check box if this submission is subject to State Clearinghouse (E.O.1-2-3-7-2). | ALN/CFDA: |
|---|---|---|
| | | |

| Sponsor Deadline: | Hour: | Minute(s): | 12-Hour Clock: | Time Zone: | Deadline Type: |
|---|---|---|---|---|---|
| | | | | | |

| Sponsor Contact Information: | Email: | Phone: |
|---|---|---|
| Address 1: | Address 2: | City/State/Country: |

| Is this a Subcontract?: | Sponsor Type: | If Sponsor Type Is Other, Describe: | Award Type: |
|---|---|---|---|
| *If Yes, identify the Prime Agency:* | | | |

## Project Data

| Proposal Title: | Project Period Start Date: | Project Period End Date: |
|---|---|---|
| **Brief Project Summary:** | | |

## Association Codes

| This proposal funding is associated with: | This proposal is a result of the PI working with: | Purpose of Project: | Proposal Application Type: *If not "new," enter the RF project account number:* |
|---|---|---|---|

| Worksite |
|---|
| Will 50% or more of the project be performed (choose one):    On-Campus        Off-Campus* |
| *Off-Campus requires the completion of the Facilities & Administrative (F&A) Rate Exception Approval Form (provided by the pre-award specialist). *Note: Refer to Facilities & Administrative Costs FAQs on the Research Foundation website.* |
| Location: |

## Part 2: Budget Data

| Budget Period | |
|---|---|
| Start Date: | End Date: |

| Project Budget Information | |
|---|---|
| F&A Rate %: | F&A Rate source (choose one): |
| *Note: F&A Rate Exception Approval Form is required, and it must be approved by the AVP for research and the OSP director.* | |

| Cost Type | Year One | Year Two | Year Three | Year Four | Year Five |
|---|---|---|---|---|---|
| Direct Cost: | | | | | |
| Indirect Cost (F&A): | | | | | |
| Total: | | | | | |

| Cost Sharing Information: | | |
|---|---|---|
| Yes | No | Mandatory committed sponsor required cost share. |
| Yes | No | Voluntary committed cost share will be proposed to the sponsor. |
| Yes | No | Voluntary uncommitted cost share will be internal only, not proposed to sponsor. |

| Cost Sharing Source: | Cost Share Amount: |
|---|---|

| Additional Information: |
|---|

## Part 3: Special Considerations

*Note to Principal Investigator: Please refer to the PRAF Instructions for an explanation on each required field.*

## Innovation/Intellectual Property (IP)

| Yes | No | Is there a likelihood of IP (e.g., inventions, creative works, computer code, algorithms) resulting from the research project? |
|---|---|---|
| Yes | No | Will this proposal include use of IP that belongs to you, to SJSU, to SJSURF, or to a third party, use of IP that is governed by another agreement, or use of any information held by SJSU/SJSURF parties that should be kept confidential? |
| Yes | No | Will the sponsor require the rights to IP ownership related to the proposed scope of work? |

## Risk Management/Human Resources

| **Will the project involve at-risk activities (requiring additional insurance, background check, or finger printing) such as...** | | |
|---|---|---|
| Yes | No | Off-site project activities: off-site events, on-campus events involving non-SJSU personnel, volunteers, students, minors, international travel, or **drones?** *If Yes, identify all applicable activity:* |
| Yes | No | The scope of the project will require project personnel to interact with minors (i.e., minors under 18 years old) or handle sensitive data? |
| Yes | No | Any person(s) hired to the project live and work in a state other than CA, HI, IL, PA, or WA? *If yes, please provide a list of person(s) and location(s), this also includes PI, Co-PI, or any other personnel.* |

## Research Compliance

| **Will the project involve the use of...** | | |
|---|---|---|
| **Institutional** | | |
| Yes | No | Animal subjects (IACUC)? |
| Yes | No | Human subjects (IRB)? |
| Yes | No | Hazardous biological agents, recombinant or synthetic nucleic acid molecules, materials derived from humans and nonhuman primates, toxins, select agents, or agents of dual-use research concern (IBC)? |
| Yes | No | DEA controlled substances or listed chemicals? |
| Yes | No | Clinical trials as defined by NIH? |
| Yes | No | Human stem cells (either embryonic, adult, or induced pluripotent) or human embryonic tissues? |
| Yes | No | Human remains (whole body or body portion), human bones/bone fragments, or human hair, teeth, or nails? |

