

## **Pre-Award Grants and Contracts Procedure Manual**

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## **Introduction**

This section of the Sonoma State University Grants and Contracts Procedure Manual is intended to provide guidance for those intending to submit proposals for external funding on behalf of the University. Nothing in this manual should be construed as conflicting with federal statutes, state statutes, CSU policy, or SSU policies regarding grants and contracts.

The Pre Award section of this manual details the steps a grant writer must take to obtain approval to submit a proposal on behalf of the University. These procedures do not apply to scholarships, fellowships, or other external funding that is awarded directly to an individual and for which the University has no financial, performance, or administrative responsibilities. Covered topics include instructions on required timelines, approval signatures, and forms. In addition, a description of the role of the Office of Research and Sponsored Programs (ORSP) in the Pre-Award process, and the services provided by ORSP, is provided.

## **Office of Research and Sponsored Programs (ORSP): Roles and Responsibilities**

### ***Proposal Development Assistance***

- Providing advice and assistance in developing ideas, writing proposals and formulating budgets.
- Securing and publicizing information on grants available from federal, state and local agencies, and from private foundations and corporations.

### ***Managing the Proposal Approval and Submission Process***

- Reviewing and expediting the campus Proposal Endorsement Form to assure compliance with agency guidelines and University policies.
- Routing proposals for campus approval to submit.
- Reviewing submissions to the Committee on the Rights of Human Subjects.
- Mailing proposals.
- Maintaining proposal files.

### ***Contacting ORSP***

Visit the ORSP website at <http://www.sonoma.edu/aa/orsp/> for budgeting tools, forms, training schedules, funding opportunities and related information.

ORSP is located in 1050 Stevenson Hall. Our office hours are from 9:00 a.m. to 5:00 p.m., Monday through Friday. For general inquiries please call (707) 664-2448.

Joshua Schultz, Director

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Our mailing address is:  
Sonoma State University  
Office of Research and Sponsored Programs  
1801 East Cotati Avenue  
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## Instructions for the Principal Investigator (PI)

### ***Steps to Take Before Submitting a Proposal to ORSP for Campus Approval Routing***

#### **Review University Policies on Grants and Contracts**

Principal Investigators (PI) should review applicable SSU and CSU policies before preparing a funding proposal for submission to an external sponsor. Links to applicable policies can be found at

<http://www.sonoma.edu/aa/orsp/policycontent.shtml> and on the Faculty Affairs website at <http://www.sonoma.edu/facaffairs/>. The PI is responsible for the development of proposals in compliance with CSU, SSU and funding agency policies, procedures and requirements.

#### **The Pre-Routing Proposal Checklist**

**Complete Each of the Items in the Checklist.** Items (1.) through (12.) below comprise a checklist of steps a PI must take in order to prepare a proposal for campus routing and approval to submit. Completing these steps will provide the information required by campus reviewers to help ensure compliance with SSU policy. Failure to follow the steps outlined below may lead to delays in the review process, and ultimately could result in a failure to obtain approval to submit in time to meet the sponsor deadline. **ORSP is available to assist PIs with this process. Visit <http://www.sonoma.edu/aa/orsp/orspservices.shtml> for contact information.**

1. Notify School Administrative Manager, School Dean, and Department Chair of intent to apply for a grant, or bid for/negotiate a contract.
2. Notify Office of Research and Sponsored Programs, <http://www.sonoma.edu/aa/orsp/> of intent to apply for a grant, or bid for/negotiate a contract.
3. Obtain and complete School pre-approval forms as required.

4. If assistance with proposal or budget development is desired, contact ORSP at least **20 working days prior to the sponsor's due date.**
5. Develop proposal budget.
  - a. Optional: Download ORSP's Excel Budget template at <http://www.sonoma.edu/aa/orsp/formcontent.shtml>.
  - b. Contact Faculty Affairs for verification of faculty appointments and salaries.
  - c. Contact Human Services for verification of staff and student appointments, classifications, salaries, and wages.
  - d. Determine appropriate benefit rates.
  - e. Obtain price quotes as needed for facilities costs, contract services, equipment purchases, and travel.
  - f. Identify and secure approval and documentation for cost share.
  - g. Contact Information Technology to request assistance planning and budgeting of a proposal that includes technology. For a menu and price list of IT services visit <http://www.sonoma.edu/it/menu/>.
6. Download the Proposal Endorsement Form (PEF) at <http://www.sonoma.edu/aa/orsp/formcontent.shtml> and complete it at least **15 working days** prior to sponsor's due date. (*See Instructions for the Proposal Endorsement Form (PEF), below*)
7. Complete pertinent supporting documentation requested in the PEF
  - a. Justify and document sources of cost share.
    - i. Complete the [Cost Sharing Authorization Form](#) for internal (SSU) sources of cost share or match. Explain how cost sharing will be tracked.
    - ii. For external (third party partners) sources of cost share, obtain a written statement from the cost share provider, signed by an authorized agent of the provider, specifying:
      1. The type of resource(s) committed as cost share.
      2. The value of resource(s) committed as cost share.
      3. The term (time period) in which the resources will be provided.
  - b. Principal Investigators (PIs) and Co-PIs complete conflict of interest disclosure form(s):
    - i. For nongovernmental sponsors complete [California Form 700-U: Statement of Economic Interests for Principal Investigators](#)
    - ii. For proposals to NSF or NIH, complete the SSU *Statement of Economic Interests for Principal Investigators on Proposals to Governmental Sponsors*.
  - c. Additional documentation may be required. See *Instructions for the Proposal Endorsement Form (PEF)*, below.
8. Prepare complete **proposal file** for routing, including: the signed Proposal Endorsement Form, project abstract, budget (including budget detail and narrative), funder's forms and certifications that require institutional signature(s), and a copy of the funding announcement (e.g., RFP, RFA, etc.)

