Proposal Development and Submission Policy

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Authority to Submit

Proposals for externally-sponsored projects (e.g., grants or contracts) must be submitted by San Francisco State University's Office of Research and Sponsored Programs (ORSP) on behalf of the University and an eligible Principal Investigator (PI). Any proposal not submitted by ORSP will lack necessary institutional approvals and therefore cannot form the basis for an award.

Timeline for Proposal Submission

Online PI Checklist

The proposal development process is initiated when a faculty member completes the online PI Checklist. This form is found on the ORSP website at http://research.sfsu.edu/applyforgrant/pichecklist

PIs must initiate the proposal development process sufficiently in advance of the sponsor's deadline. In the proposal development process there are three internal deadlines:

1. **At least three (3) weeks prior to the sponsor deadline** the PI Checklist must be submitted

2. **Seven (7) business days prior to the sponsor deadline** the PI submits to their GA the final copy of the proposal budget and budget justification, and draft narrative for internal review and approval by the AVP, Finance and for courtesy distribution to the PI's College Dean, Department Chair, and ORSP Director.

3. **At least two (2) days before the sponsor deadline** ORSP will submit the proposal to the sponsor to ensure an error-free electronic submission

    Please note that ORSP cannot guarantee that late proposals will be reviewed, approved and/or submitted before the sponsor's deadline.

Meeting these internal submission deadlines enables ORSP and the PI to compile the documentation required for submission; to review the proposal for compliance with SFSU, CSU, and sponsor policies; to obtain required approvals; and, to submit the proposal prior to the deadline to avoid unforeseen last minute technical issues.

PI Eligibility

Tenured or Tenure-Track faculty members, emeritus professors, or employees in an MPP Position are eligible for PI status. A new hire in a tenure-track position is considered eligible as soon as she/he has indicated acceptance of the offer letter. Other individuals may attain PI eligibility by following the steps outlined at http://research.sfsu.edu/applyforgrant/eligibility. Failure to follow the policies and procedures for the conduct of a sponsored project or its administration can result in the loss of PI eligibility.

Proposal Development

During the time period between the submission of the PI Checklist and the proposal submission deadline, the PI and GA work collaboratively to finalize the proposal. The PI has sole responsibility for finalizing the technical component of the application and for acquiring the necessary University approvals for the proposal.

The PI is responsible for completing the following during the development of a proposal:

- ✓ PI Checklist (submitted three weeks prior to the submission deadline)
- ✓ Draft budget
- ✓ Final budget (submitted seven business days prior to the submission Deadline)
- ✓ Budget justification
- ✓ Curriculum Vitae for key personnel in the sponsor's format (e.g. NIH Bio-sketches)
- ✓ Description of resources to support the project
- ✓ Technical Sections: Abstract and Project Narrative
- ✓ Obtaining Dean and Department Chair Approval for cost sharing (if necessary)
- ✓ Obtaining Provost approval for additional space (if necessary)
- ✓ Obtaining Human / Animal Subject Protocol Approval (if necessary)
- ✓ Occasionally, other approvals may be necessary, special requirements may be listed on the RFP, or may simply be part of the PI's proposed scope. It is the PI's responsibility to ensure that any such requirement is met when submitting a proposal.

Approvals Required on all Proposals

Various components of a developing proposal require approval. At a minimum, all proposals require the following approvals before they may be submitted to the sponsor.

- Budget, Budget Justification, draft Narrative: AVP for Fiscal Affairs must approve; Department Chair (or Director) and Dean, as well as any additional staff identified within each College (or Institute), are copied on the email sent to the AVP, Fiscal Affairs, which contains these documents and are able to comment.
- Complete proposal: AOR approves

Additional Approvals

Note: The PI must ensure that any specific approval forms required for their proposal are used, and that all approvals are collected from the appropriate entity and submitted to ORSP in a timely manner.

If cost sharing or matching costs are involved
Any proposal that includes cost sharing requires additional approvals by each individual who commits to a cost shared resource. The most common sources of cost sharing are the Department Chair, Center/Institute Director, College Dean, and AVP for ORSP. Cost sharing must be reviewed and approved by the group or individual providing the committed resources. Requests for applications or proposals sometimes state that institutional support will be a review criteria without specifying a required amount. If institution support is committed as a cost share in the proposal budget, it is treated as required cost sharing and necessitates the approvals specified above.

If sponsor requires a 501(c)3 organization
If the sponsor requires the recipient of funds to be a 501(c)3 organization the award will be made to the University Corporation. ORSP will develop the proposal, but the proposal will be reviewed and approved by the University Corporation prior to submission. The University Corporation will check the proposal budget for accuracy and verify that the Corporation's fringe benefit and Indirect Cost rates have been used. Once the necessary approvals have been obtained, ORSP will submit the proposal directly to the funding agency.

If additional space is required
The PI Checklist asks if the PI has additional space requirements associated with this proposal. The PI must declare the need for space, such as laboratory, office, interview, and any other space that is not already available to the PI during the proposal development process. If either the Department Chair (or Director) or

the Dean can provide the additional space, then the provider must approve the space request. If neither the Chair nor the Dean can provide the additional space, the PI must submit a request to the AVP for Academic Resources; ultimately, the Provost must approve the request for space before the proposal is submitted. It is not necessary for the AVP for Academic Resources to identify the additional space at the time of submission; the approval commits Academic Resources to finding appropriate space if the proposal is funded.

Applicable Indirect Cost (F & A) rate
San Francisco State University has a multi-year Facilities and Administrative (indirect cost) rate agreement with the federal government which specifies the F&A rates to be applied to awards. The rates specified in the most current agreement are as follows:

On-campus research: 54.0% until 6/30/2015
On-campus instruction: 46.0% until 6/30/2015
Other on-campus sponsored activities: 27.6% until 6/30/2015
Off-campus research, instruction, or other sponsored activities: 26.0%

Exceptions to these rates occur when a funding agency places a cap on the F&A rate. In this case, ORSP must have written guidelines from the funding agency stating that there is a limit on F&A costs.
https://sites7.sfsu.edu/orsp/content/facilities-administrative-costs-rate-agreement

Use of Animal Subjects or Human Participants in research
Some sponsors require that the PI obtain approval for the protocol to use animal subjects or human participants at the time of proposal submission. Other sponsors require an approved protocol prior to the granting of an award or the award's start date. It is the PI's responsibility to submit the protocol to the Human and Animal Protections at San Francisco State University sufficiently in advance of the sponsor's deadline for protocol approval. The ORSP Grant Administrator may assist the PI in determining the sponsor's requirement.

Additional ORSP Roles and Responsibilities:

- Grant Administrator
  - ✓ Meets with the PI to develop a budget for the proposal
  - ✓ In collaboration with the PI, ensures that all necessary financial, administrative, and technical information is included in the proposal
  - ✓ Verifies the proposal meets formatting requirements outlined in the submission guidelines
  - ✓ Coordinates the proposal submission with the University Corporation, SFSU if a 501(c)3 status is required

- If requested of ORSP with sufficient advance notice, and if a need for such assistance is established, the AVP, Research may assign the ORSP Proposal Editor to assist the PI with any of the following aspects of their proposal:
  - ✓ Administrative and financial sections
  - ✓ Writing and editing the technical portions of the proposal
  - ✓ Collecting and formatting the institutional and demographic data required on Training Proposals.

- The AVP, Research may also decide to allocate additional resources to the PI for assistance with developing, writing, and/or editing their proposal

- The Authorized Organization Representative (AOR) submits all electronic proposals on behalf of the University