# Export Control

| | | Will the project include... |
|---|---|---|
| Yes | No | Drones-Unmanned Aircraft? |
| Yes | No | The participation of, collaboration with, or access to information to/from any foreign nationals, non-resident person(s) hired as project employees (including the PI, students, etc.), defined as individuals with foreign citizenship, foreign governments, foreign associations, and corporations, or foreign political parties? |
| Yes | No | Non-U.S. collaboration(s), subcontract(s), or other agreement(s)? |
| Yes | No | International travel? |
| Yes | No | Any engagement with embargoed or comprehensively sanctioned countries? |
| Yes | No | International shipping of research equipment, samples, technology, software, data or other information? |
| | | *By checking this box, I acknowledge that I am the PI, and I am aware of and understand that I am responsible for ensuring compliance with export control regulations.* |

# Conflict of Interest

| | | |
|---|---|---|
| Yes | No | Financial disclosure is required of all investigators. Has the PI provided a list of all investigators* (not limited to co-investigator roles)? |
| *An 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 investigators, by the PI.* | | |

# University Personnel: Participating Staff, Faculty, or Units

| | | Will the project involve... |
|---|---|---|
| Yes | No | An institutionally approved campus centers and institutes (CCI)? |
| Yes | No | Additional employment (overload) for faculty or (overtime) non-faculty staff? |
| Yes | No | Substantial use of library resources, facilities, or personnel? |
| Yes | No | Other SJSU personnel *(to be mentioned in the proposal)?* |

# Student Participation

| Will this project include student participation? Check all that apply: | | | |
|---|---|---|---|
| | Non-compensated, credit | | Compensated for credit |
| | Non-compensated, non-credit | | Compensated non-credit |
| *Enter the case number as described in the PRAF Instructions for exemption — otherwise, approval is required* : | | | |

## Curriculum & Continuing Education

| | | |
|---|---|---|
| Yes | No | Will this project have any impact on curriculum or degree programs (SJSU Catalog)? |
| Yes | No | Will this project have an impact on continuing education programs (CPGE)? |

## Facilities, Lab & Space Requirements

| **Will this project require...** | | |
|---|---|---|
| *If "yes" to any of the following, please provide approval documentation from FD&O and/or chair and dean to OSP.* | | |
| Yes | No | The use of SJSU facilities or equipment? |
| Yes | No | Remodeling or alteration of existing facilities? |
| Yes | No | Substantial use of computing facilities? |

## Part 4: 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 PI. For National Institutes of Health (NIH) awards, the SJSU Research Foundation is required to notify NIH when a PI or Senior/Key Personnel are removed from their position or otherwise disciplined due to concerns about harassment, bullying, retaliation, or hostile working conditions. The 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. In addition to the signatures provided below, the remaining approvals will be obtained on Cayuse.

## SIGNATURES TO BE OBTAINED OR APPROVED ON CAYUSE

PI/PD:                                                          DATE:


_____
*Certifies correctness of proposal and willingness to abide by university and sponsor policies and commonly accepted scientific practices in performing project.*

CO-PI/PD:                                                     DATE:


_____
*Certifies correctness of proposal and willingness to abide by university and sponsor policies and commonly accepted scientific practices in performing project.*

DEPARTMENT CHAIR:                                      DATE:


_____
*Approves project, including department cost sharing and faculty participation, and will ensure research compliance.*

COLLEGE DEAN:                                             DATE:


_____
*Approves project, including college cost sharing, and certifies its compatibility with college policies.*

# San José State University Research Foundation
# Proposal Routing & Approval Form Instructions

This document provides instructions to assist you with completing the Proposal Routing and Approval Form.

# Internal Identifiers

**Proposal Routing Number (PRN)**: Assigned by the Office of Sponsored Programs (OSP) Pre-Award specialist who will route and submit the proposal. The proposal routing number consists of the specialist's first initial, last initial, two digits for the month, two digits for the day.

**Proposal Number (PN):** The enterprise resource planning (ERP) system-generated proposal number (##-####). This number is used internally to track and report the status of the proposal.

**RUSH:** This box is to be checked when proposals do not adhere to the Proposal Submission Timeline.

> **Note:** In order to route, the final internal budget detail, budget justification, and a scope of work are required. Routing should begin no less than 7-10 business days before the sponsor's deadline. The finalized sponsor's required documents must be submitted to OSP for review and final approval no less than 3-4 business days before the sponsor's deadline. **Any deviation from this timeline may result in a RUSH situation and RF OSP may not have sufficient time to ensure compliance with regulations prior to submission.**

# PART 1 – INVESTIGATOR, SPONSOR, AND PROJECT INFORMATION

## Investigator Data

**Provide PI/Co-PI contact information:** Use institutional, not personal email and phone number. (i.e., use an sjsu.edu address not another institution's address, if an adjunct).

**PI/Co-PI Status Approval Required:** Before we can move forward with the proposal preparation process, PI and Co-PI status approval is required from the Office of Research for individuals that are not on the tenure-track having the rank of assistant, associate, or full professor.