9. Present *proposal file* for review to School Dean and Department Chair at least **15 working days prior to the sponsor's due date.**
10. Secure signed approval on the PEF from the School Dean (and a signed recommendation from the Department Chair) at least **10 working days prior to the sponsor's due date.**
11. Deliver to the Office of Research and Sponsored Programs the *proposal file*, including the PEF with PI, Chair, and Dean signatures, at least **10 working days prior to the sponsor's due date.**
12. Send **electronic copies** of the project abstract, budget (including budget detail and narrative), funder's forms and certifications that require institutional signature(s), and a copy of the funding announcement (e.g., RFP, RFA, etc.) to ORSP by email attachment.

### **Instructions for Completing the Proposal Endorsement Form**

Items (1.) through (7.) below comprise detailed instructions on the completion of the Proposal Endorsement Form, as well as links and information regarding the completion of additional documentation required in certain circumstances. Each heading (1.) through (7.) corresponds to a major section of the form. **ORSP is available to assist PIs with this process. Visit <http://www.sonoma.edu/aa/orsp/orspservices.shtml> for contact information.**

1. **Principal Investigator(s):** Enter the name, employment status, school/unit, department and contact information for the PI and CO-PI(s).
  - a. Definition: The PI is the designated SSU employee responsible for managing the sponsored project, including fiscal oversight, reporting, and production of deliverables.
  - b. Eligibility: Tenured or tenure-track faculty, or Management Personnel Plan (MPP) employees are eligible to serve as PIs. FERP faculty are eligible to serve as PIs under special limitations. See SSU's [Grants and Contracts Policy](#).
  - c. Instructions
    - i. Employment status: Select a choice from the drop-down menu. PIs must fit one of the four designations available.
    - ii. Individuals who do not fit the definition of PI above may serve as CO-PIs with the approval of the Dean (or equivalent) of the lead school/unit on the proposal.
2. **Proposal and Sponsor**
  - a. Proposal title: Enter the title that will appear on the proposal document.
  - b. Brief description: Briefly list the project's key goals and activities.
  - c. Federal pass through: Check "yes" if the proposal requests a subaward or subcontract from a non-federal entity, out of a federally funded project (federal money "passes through" a non-federal intermediary). If "yes," enter the name of the federal agency providing source funding in the space provided. Check "no" for direct awards from federal agencies or departments, or for awards from state government funds, local government funds, or private sponsors.

- d. Proposal type (characterization): Make a selection from the drop-down menu. If you select “other,” enter a description in the box to the right of the menu.
- e. Sponsor name, etc.: Enter the name of the funding agency, program name, and contact information.

### 3. **Timing**

- a. Sponsor deadline date: Enter the sponsor’s stated deadline date for proposal submission. Use the drop-down menu to the right to indicate if the date entered is a postmark date, receipt date, or a target date (no formal deadline).
- b. Current budget period: Enter the anticipated beginning and ending dates of the first year of the project.
- c. Total project period: Enter the anticipated beginning and ending dates of the entire project. These dates should be the same as those entered in “current budget period” for projects with a total duration of one year or less.
- d. “This application is:” Use the drop-down menu to indicate whether the proposal is for a new project, renewal, or supplemental funding request.
- e. Existing fund #: If “renewal” or “supplemental” was selected in item (d.) above, enter the QA# (sponsored project accounting fund #) for the existing project.
- f. Year of project: #: If “renewal” or “supplemental” was selected in item (d.) above, enter grant year for which funding is requested.