For approval information, visit the Qualifying as a Principal Investigator web page.

**PI/Co-PI Effort:** Must be identified for the chair and dean to review and approve during routing.

# Sponsor Data

**RFP#:** The request for proposal (RFP) number is assigned by the sponsor, and is the official the identifier for the funding opportunity solicitation. Federal agencies post all funding opportunities in Sam.gov under the assistance listing number (ALN). Other Government Agencies have their own systems for identifying the funding opportunities. In cases where there is not a specified identifier, please type "N/A" or "None."

**State Clearinghouse (E.O. 12372):** If the RFP identifies that the submission is subject to State Clearinghouse (E.O. 12372), the Pre-Award specialist will mark this box so that the Proposal Processing coordinator will provide the information directly to the state at the time of submission.

**ALN:** The assistance listing number (ALN) also known as the CFDA (catalog of federal domestic assistance) number. The number is assigned by the Federal government for all grants and cooperative agreements. The ALN is found on the solicitation instructions, grants.gov, and or Sam.gov.

**Sponsor Deadline:** The date the proposal is due to the sponsoring agency. This information is stated on the solicitation. If there is no "hard" deadline, the date may be determined by the sponsor and principal investigator.

**Sponsor Contact Information:** Add the contact details for the organization that is providing the funding directly to the San José State University Research Foundation (SJSURF). This is usually the primary sponsoring agency, such as the National Science Foundation (NSF), the National Institutes of Health (NIH), and the National Endowment for the Arts (NEA). In some cases, SJSU may be serving as a subrecipient on the project. In this case, the award mechanism will be contractual and will be a flow down from a primary agency.

> **Example:** If UC Berkeley is submitting to NSF and SJSU will be collaborating through a subcontract, UC Berkeley is the pass-through entity (PTE). In this case, UC Berkeley would be SJSURF's sponsor and NSF would be the prime agency. In this case, UC Berkeley contact information would be entered in this field.

**Sponsor Type:** Used to track funding sources and identify the projects. The sponsor type may be any of the following:

- **Federal Agency:** Any department, independent establishment, government, corporation, or other agency of the executive branch of the Federal Government.
- **State-Funder:** State (CA only) government agency (example: UC schools).
- **Industry/Corporate:** A business, sole proprietorship, LLC, corporation, for-profit that is not a government entity.
- **Non-Profit:** A non-profit is tax-exempt under 501(c)(3) requirements if it is either a religious, charitable, or educational-based organization that does not influence state

and federal legislation. Not-for-profits are tax-exempt under 501(c)(7) requirements if they are an organization for pleasure, recreation, or another non-profit purpose.

- **Other:** Non-CA state, international, and all local government agencies. Local government is the counties, cities, municipalities, etc., all of which have their own structure.

**Award Type:** The funding support for the research project. Identification of the award mechanism that contains the project details, and terms and conditions of the award. Award type may be any of the following:

- **Grant/Contract:** A written contract between the federal government, the state, a grantee, or a subrecipient that contains the terms and conditions governing the parties' duties and responsibilities with respect to an award.
- **Fellowship:** An award made by an institution of higher education to an individual for graduate study under this part at the institution of higher education.
- **Contract Service Agreement:** A document that defines the terms of an agreement between a provider of services and a customer who is requesting a particular service.
- **Cooperative Agreement:** A legal instrument that facilitates the transfer of something of value from federal executive agencies to states, local governments, and private recipients for a public purpose or benefit.

## Project Data

**Proposal Title:** Add the title that you have selected for your proposal. We recommend that this title not be altered once the routing starts, as the title entered in this field is oftentimes used on multiple sponsor forms and internal routing documents. Title changes made after routing has begun will require updates on all respective forms. Should it become necessary to make a title change, please notify the Pre-Award specialist immediately.

**Project Period:** Enter the start and end dates for your project. The start date of the project should be based on instructions and information provided by the sponsor. For example, NSF states that projects should start no sooner than six months from the time of submission. To avoid potential delays for contractual awards, ensure that there is ample time for contract negotiations.

   **Note:** Please keep in mind that no work can begin until awards have been fully executed.

**Brief Project Summary:** Provide a two to three-sentence meaningful description of the project. The summary will be reviewed by all stakeholders during the internal routing process. The description may also be used in an institutional cover letter or commitment letter.

## Association Codes

Used by the ERP system for internal tracking purposes, association codes identify specific information such as the program or the team associated with the proposal.

**Select all that apply.**

- **CARES ACT -** Pre-Award specialist to mark if the funding is part of the Coronavirus Aid, Relief, and Economic Security Act. The RFP should identify if the funding is part of the CARES ACT. RF needs to track the funding received through this act.
- **Fellowship -** PI to mark if this proposal is a fellowship.
- **UGA -** PI to mark if this proposal is a result of working in the UGA.
- **Research Development -** PI to mark if they worked with the Research Development team on the proposal.

**Purpose of Project**

**Select one of the following:**

- **Applied Research:** Research is original, investigative, and designed to answer specific questions aimed at solving practical problems. New knowledge acquired from applied research has specific and practical aims or objectives, and commercial objectives in the form of products, procedures or services.
- **Basic Research**: Curiosity-driven, experimental, or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view. Basic research is motivated by a desire to expand knowledge and involves the acquisition of knowledge for knowledge's sake. It is intended to answer why, what or how questions, and increase understanding of fundamental principles. Basic research does not have immediate commercial objectives and although it certainly could, it may not necessarily result in an invention or a solution to a practical problem.
- **Clinical Research**: (1) Patient-oriented research. Research conducted with human subjects (or on the material of human origins such as tissues or specimens) for which an investigator directly interacts with human subjects. Excluded from this definition are in vitro studies that utilize human tissues that cannot be linked to a living individual. Patient-oriented research includes: (a) mechanisms of human disease, (b) therapeutic interventions, (c) clinical trials, or (d) development of new technologies. (2) Epidemiologic and behavioral studies. (3) Outcomes research and health services research.
- **Equipment:** Funding is specifically to purchase or build equipment (example: NSF Major Research Instrumentation funding).
  **Experimental Development:** Systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or

processes. Experimental research is a kind of study that rigidly follows a scientific research design. This area of research involves testing or emphasis on proving a hypothesis by way of experimentation. As such, it uses one or more independent variables, manipulating them and then using them on one or more dependent variables.

This kind of study is performed over some time so that researchers can form a corroborated conclusion about the two variables. The experimental research design must be carried out in a controlled environment. Throughout the experiment, the researcher collects data that can support or refute a hypothesis, thus, this research is also referred to as hypothesis testing or a deductive research method. Experimental research is typically used in psychology, physical and social sciences, along with education. However, it can also be applied to business.

- **Instruction and Training:** Most or all of the funding will be specifically used for instructional or training activities. Typically will be for a workshop, training program, or instructional and educational classroom activities.
- **Other:** Any items not included in the categories above (example: service-related work).

**Proposal Application Type**

**Select one of the following:**

- **New/Supplement**: This type applies to most proposals. Request for funding is for a new proposed scope of work. Supplemental funding is for a new scope of work and a new award identifier.
- **Continuation**: Funding for a current project that is ongoing does not have a break in award activity, usually has a stagnant award identifier, extends the same scope of work, and is not competing with other applicants.
- **Renewal**: Additional funding requested for an ongoing project. The proposal will be developed as if the applicant is applying for the first time because it will be competitive with other applicants.
- **Resubmission**: An unfunded application that has been modified following initial review and resubmitted for new consideration.
- **Revision**: Initial request for (or the award of) additional funds during a current project period to support new or additional activities that are not identified in the current award. This request reflects an expansion of the scope of the grant-approved activities. Competitive revisions require peer review.

**Worksite**

Indicate whether the majority of the project will be performed on-campus or off-campus.

- **Application Requirements**: Typically, applications require a primary place of performance (50% or more of the expenditures). If federal agencies require information on additional performance sites in the application (such as a collaborative proposal that

has multiple worksites), a list of all worksites must be provided to the Pre-Award specialist.

- **F&A Determination**: If it is determined that the primary place of performance is off-campus, the *F&A Rate Exception Approval Form* must be routed and approved by the AVP for Research and the SJSURF OSP director. For further details about facilities and administrative costs, visit the [Facilities & Administrative Costs FAQs](#) web page on the Research Foundation website

**Location(s):** State the actual location(s) of the worksite.

## PART 2: BUDGET DATA

## Budget Period

Enter the start and end dates for the budget period. The budget dates must fall within the project start and end dates. The start and end dates for the budget period generally correlate with the start and end dates for the project.

## Project Budget Information

F&A Rates are determined by worksite location, purpose of the project, and sponsor mandates. The following are options:

- DHHS Full recovery – rates set by the Department of Health and Human Services
- CMA Full Recovery – if the sponsor is the State of California
- Sponsor Mandated F&A – established by the sponsoring agency

If the sponsor has mandated an F&A rate or if an off-campus rate is used, the *F&A Rate Exception Approval* Form should be routed and approved by the AVP for Research and SJSU Research Foundation OSP director. Refer to the [Facilities & Administrative Costs FAQs](#) web page on the Research Foundation website.

## Cost Sharing Information

A *Cost Share Commitment Form* will be routed with details pertaining to type, amount, and source. The requirement of cost share differs by each sponsor. Some federal sponsoring agencies such as the National Science Foundation, strictly prohibit cost share.