### 4. **Budget**

- a. Indirect costs applied: Use the drop-down menu to select the indirect cost (facilities and administrative cost, or F&A) rate used to calculate the indirect costs requested from the sponsor. If “other” is selected:
  - i. Use the text-box and drop-down menu immediately to the right of the preset rate menu to indicate the percentage, or a flat dollar amount applied, and the base for calculation.
  - ii. Use the “explanation for non-standard IDC rate” field to describe why the alternate rate was applied. Attach additional documentation if appropriate. If the sponsor limits indirect recovery by way of written restrictions, attach a copy of the document specifying a limit (e.g. the sponsor’s RFP states in writing that indirect recovery is capped at a specific percentage).
  - iii. **Note:** Proposals budgeting indirect below SSU’s federally negotiated indirect rate may require additional review to determine if the project aims are sufficiently aligned with the university’s academic mission to justify lower indirect recovery.
  - iv. **Note:** The “Effective Rate” field will be calculated automatically based on numbers entered in the budget summary (see below).
- b. Budget summary:
  - i. Direct requested: In the first column, enter the dollar amount of direct funds requested from the sponsor for the each year of the project through year 5.

- ii. Indirect requested: In the second column, enter the dollar amount indirect (F&A) funds requested from the sponsor for the each year of the project through year 5.
- iii. Total requested: Automatically calculated.
- iv. In the fourth column, enter the total dollar amount (direct and indirect) offered as match or cost sharing by SSU for the each year of the project through year 5. (Proposed SSU cost share requires a completed [Cost Share Authorization Form](#).)
- v. In the fifth column, enter the total dollar amount (direct and indirect) offered as match or cost sharing by third party partners for the each year of the project through year 5. (Proposed third party cost share requires a written letter of commitment from each entity providing cost share.)
- vi. Justification and sources: If any match/cost share is indicated in the budget summary, use this space to explain the sponsors match requirements and the entities providing match resources. For any proposed match or cost share attach a completed [Cost Share Authorization Form](#) for internal (SSU) match. Attach written commitment for external (third party) match, signed by an authorized agent of the provider, specifying:
  1. The type of resource(s) committed as cost share.
  2. The value of resource(s) committed as cost share.
  3. The term (time period) in which the resources will be provided.
- vii. Total project costs: Automatically calculated.
- viii. Note: The budget section of the PEF is not intended to replace a full budget detail and budget narrative. These items must be attached separately for campus approval routing. A budget template designed for creating a budget detail for internal routing is available at: <http://www.sonoma.edu/aa/orsp/formcontent.shtml>

## 5. Personnel

- a. Definition: The personnel section pertains to any person to be appointed to a position paid with grant funds through the University payroll system. This does not include exclusively in-kind or match funded positions, or independent contractors. For each applicable position, complete one row of the personnel table. In some instances, it may be appropriate to use multiple rows for a single individual (e.g., a faculty appointment involving release (one row) and summer salary (a second row)).
- b. Completing the personnel table:
  - i. Name: Fill in the name of the individual to be employed, if known. If the name of the person filling the position is unknown, enter "TBD" (to be determined) and a descriptor such as "Education faculty, K-12 teacher, new staff," etc. For undergraduate or graduate student assistants, it is sufficient to enter the number and type of positions, as in "3 undergraduates."

- ii. School / Unit: Select the applicable School / Unit from the drop-down menu.
  - iii. Type / Rank: Select the applicable employment Type / Rank from the drop-down menu.
  - iv. Appointment / Description: Select the applicable Appointment / Description from the drop-down menu.
  - v. Additional Description / Comment: Use this column to provide additional detail on the position such as a staff job title (e.g., Research Technician, Administrative Support Coordinator, etc.), or to explain an “Other” selection in one of the preceding drop-down menus. **Note:** *If the appointment involves personnel on Difference in Pay (DIP) leave or sabbatical, please indicate such in this column. The President must approve additional employment for personnel on sabbatical/DIP.*
  - vi. Annual FTE% (Full Time Equivalent), WTUs (Weighted Teaching Units), Months, Days, or Hours: Enter the annual time base (paid time commitment per year) of the appointment by entering a number (quantity) and selecting the appropriate units from the drop-down menu:
    - 1. FTE%: For staff appointments or faculty overload appointments, enter the annual Full Time Equivalent (FTE) in percentage terms (e.g., 100% for a full-time appointment, or 25% for a maximum faculty overload appointment).
    - 2. WTUs: For faculty release, assigned time, or teaching appointments, enter the annual number of Weighted Teaching Units (WTUs).
    - 3. Months: For summer appointments, enter the annual number of months.
    - 4. Days: For special consultants, enter the annual number of days of appointment.
    - 5. Hours: For student appointments, enter the approximate annual number of hours of employment. If multiple student positions are indicated on a single line (e.g., “3 undergraduates”) indicate the total annual hours for all students combined. If the annual hours include bridge (summer) employment, enter “includes bridge” in the “Additional Description / Comment” column.
  - vii. Length of Appointment: Indicate the total time span of the appointment (over the life of the project) as a date range, or total number of months or years.
- c. For questions regarding faculty appointments and compensation, contact the [Director of Faculty Personnel](#).
  - d. For questions regarding staff appointments and pay rates, contact the SSU [Human Services Manager for Grants and Contracts](#)