**Kinds of Cost Share**

- **Cash Contributions:** Transactions that can be documented in the accounting system, such as paid time and effort (salary and fringe).

- **In-kind Contributions:** Volunteered time and effort wherein a value can be readily determined, verified, and justified, but where no actual cash is exchanged in securing goods and services.

**Types of Cost Share**

- **Mandatory Cost Share**: Required by sponsoring agency at the proposal stage as part of the proposed budget. The sponsor provides the requirement in the solicitation and indicates the allowable types. Cost share must be documented and met.
- **Voluntary Committed Cost Share**: When cost share is not mandated, but rather is offered by the institution or a third-party source, it may be considered in cases where the commitment of cost share is weighted in the merit review. In such cases, cost share must be approved by the chair, dean, Office of Research, and the Research Foundation. Cost share contributions must be tracked and recorded. Contributions may also need to be reported to the sponsor.
- **Voluntary Uncommitted Cost Share:** When cost share is not proposed to the sponsor and is internal only. It typically relates to time effort. This type of cost share should be discussed with the Pre-Award specialist, and determined if internal cost share is required. **Example**: Fellowships — a budget is limited, but the solicitation states that they expect the PI to still work full time on the project. In this case the Provost office provides the cost-share.

## PART 3: SPECIAL CONSIDERATIONS

This section contains specific questions pertaining to the various components of the project. Please review carefully before responding.

## Innovation and Intellectual Property

If "yes" to any intellectual property (IP) related questions, contact the Office of Innovation (officeofinnovation@sjsu.edu) to discuss the next steps. Please review and abide by the terms of University IP Policy (F98-3).

For more IP information, please refer to the following:

- SJSU Intellectual Property website
- Intellectual Property FAQs.

**Definitions and Examples**

- **Intellectual Property:** Property rights in ideas, generally to prevent others from using them without the creator's permission and conditions, including copyrights, patents, and trademarks.

- **Copyrights:** Original expressions of authorship in any medium (art, literature, code, etc.). **Examples:** a marketing brochure for a summer program, a scholarly article, the way the creator's code for recognizing angry faces was written, but not the way code can recognize them, the pattern on shirts, but not the way the shirts are made.
- **Patents:** Protect inventions that are new, not public, and not obvious. **Examples:** a novel car part, a novel way of making or operating that part, a method to use code to recognize angry faces but not the particular way you wrote it, a novel design for creating shirts but not the pattern on them.
- **Trademarks or Service Marks:** Words, symbols and appearances, such as a logo or brand, that in a specific context distinguishes a good (trademark) or service (service mark) from others, but only if it is in use or planned to be used. (Examples: the color pink in fiberglass insulation, the word "NIKE" capitalized on clothing).

## Risk Management and Human Resources

If the project includes activities that can be categorized as "at-risk," additional insurance may be required.

**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 students working on these tasks, the SJSU Research Foundation Risk Management office will review adequate safety protocols and required insurance coverage. A scope of all at-risk activities must be provided.

For questions, or to discuss potential at-risk activity, contact the assigned Pre-Award specialist. The specialist will then contact Risk Management [(research-foundation-risk-management@sjsu.edu)](mailto:research-foundation-risk-management@sjsu.edu) for associated costs to incorporate into the proposed budget. Include applicable costs in the budget, and allow additional time for SJSURF to obtain the necessary insurance certificates.

**Additional Insurance**

Additional insurance may be required for project activities that will be performed off-campus or will include off-campus events, and on-campus events involving non-SJSU personnel, volunteers, students, minors, international travel, or drones. The following are examples:

- **Project activities performed off-campus, or events held on SJSU campus inviting non-SJSU personnel.** Additional information including the location of activities, number of individual participants, and length of project activity must be provided to the Pre-Award specialist.
- **Volunteers** not covered under the CSURMA insurance must sign waivers and (in accordance with sponsor requirements) may be required to show proof of their

personal insurance. If minors are involved, indicate the number of minors participating, for how many days, and the specific location.

- **SJSU students working at another institution.** The location of activities, the number of SJSU students participating, and the length of the project activity must be provided to the Pre-Award specialist.
- **Projects with K-12 participants.** Personal accidental insurance (PAI) is required. The number of participants, the location, and the number of event days must be provided to the Pre-Award specialist to accurately determine costs. Off-campus events require extra cost.

## Working with Minors or Those in Sensitive Positions

If a project requires project personnel to work 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, bank account information, etc.), cost for fingerprinting and background checks should be included in the proposal budget. Approximate costs are $110 per individual. If there is any deviation in costs, the Pre-Award specialist will confirm with the SJSURF HR department.

## Out-of-State Employees

For all project employees who will live and work outside of the states of California, Hawaii, Illinois, Pennsylvania, and Washington, will be processed through ADECCO group and the corresponding fringe rate will apply. The list of person(s) and location(s) must be provided to the Pre-Award specialist. The list should include PI, Co-PI, or any other personnel hired to work on the project. If there is any deviation in costs, the specialist will confirm with the SJSURF HR department.

# Research Compliance

## Institutional

**IRB/IACUC/IBC**: Unless you have provided the protocol approval letter or exemption, the Pre-Award specialist will route the *Human Subjects, Animal Subjects, Recombinant DNA or Biohazards Principal Investigator Commitment Form* for you to complete, acknowledge, and sign. If biological hazards are involved in a project, the Pre-Award specialist will also include Dr. Laura Miller Conrad in the routing process.

### Related Definitions

- **Human Subjects**: A protocol must be submitted to the Institutional Review Board (IRB). We recommend submission of the protocol package no later than sixty (60) days prior to the expected award date. Information regarding the use of human subjects is available on the Humans Subjects Research - Institutional Review Board (IRB) web page. In addition, all investigators using human subjects must complete the web-based tutorial

which can be accessed on the [IRB: Help and Guidance web page](#). If human subjects are involved, you must contact the IRB Office ([irb@sjsu.edu](#)) before you begin the research.

- **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 available from the [Institutional Animal Care & Use Committee (IACUC) web page](#). 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 the proposal is funded. If Animal Subjects are involved, you must contact Larry Young, College of Science, ([lawrence.young@sjsu.edu](#)) before you begin the research.

- **IBC Biological Hazards: T**he 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, review the details on the [Office of Research Institutional Biosafety Committee web page](#). If approval is needed, the PI named on the project must contact the IBC Chair ([biosafety@sjsu.edu](#)) to obtain approval.

- **DEA Controlled Substances and Listed Chemicals:** At the proposal stage, the PI is responsible for providing the following information to the Pre-Award specialist: (1) a U.S. Drug Administration (DEA) registration number, (2) the issue date, and (3) the expiration date. The Environmental Health and Safety (EH&S) department is responsible for ensuring that research or experiments involving controlled substances or listed chemicals complies with DEA regulations.
  Prior to possessing or working with DEA controlled substances, a Controlled Substance Use Authorization application must be completed and submitted to EH&S. See complete lists of the [U.S. Drug Enforcement Administration (DEA) controlled substances by schedule](#) an [State of California list of precursor chemicals](#). The DEA registration process takes approximately two months, and includes an inspection of the research space. Additional information and authorization applications can be obtained from the Chemical Hygiene officer [ehschemicalpurchasingrequests@sjsu.edu](#)) and also on the [Facilities Development and Operations Lab Safety web page](#).

- **Chemical Hazards:** The EH&S department is responsible for ensuring that research or experiments involving regulated or listed carcinogens, acute toxins, or extremely hazardous chemicals are stored, handled and disposed of safely as required by local, state or federal regulations. Prior to obtaining hazardous chemicals, a Chemical Procurement Request Form must be completed and submitted to EH&S. Then prior to working with the regulated chemicals, a standard operating procedure (SOP) describing

the storage, use, and disposal of regulated materials must be submitted to EH&S. Additional information and authorization applications can be obtained from the Chemical Hygiene officer (ehschemicalpurchasingrequests@sjsu.edu) and on the Facilities Development and Operations Lab Safety web page.

- **Clinical Trials:** All clinical trials sponsored by NIH must be registered on ClinicalTrials.gov and the consent form posted to a public federal government website. Furthermore, all individuals responsible for the design, conduct, or reporting of the clinical trial must complete training in Good Clinical Practice (GCP). Contact the director of Research Compliance, Jessica Trask (jessica.trask@sjsu.edu) to create an account on ClinicalTrials.gov.

- **Human Stem Cells or Embryonic Tissues**: If the project involves human adult stem cells (e.g. mesenchymal stem cells, hematopoietic stem cells, or neural stem cells) or induced pluripotent stem cells (human somatic cells that are capable of dividing without differentiation in culture), the work requires review by a stem cell research oversight committee only if California Institute for Regenerative Medicine (CIRM) funds are being expended. If the project involves human embryonic stem cells, the research is covered by the **California Health and Safety Code, Section 125119(a)(1),** and must be reviewed and approved by a stem cell research oversight committee before you begin the research. Contact the director of Research Compliance, Jessica Trask (jessica.trask@sjsu.edu) to submit an application for stem cell research approval.

- **Human Remains**: The procurement, use, transportation, and disposition of human remains or any other human materials in this category must be done safely and respectfully. Furthermore, certain remains may be subject to additional federal and California State regulations. If your RSCA activities involve human remains — whole body or body portions (human bones, bone fragments, or hair, teeth, or nails), contact the director of Research Compliance, Jessica Trask (jessica.trask@sjsu.edu) to confirm compliance with applicable regulations.