- e. CSU classification standards are available at –  
<http://www.calstate.edu/HRAAdm/Classification/index.shtml>
- f. CSU salary schedules are available at -  
<http://www.calstate.edu/HRAAdm/SalarySchedule/Salary.aspx>
- g. For information on student employment, see the Student Assistant Administration web page - <http://www.sonoma.edu/hs/saa/>
- h. For student pay rates and skill classifications, see  
<http://www.sonoma.edu/hs/saa/payrates.shtml>

## 6. Project Requirements

- a. Human Subjects
  - i. Overview and definitions: Investigators intending to conduct research involving human subjects should carefully review Sonoma State University's Policy on the *Use of Human Subjects in Research*. PIs may not make a determination of exemption. It is the responsibility of the PI to refer to the Institutional Review Board (IRB) any project involving human subjects, even if the subjects are not considered to be "at risk."
  - ii. If the project includes research involving human subjects, check "yes," and indicate the status of IRB review as completed and "Approved," "Pending," or planned for a future date by checking the appropriate box. All research involving human subjects must have IRB approval prior to starting any interactions with human subjects for research purposes, including recruitment.
  - iii. Policy link -  
<http://www.sonoma.edu/uaffairs/policies/humansubjectspolicy.htm>
  - iv. Code of Federal Regulations Title 45, Part 46  
<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm>
  - v. Forms link - <http://www.sonoma.edu/aa/orsp/formcontent.shtml>
- b. Animal Care
  - i. Overview and definitions: Investigators intending to conduct research involving the procurement, housing, care and use of animals should carefully review Sonoma State University's Policy on *Animal Care and Use*. Research involving animals as defined by the policy must be reviewed and approved by the university's Institutional Animal Care and Use Committee (IACUC).
  - ii. If the project includes animal research, check "yes," and indicate the status of IACUC review as completed and "Approved," "Pending," or planned for a future date by checking the appropriate box. All research covered by the *Animal Care and Use* policy must be approved by the IACUC prior to the procurement, housing, care and use of animals.
  - iii. To obtain approval for use of animals, submit a description of the project to the [IACUC chair](#).
  - iv. Policy link -  
<http://www.sonoma.edu/uaffairs/policies/animalcare.htm>
- c. Environmental health and safety



- made, competitive bidding or a sole source justification may be required.
- ii. Non-equipment goods: If the project requires the purchase of non-equipment goods valued at or greater than \$50,000, check “yes.” If an award is made, competitive bidding or a sole source justification may be required.
  - iii. Contracting for services: If the project requires contracts for third-party services valued at or greater than \$50,000, check “yes.” If an award is made, competitive bidding or a sole source justification may be required.
  - iv. Named subcontractors or subawardees: If the proposal includes third-party entities as subcontractors (contractual services) or subawardees (generally for programmatic participation, as in the case of another university with a faculty Co-PI) identified by name, check “yes.” For subawards, a letter of commitment from the named institution is required, along with a detailed budget for the subaward. For named contractors, a sole source justification may be required, and a letter of commitment and budget may also be required in some circumstances.
  - v. See <http://www.sonoma.edu/finance/purchasing.shtml> for details on procurement policies and procedures.
- g. University Obligation
- i. Matching:
    - 1. If you are considering offering cost share, please read SSU’s [Cost Share Policy](#) to ensure compliance. SSU Cost Share Policy states that *Cost sharing commitments should only be made when required by the sponsor and then only to the extent necessary to meet the specific requirements of the sponsored project.*
    - 2. If SSU resources are offered as match, complete a [Cost Share Verification Form](#) and provide an explanation/justification of match.
    - 3. Attach written commitment for external (third party) match, signed by an authorized agent of the provider, specifying:
      - a. The type of resource(s) committed as cost share.
      - b. The value of resource(s) committed as cost share.
      - c. The term (time period) in which the resources will be provided.
  - ii. Other commitments
    - 1. When sponsor requires sustainability beyond the program funding, provide a written description of how and what funds will be used to sustain the program.
    - 2. If the sponsor requires declining dependency on grant funds, provide a written description on how the University will continue to provide the deliverables
- h. Conflict of Interest

- i. National Science Foundation (NSF) or an agency of the Public Health Service (PHS)
  1. See SSU's policy on [\*Conflict of Interest: Funds Awarded by the National Science Foundation and the Public Health Service\*](#) for disclosure requirements.
  2. If the proposal is being submitted to the National Science Foundation or an agency of the Public Health Service (NIH, HRSA, etc.), check "yes" for questions 8.A. Complete and sign the "Statement of Economic Interests for Principal Investigators on Proposals to Governmental Sponsors," available for download from ORSP's Forms Page, <http://www.sonoma.edu/aa/orsp/formcontent.shtml>.
- ii. Private (non-governmental) sponsors.
  1. See CSU's HR Memorandum HR 2005-38, <http://www.calstate.edu/HRAdm/pdf2005/HR2005-38.pdf> , for disclosure requirements.
  2. If the proposal is being submitted to a non-governmental sponsor (e.g. foundation, non-profit, corporate), check "yes" for questions 8.B. unless the sponsor is listed as excluded from the requirements in Appendix B of HR 2005-38. Complete and sign the Form 700-U "Statement of Economic Interests for Principal Investigators," available for download from ORSP's Forms Page, <http://www.sonoma.edu/aa/orsp/formcontent.shtml>.
- i. Other Approvals
  - i. New or expanded instructional program: Contact the Associate Vice Provost for Academic Programs for review and approval of proposals to make major revisions to instructional programs including new or expanded majors, minors, and areas of emphasis.
  - ii. State Clearinghouse Review A-95/E.O. 12372
    1. If you are applying for a federal grant, check the following URL to determine if your proposal requires a State Clearinghouse Review.  
<http://www.opr.ca.gov/clearinghouse/grant.shtml>
  - iii. Continuing education or summer sessions
    1. If your proposal includes continuing education or summer sessions, check this box on the Proposal Endorsement Form. Your proposal will then be routed to the Dean of Extended Education.
    2. To discuss your project requirements, contact the Dean of [Extended Education](#)
  - iv. Multiple Schools/Administrative Units
    1. If your proposal includes other schools or units, check this box on the Proposal Endorsement Form.
    2. Obtain signature on the Proposal Endorsement Form from all involved Deans/Administrators

- v. Library Materials
  1. If your proposal includes the purchase/maintenance of library materials, check this box on the Proposal Endorsement Form. Your proposal will then be routed to the [Library Dean](#).
- vi. International Travel
  1. If the proposed project includes international travel, check the “Yes” box on the Proposal Endorsement Form.
  2. Complete the Foreign Travel Risk Assessment Worksheet.
  3. Complete the Foreign Travel Liability Insurance Program (FTLIP) ORSP Proposal Stage Request for Quotation. In the “Purpose of Travel” field, please provide enough detail to allow reviewers to understand the nature of the activities to be undertaken in foreign locations.
  4. Complete and sign the Pre-Award Checklist for Proposals Involving Foreign Travel.
  5. ORSP will request approval for the inclusion of foreign travel from the President. Approval from the President must be obtained prior to proposal submission.
  6. Based on a risk assessment by the [Senior Director for Risk Management](#), PIs may be required to include the cost of a foreign travel liability insurance premium in the proposal budget. If required, the [Senior Director for Risk Management](#) will provide a premium quote within five business days of receiving items 2, 3 and 4 above.
- j. IT Requirements
  - i. For assistance with this section contact the [IT Project Manager](#).
  - ii. If new IT equipment or software is required for this project, check “yes” and answer the three questions under 10.A. and check the required certification (10.A.4.):
    1. Who will purchase, set up, configure, support and maintain the technology?
    2. Who will support the technology at the end of the grant period, and how will this be funded?
    3. How will the technology be disposed of, or refreshed, at the end of the grant period?
    4. Check the “Agree” box to acknowledge the requirement to register computers new computers with IT. See section III.A. of SSU’s [Computer and Network Usage](#) policy for an explanation of computer registration requirements.
  - iii. Describe the requirements in each of the IT Categories in (d.) below, during and after the project life.
    1. What existing IT equipment, resources and support will this project utilize?
    2. If only existing School/Unit resources will be used, please state this explicitly.

3. Enter “NA” for technologies that will not be used for this project.
- iv. IT Categories
  1. Hardware/Workstations
  2. Network and telephone
  3. Applications
  4. Servers
  5. Media Services
  6. Computer labs
  7. Databases
  8. Web services
  9. Other
- v. Personal Confidential Information
  1. If the project will require the storage, manipulation, or transmission of Personal Confidential Information (PCI) (e.g. Social Security numbers, driver’s license numbers, medical records) on any form of IT equipment, check “yes.”
  2. If you answered yes to question 10.C. (above), you must check the “Agree” box to indicate your agreement to abide by the to abide by provisions related to PCI in the University’s policy on [Computer and Network Usage](#).
7. **Signatures** (the following signatures are required for all proposals):
  - a. Signatures to be secured by the PI:
    - i. Principal Investigator:
      1. Assurance that the PI is maintaining familiarity with grant and contract related policies accessible online at <http://www.sonoma.edu/aa/orsp/>.
      2. Assurance that the proposal complies with CSU, SSU and funding agency policies, procedures and requirements.
      3. Assurance that proposal meets the guidelines detailed in SSU’s *Grants & Contracts Procedures Manual*.
      4. Assurance that the department’s Administrative Manager, Department Chair and Dean have reviewed the proposal.
      5. Assurance that the PI will notify ORSP and the Administration and Finance Division (AFD) of any notice of funding.
    - ii. Department Chair/Unit Manager: Assurance that dean has been provided with recommendations related to the proposal’s academic, financial, and facilities impact on the department.
    - iii. Dean/Appropriate Administrator:
      1. Assurance that school has identified resources, including space and utilities, required to meet project deliverables, and assumes all obligations for providing identified resources.