## Export Control

Export control laws are federal regulations that govern how information and technologies can be transferred internationally and prohibit certain activities without a license from the United States Government. If export control applies to the project, as the PI on the project, you must acknowledge and ensure compliance with export control regulations.

You must provide documentation describing the details of the export control issues for this proposal. You must also provide the following details to the Pre-Award specialist: a description of the proposed activities, countries and non-U.S. entities involved, as well as the type of information, equipment, property or materials to be shared.

- **Usage of Drones-Unmanned Aircraft**
  If drones are being used the following will apply.

- At the time of routing, you must acknowledge and ensure compliance with [federal regulations for unmanned aircrafts](#).
- At the time of award, you must submit the make, model, and category of drone(s) being used to the SJSU Research Compliance director. You must also obtain approval from the Office of Research by time of award, and provide the approval to the Pre-Award specialist.
- Additional insurance may be required for projects that include the use of drones. Please contact your Pre-Award specialist for more details and with any questions.

- **International or Foreign Participants (Individuals)**

  If the project involves foreign nationals, whether or not employed by SJSU or SJSURF, this should be checked "yes." An explanation of the foreign nationals' affiliations can be described in the additional information section on the first page of the routing form.

  **Note:** Foreign nationals granted U.S. citizenship or permanent residence (green card holders) or persons granted "protected individual" status (e.g. political refugees and political asylum holders are exempt from the deemed export rule. A foreign national is not a U.S. citizen, legal permanent resident (green card holder) or protected person. This includes any foreign nationals, non-resident persons hired as project employees (including the principal investigator, students, etc.), as well as foreign governments, international organizations, etc.

  If anyone on the project is a foreign national, contact SJSU ISS to complete the process. Furthermore, PI to disclose to the Pre-Award specialist because SJSU employed H1B Visa holders cannot be directly hired and paid by the Research Foundation. Instead, they will be paid through SJSU (as a special consultant).

  If non-SJSU foreign nationals need to be hired via the Research Foundation, the cost of sponsoring an H1B Visa holder is $2,500-$5,000. The cost should be built into the budget. Foreign nationals should be aware that work location restrictions apply to H1B Visa holders.

  Students and research scholars who are J1 Visa holders are subject to worksite restrictions. J1Visa holders can only work on-campus. Discuss the details with the Pre-Award specialist to determine budget needs.

- **Non-U.S. Collaborations, Subcontracts, Contractual Agreements**

  Export control regulations may apply if the project involves international collaborations, sponsors or subcontractors, or any other contractual agreements. If the proposal is being submitted to an international sponsor, please provide the name and country of origin to the Pre-Award specialist.

- **International Travel**

  International travel may require additional travel insurance and the sponsor (such as NSF) may require identification of the destination country on the application. Provide international travel details such as the destination country, and the name(s) of the traveler(s) to the Pre-Award specialist.

- **Engagement with Embargoed and Comprehensively Sanctioned Countries**

  Any provision of goods or services (including research collaborations) with individuals or entities located in Iran, North Korea, Syria, Cuba, The Crimean Region of Ukraine, Russia, or Venezuela is strictly regulated by the Office of Foreign Assets Control (OFAC).

- **International Shipping**

  Shipment or electronic transfer of equipment, materials, technology, software, data, or other.

**Conflict of Interest**

A list of all personnel named as investigators on the project will need to be provided to the Pre-Award specialist. Each individual must complete and sign a conflict of interest form. An investigator can be the project director, principal investigator, and any other person, who is responsible for the design, conduct, or reporting of research funded by NASA/NSF/PHS/Other, or proposed for such funding regardless of title or position. These can include, collaborators, consultants, and sometimes, students, if deemed as investigator, by the principal investigator.

# University Personnel: Participating Staff, Faculty, or Units

## Campus Center and Institute (CCI)

If an institutionally approved CCI is involved in a proposal, approval from the CCI director (via Cayuse or DocuSign) and AVP for Research (via Cayuse) are required. For a current list of CCIs, visit the Campus Centers and Institutes web page.

## Additional Employment for Participating Faculty

Indicate who will receive additional employment, the percentage of time, and the dates of the additional effort. Please note that the 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 Pre-Award specialist know. Refer to the Additional Employment for Faculty web page on the SJSU Research Foundation website for more details.