2. Approval on behalf of the school for faculty and staff time commitments detailed in the proposal
  3. Assurance that proposal, including narrative, budget and cost share commitment(s), where applicable, are consistent with school's goals, university's mission, and funder's requirements.
  4. Assurance that potential conflicts with other Schools and Departments have been identified and mitigated, or eliminated.
  5. Commitment of school resources for cost share requirements.
  6. Determine FERP eligibility to serve as PIs and commitment to monitor FERP to assure that she/he is serving within the defined parameters of the Grants & Contracts Policy (Definitions - VI.I – Principal Investigator) and bargaining agreement appointment limits, i.e., PI appointment must be contained in the FERP. It cannot be an additional appointment.
- b. Signatures to be secured by ORSP: (**Note:** Reviews by Procurement and most contingent approvals (e.g. EH&S, Risk Management, etc.) are obtained by ORSP via email. A copy of the appropriate emails will be placed in the proposal file.)
- i. Information Technology:
    1. Assurance that the Chief Financial Officer (CFO) has been provided with assessment of impact of proposal on campus technology infrastructure - database, servers, new applications, network, workstation(s) and associated hardware, and ongoing support.
    2. Assurance that SSU will be reimbursed fully for all informational technology costs including but not limited to installation, maintenance, support and refresh.
    3. Assurance that the project can be implemented in a manner that is consistent with the requirements of the [Computer and Network Usage](#) policy.
  - ii. Faculty Affairs: Assurance that proposed faculty appointments meet University guidelines related to appointments; workload, including overload and other issues that affect workload; and compensation and are consistent with existing collective bargaining agreements.
  - iii. Human Resources:
    1. Assurance that proposed staff appointments meet University guidelines related to classification, compensation, recruitment, and hiring and are consistent with existing collective bargaining agreements
    2. Assurance that proposed student employment meets University guidelines.

- iv. Chief Fiscal Officer or Designee: Approval of the overall fiscal aspects of the proposal, including human resources, logistical, facility maintenance, and technology.
- v. President or Designee:
  1. Approval of the overall campus academic aspects of the grant and contract proposal.
  2. Assurance that the proposal has been routed for administrative review prior to submission.
  3. Approval to submit the proposal to the sponsor on behalf of the University.

### ***Letters of Intent / Preliminary Proposals***

Prior to submission, all letters of intent must be sent to ORSP to determine if an institutional approval is required. ORSP reviews each letter using the following criteria:

1. Is Dean or Unit Head aware that a letter is being submitted?
2. Does the letter of intent involve SSU's Development Office; and, if so, is Development aware that a letter is being submitted?
3. Does the sponsor require institutional approval/sign off?
4. Does the sponsor require a detailed budget?
5. Is it likely that there will be pressure to apply if the response to the letter is favorable?

If the answer to questions 3, 4, 5, or 6 above is “yes”, then a full approval routing will be required.

### ***Proposal Renewals***

When sponsors require SSU to submit renewal paperwork (assurances, certifications, cover sheet(s), budgets, etc.) in order to receive continuation funding, the following procedures apply:

6. If the continuation funding is for a budget and budget year that was routed and approved as part of the original proposal:
  - a. Submit all paperwork requiring an authorized signature to ORSP, along with copies of all supporting documentation to be submitted to the sponsor.
  - b. ORSP will forward the documents directly to Administration and Finance for review and approval, along with a copy of the signed PEF and the original budget.
7. If ORSP determines that the continuation proposal is significantly different from the proposal as originally approved, then a full routing may be required (i.e. the request may be treated as a new proposal). Changes requiring a full routing may include:
  - a. Changes in indirect rate.
  - b. Changes in match commitments.
  - c. Changes in the total funding requested.
  - d. Changes in personnel.

- e. Changes in project objectives.
- f. Changes to the term of the project

## ***Steps to Take Before Submitting Proposal to the Sponsor***

### **Check Proposal for Compliance**

It is the PI's responsibility to ensure the proposal complies with:

- Sponsor guidelines, RFPs, etc.
- CSU and SSU policies

Check with ORSP for assistance with the interpretation of sponsor guidelines and applicable CSU and SSU policies.

### **Notify ORSP of Changes to the Proposal**

The PI must notify ORSP if any changes are made to the proposal after the *Proposal File* has been delivered to ORSP for campus approval routing. ORSP will obtain the necessary approvals for any material changes to the budget or the information on the Proposal Endorsement Form.

### **Obtain Approval to Submit**

Proposals may not be submitted to the sponsor without the approval of the appropriate campus officials, including the President or his designee, and the Chief Financial Officer or his designee. ORSP manages the campus approval process, and will notify the PI once approval has been obtained. PIs may contact ORSP during the approval routing process to check on the status of the request to submit.

## ***Submitting the Proposal***

Once the PI has been notified by ORSP of approval to submit a proposal the PI may:

- Provide ORSP with a complete copy of the final proposal and obtain final approval to submit. Submit the proposal to the sponsor, and notify ORSP of the submission, and, or;
- Request that ORSP submit the proposal to the sponsor:
  - **Duplication:** If ORSP assistance with duplication of proposal material is required, provide all documents to be copied at least 24hrs in advance of delivery deadlines shown below.
  - **Regular mail:** Deliver the complete proposal packet to ORSP, along with written mailing instructions, by no later than 11:00 a.m. on the postmark deadline.
  - **Federal Express:** Deliver the complete proposal packet to ORSP, along with written mailing instructions (**no P.O. Boxes**) and a recipient phone number, by no later than 11:00 a.m. on the business day prior to the sponsor's receipt deadline.
  - **Electronic submission:** If the proposal is to be submitted via an online proposal system (e.g. grants.gov, NSF Fastlane, etc.), notify ORSP of this requirement at least two working days prior to the desired submission date, and submit the completed electronic proposal to

ORSP at least 6 hrs prior to the submission deadline. ORSP will coordinate the submission with the appropriate SSU Authorizing Official. **Note:** SSU is currently registered with most major federal online submission systems including Grants.gov and the Central Contracts Registry (CCR), and agency specific systems for ED (and IES), CNCS, HRSA, NASA, and NIH. Do not attempt to register the University with any online submission system without coordination with ORSP.

**Note:** Be sure to carefully review the sponsor's deadline and delivery requirements. Some sponsors require that proposals submitted by delivery services be received on the postmark deadline for regular mail submissions.

### ***After Submission***

Notify ORSP of any communication from the sponsor, including:

- Requests for additional information or materials.
- Requests to revise or resubmit the proposal.
- Notification that the funding request has been denied.
- Notification of an award.

## **ORSP Proposal Handling Procedures**

This section documents ORSP's internal procedures for managing the proposal review, approval, and submission process. The information provided here is intended to inform SSU personnel of ORSP's current business practices, and to document those practices for ORSP staff. Nothing in this section should be construed as conflicting with SSU policies or with the requirements for submitting proposals described above.

### ***Reviewing the Proposal File***

Upon receipt of a *proposal file*, ORSP will conduct an administrative review to verify that the file is ready for campus approval routing. ORSP will make every effort to ensure that the *proposal file* is complete and accurate, but it is important to note that **PIs are ultimately responsible for the completeness and accuracy of all proposal documents and forms including the PEF, and for ensuring their compliance with relevant SSU policies and sponsor guidelines.** PIs are encouraged to contact ORSP as early as possible for assistance with completing the necessary documentation. The administrative review will include the following:

### **Proposal Endorsement Form (PEF) Review**

ORSP will review the PEF for completeness and in order to:

- Verify that all required sections and questions are answered.
- Verify that the PEF is consistent with the proposal budget and abstract/draft narrative/statement of work, and with the funding agency's call for proposals.
- Verify that the PEF has been signed by the PI, the department chair, and the school dean or equivalent unit administrator.

## **Budget Review**

ORSP will review the proposal budget for completeness and accuracy in order to:

- Verify that the budget provides sufficient line item detail to meet review requirements including:
  - Showing relevant calculations.
  - Detailing pay rates, level of effort commitments, and benefit rates for all personnel.
  - Providing reasonable estimates and justification for operational expenses.
  - Providing comparable line item detail for internally (SSU) and externally (third-party) funded cost share commitments.
  - Appropriately budgeting indirect.
- Verify that the budget is consistent with the PEF and the funding agency's call for proposals.
- Verify that the budget is in compliance with SSU policies and procedures.

## **Abstract/Draft Narrative/Statement of Work Review**

ORSP will review the proposal abstract/draft narrative/statement of work or other descriptive documentation to verify that sufficient detail is provided to allow reviewers to understand the basic objectives and activities proposed, and for consistency with the PEF and budget.

## **Other Required Documentation**

Based upon the information provided on the PEF, ORSP will verify that the proposal file contains all appropriate additional documentation including forms, explanatory statements, or approvals related to:

- Human subjects research
- Animal care and use
- Environmental health and safety
- Space
- Procurement
- Cost sharing
- Conflict of Interest
- Information Technology, Personal and Confidential Information (PCI)
- Foreign travel
- Export controls
- Intellectual property
- Academic Programs
- Extended Education
- Federal Executive Order 12372 (state clearinghouse review)

## **Administrative Review Outcomes**

If ORSP determines that the proposal file is incomplete, ORSP staff will notify the PI of the need to provide additional information or documentation. PIs are encouraged to respond to such requests for additional information **AS SOON AS POSSIBLE**. Any delay in providing necessary information may delay campus approval routing and timely approval to submit the proposal.