*Additional employment shall refer to any employment compensated by CSU, funded by the general fund or non-general funds including CSU auxiliaries, that is in addition to the primary or normal employment of a faculty unit employee. A faculty unit employee shall be limited in CSU employment to the equivalent of one (1) full-time position in their primary or normal employment.  An "overage" of up to twenty five percent (25%)  of a full-time position shall be*

*allowed if the overage employment: (a) consists of employment of a substantially different nature from his/her primary or normal employment; (b) is funded from non-general fund sources; ( c ) is the result of the accrual of part-time employment on more than one (1) campus; or (d) is necessary to meet a temporary faculty employee's entitlement to full-time work, or to offer work to a part-time temporary faculty employee up to full time under provision 12.29(a)(8) or (b)(9).  However, in no case shall a faculty unit employee's entitlement to subsequent employment at a campus exceed full-time in any academic term.*

Additional Employment for non-faculty: may require additional approvals before hire date and will need to be discussed with the Pre-Award specialist for budgetary preparations, as overtime may apply.

**Library Resources, Facilities, and Personnel**

If substantial library resources, facilities or personnel will be needed for the project, routing for acknowledgement of participation and approvals from the department chair, and the college dean (or equivalent level) are required.

**Other SJSU Faculty and Non-Faculty Personnel**

If other SJSU faculty and non-faculty personnel are mentioned in the proposal routing for acknowledgement of participation and approval is required. SJSU faculty participation requires approval from the department chair, and the college dean (or equivalent level). SJSU staff participation requires supervisor approval.

## Student Participation

- **For Credit:** The chart below provides sample cases. Identify the case number that fits your scenario and follow the approval process as described the chart below provides sample cases.
- **Non-Credit:** If the student will not receive credit for participation, explain the student's roles within the project narrative. If the student will be compensated for participation, include the details within the budget justification.

| Approval for Educational Impacts of Research Proposals | | |
|---|---|---|
| Proposed Educational Component | Approval during Proposal Process | Suggested language for proposal |
| CASE 1: Giving academic credit through an existing course for students engaged in research project | This is standard practice and requires no additional approval from Undergraduate Education or the College of Graduate Studies. | |

| Approval for Educational Impacts of Research Proposals — continued | | |
|---|---|---|
| CASE 2: Creating a new course or modifying an existing course to include findings from research | This requires approval from the department chair through signature on the proposal. | "Note that any new course or course modification must undergo the normal SJSU curricular review process, including approval by the appropriate department, college, and university committees." |
| CASE 3: Developing a new degree program, new minor or new certificate | This must come to Undergraduate Education and the College of Graduate Studies for review. | "Note that any new curricular program must undergo the normal SJSU curricular review process, including approval by the appropriate department, college, university, and CSU system entities." |
| CASE 4: Modifying an existing degree program, minor or certificate | This requires approval from the department chair through signature on the proposal. | "Note that any program modification must undergo the normal SJSU curricular review process, including approval by the appropriate department, college, and university committee." |
| Other: Please specify | This must come to Undergraduate Education and the College of Graduate Studies for review. | |

If the student will receive credit for participation, and does not fall under the Case 1 of the chart, complete as described in the chart.

If the student is assisting on the research project and earning academic credit for participating (as in Case 1), no further approval from Undergraduate or Graduate Studies is required. Provide the following details to OSP: course number, syllabus, number of students in the course, and the number of students participating in the activities.

If student participation is for credit and does not fall under the Case 1 of the matrix, follow the approval process as identified.

## Curriculum and Continuing Education

**Impact on Curriculum**

Discuss the potential impact on the curriculum with their department chair and college dean. If impact is indicated, the SJSU Research Foundation will route for approval to the following:

- AVP for the Office Undergraduate Education if project affects undergraduate students
- Graduate Studies if project affects graduate students.

**Continuing Education Programs**

If continuing education programs are involved, the proposal will be routed to the dean of the College of Professional and Global Education for approval. The existing online programs can be found on the [College of Professional and Global Education Programs web page](#).

## Facilities, Lab & Space Requirements

If space is needed for the project, please also indicate the type of space that 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). Also provide a description of the space needed to SJSU Facilities, Development and Operations (cynthia.soto@sjsu.edu) and Campus Risk Management (marla.perez@sjsu.edu), as well as to the chair and dean (as appropriate) for review and approval. Please copy the Pre-Award specialist on the email to the respective approvers or forward the approval to the Pre-Award specialist when completed.

## PART 4 ROUTING AND APPROVALS

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 the SJSU Research Foundation on behalf of the principal investigator. For National Institutes of Health (NIH) awards, the SJSU Research Foundation is required to notify NIH when a PI or Senior/Key Personnel are removed from their position or otherwise disciplined due to concerns about harassment, bullying, retaliation, or hostile working conditions.

> **Note:** The signature of the PI on the form, or approval in Cayuse, certifies the following:
> 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. In addition to the signatures provided below, the remaining approvals will be obtained in Cayuse.