When the proposal file is determined to be complete, ORSP will request that the PI send electronic copies of all required documentation to ORSP by email attachment. Once the electronic copies are received, campus approval routing will begin (see below for details).

### ***Campus Approval Routing***

ORSP is responsible for obtaining required campus approvals and functional administrative reviews of grant or contract proposals.

### **Functional Administrative Reviews**

ORSP will obtain and document all necessary functional administrative reviews. Administrative reviews can be documented by signature on the PEF or by email from the designated reviewer for the function in question. Signatures may be documented in counterparts. ORSP will seek to obtain and document the following administrative reviews for all proposals:

- Faculty Affairs: Faculty salary, appointment, and workload issues.
- Human Services: Staff (including MPP) and student appointment and pay related issues.
- Information Technology: IT impact, costs, PCI.
- Capital Planning: Space and facilities issues.
- Procurement: Purchasing and contracting issues.

Based upon the information provided on the PEF, ORSP will seek to obtain and document the following administrative reviews for proposals as needed:

- Institutional Review Board: Human subjects research approval (if required by the funding agency prior to proposal submission).
- Institutional Animal Care and Use Committee: Animal care and use approval (if required by the funding agency prior to proposal submission).
- Environmental Health and Safety.
- Conflict of Interest: If the PI discloses an economic interest in conjunction with a proposal to the National Science Foundation (NSF), an agency of the Public Health Service (PHS), or private (non-governmental) funding agency, ORSP will obtain appropriate review:
  - PHS and NSF disclosures are reviewed by the designated university official.
  - Private sponsor disclosures reviewed by an Independent Review Committee, which makes recommendations to the President.
- Risk management: Proposals involving foreign travel and special circumstances as needed.
- Other reviews as needed according to the specific requirements of the proposal (e.g. export controlled technology, intellectual property, Academic Programs, Extended Education, Federal Executive Order 12372 (state clearinghouse review), etc.)

## Required Approvals

CSU Executive Order 890 stipulates: “Proposals for Sponsored Programs shall not be submitted to the Sponsor without prior written approval of the president of the University or the president’s University designee and of the chief financial officer of the University or the chief financial officer’s University designee.” In addition, SSU’s *Grants and Contracts Policy* requires that all grant and contract proposals receive prior written approval of the School Dean or equivalent administrator (obtained by the PI).

Required approvals are documented by appropriate signatures on the PEF:

- Obtained by the PI prior to submission to ORSP: Dean or equivalent.
- Obtained by ORSP:
  - CFO or designee (AVP for A&F)
  - President or designee (Provost)

Signatures may be documented in counterparts. As a practical matter, PIs should be aware that campus approvers (CFO or designee, President or designee) will not approve the submission of proposals without documentation that all necessary functional administrative reviews have been completed (see above).

## Requests for Additional Information

Administrative reviewers and/or required approvers may find it necessary to request additional information prior to signing off on the proposal. ORSP will provide the information if available, or obtain the information from the PI if necessary. Generally, all such communication should be facilitated through ORSP (or include ORSP as a cc on email exchanges) in order to ensure proper documentation and timely follow-up as needed. PIs are encouraged to respond to any requests for additional information **AS SOON AS POSSIBLE**. Any delay in providing necessary information may delay campus approval routing and timely approval to submit the proposal.

## Notify ORSP of Changes to the Proposal

The PI must notify ORSP if any changes are made to the proposal after the *Proposal File* has been delivered to ORSP for campus approval routing. ORSP will include the new information in the *proposal file*. ORSP will obtain email approval for any material changes to the budget or the information on the Proposal Endorsement Form from any reviewer/approvers who have already signed off on the proposal - if the new information is relevant to their reviews (e.g. requests for approval of changed IT requirements will not be sent to Human Services). Once necessary approvals have been obtained, ORSP will update the proposal documents (PEF, budget, etc.) as needed.

## Approval to Submit

Once ORSP secures all required approvals on the PEF, ORSP will notify the PI and email the PI a scanned copy of the signed PEF. Once the PI submits a copy of the complete and final proposal to ORSP for a final review, ORSP will confirm approval to submit the proposal.

### ***Records Retention***

ORSP shall retain custody of original copies of the PEF, submitted proposals and related documentation until such time as a funding decision is made. If the proposal is funded, the original copies shall be transferred to the Division of Administration and Finance and a copy is retained in ORSP for one year (except for 700-U economic interest disclosures – these will be transferred directly to Human Services, and ORSP will not retain copies). If the proposal is not funded, the original copy shall be returned to the Principal Investigator and a copy shall be retained by ORSP for one year.