



**Research Administration and
Contract Administration**

6000 J Street, Sacramento, CA 95819-6111
Hornet Bookstore Bldg. 3400 P (916) 278-7565
www.csus.edu/research F (916) 278-6163

Proposal Approval Form Instructions and Definitions

The purpose of this form is to request approval of department chairs, deans, and administrative officials for the activity proposed by their faculty or staff as required by CSU Chancellor's Office and Sacramento State policies. In signing, department chairs, deans and administrative officials acknowledge receipt of information about the project and indicate approval to submit the proposal to the funding agency.

Note: A proposal approval form must be completed prior to the submission of a grant or contract proposal and be accompanied by a brief abstract of the project and a draft budget. This form must also be completed for amendments and supplements that add additional funds to existing awards.

Form Navigation

The form is locked to allow navigation from field to field by using the mouse or the tab key. The tab key will move your cursor horizontally from field to field. Use your left mouse button to check or uncheck form boxes.

Form Fields

1. Project Information

Principal Investigator (PI): Indicate the PI(s) and their corresponding department(s) and college(s). The PI(s) accepts responsibility to carry out commitments as outlined in the proposal or contract within the time limits and budgetary resources provided, and to comply with Sacramento State and University Enterprises, Inc. policies and procedures regarding the administration of funds. If cost sharing is required, the PI attests that approval for such resources has been secured.

Project title: Provide the title of the grant proposal or contract.

Funding agency: Indicate the agency/organization or that the grant proposal or contract will be submitted to. In the case of a subcontract or subaward, indicate the university, agency or organization that Sacramento State would receive the funds from if awarded.

Federal pass through: In cases where Sacramento State is a subcontractor on a federal award, please indicate the federal agency where the funds originated.

Due date: Indicate the submission deadline. If there is not an official deadline, specify that this is not applicable (n/a).

Funding type: Indicate the type of grant proposal or contract that will be submitted. Please select only one.

- **New:** An original proposal submission and/or award of funds for a project.
- **Renewal:** An award of funds for an extension of a project beyond the originally approved project period.
- **Amendment:** Change to an existing grant award or contract.
- **Supplement:** An award of additional funds during the current budget period of the project.
- **Revision:** A formal proposal submission that reflects a change in the scope of work and/or the budget of a proposal that was previously submitted to the agency but was not funded.

Type of award: Indicate the type of award that is anticipated. Please select only one.

- **Grant:** An award of financial assistance for the conduct of research or other programs. A grant is used whenever the awarding sponsor anticipates no substantial programmatic involvement with the recipient during the performance of the activities.
- **Contract:** A mechanism for procuring a product or service with specific obligations for both the sponsor and recipient.
- **Cooperative agreement:** An award similar to a grant, however, the sponsor's staff may have actively participated in the programmatic design and, once awarded, may also actively participate or have substantial involvement in project activities.

- **Subagreement:** A subcontract or subaward that transfers a portion of the research or project activity of the prime award to Sacramento State. A subagreement is written under the authority of, and consistent with the terms and conditions of the prime award.
- **Other:** Other types of agreements such as MOUs, letters of agreement, purchase orders, etc.

Type of project: Indicate what the majority of the work on the project will be.

- **Basic Research:** Research undertaken primarily to acquire new knowledge without any particular application or use in mind.
- **Applied Research:** Research conducted to gain the knowledge or understanding to meet a specific recognized need. Includes surveys.
- **Developmental Research:** The systematic use of the knowledge or understanding gained from research directed toward the production of useful materials, devices, systems, or methods including the design and development of prototypes and processes.
- **Training** includes instructional and professional development activities for individuals not employed by the institution.
- **Curriculum development:** Developing a course or group of courses in a particular field of study.
- **Equipment** includes donations of equipment or funds for equipment for research or classroom use.
- **Student support** includes scholars, stipends and fellowships for Sacramento State students.
- **Other**

Contract or current award number: For contracts, subcontracts, amendments and supplements, provide the current grant award or contract number if known.

Sponsored Research Officer (RACA Contact): Indicate the Sponsored Research Officer (SRO) within the Office of Research Administration that is working with the PI on the grant proposal or contract. For a listing of SROs, visit <http://www.csus.edu/research/contact.htm>.

2. Proposed Budget

Anticipated project start and end date: Identify the dates for the entire project period.

Funds requested from the sponsor: Detail the funds requested for both Year 1 and for the entire project period. Specify the direct costs, Facilities and Administrative (F&A) or indirect costs, and total costs. If the PAF is for an amendment, specify the funds that have been added to the current year and the total amount added over the life of the project.

F&A cost rate: Specify the Facilities and Administrative (F&A) or indirect cost rate. If a rate less than the University's current federally negotiated rate of 38% MTDC* has been used, please explain. For more information about the campus F&A rate, contact your Sponsored Research Officer (SRO) at 278-7565.

*MTDC (Modified Total Direct Costs) consist of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each (regardless of the period covered by the subgrant or subcontract). Modified total direct costs excludes equipment, capital expenditures, charges for patient care, tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.

Reimbursed time: Indicate if a faculty member(s) will be released from a portion of their teaching units and charging the grant award or contract. With reimbursed time the University will bill UEI for the release time and the cost will be charged to the account.

Additional Employment: Specify if a faculty member(s) will be paid for employment in addition to their full-time duties with the University. Additional employment can include work during the academic year, summer, or winter session. During the academic year, a faculty member's effort on overload cannot exceed 25% of their full-time university assignment.

New personnel: Indicate if any new personnel will be hired and/or if there are new positions that will need to be filled if the proposal is funded.

Additional space: Specify if additional space will be needed to carry out the project. If yes, briefly detail the type of space and how much will be needed.

Subcontracts: Specify if the project will include a subcontract/subaward to an outside party to perform a portion of the work. Please note that subcontracts in an amount exceeding \$5,000 but under \$50,000 require a signed statement describing the qualifications of the person/company hired or the objective competitive process followed

in selecting the person/company. For agreements of \$50,000 or more, formal competitive request for proposal (RFP) bid process or sole source justification approved by the Executive Director, or designee, is required. If the grant or contract thresholds are stricter, then they supersede these guidelines. After an award is made, your Research Administration and Contract Administration team will assist with the development of the subcontract/subaward.

Consultants: Specify if the project will include a consultant(s) who will perform a portion of the work. Any pre-existing financial, familial or historical relationships between identified consultants and the PI must be disclosed to avoid the appearance of any conflict of interest.

3. Cost Share or Matching Funds:

It is University and UEI policy that cost sharing not be included in proposals unless specifically required by the funding agency. Cost sharing is defined as any portion of the total project costs not funded by the sponsoring agency. Cost sharing can be cash, in-kind (i.e., contributions without compensation, such as personnel effort, fringe benefits, supplies, services, etc.) or a combination of both. Matching funds is a specific type of cost sharing where the sponsor awards funds in direct proportion to the funds which the grantee contributes to the project. Requirements for matching funds are usually identified in the program guidelines as a specific percent or fraction of the total project budget. UEI is required to track these costs and report them back to the sponsoring agency as a way of verifying that the commitment to fund a portion of the total project costs has been fulfilled.

Specify if cost share is included in the proposal. If YES, specify if the cost share or match is mandatory (required by the program) or voluntary. Specify if the cost share will be cash, in-kind and/or from a third party. Also, state the cost share requirement (if applicable), name the department, college or outside entity that will be contributing the cost share/match, and a description of what will be contributed. Attach an additional sheet with details as needed.

4. Institutional and Regulatory Compliance Information

Use of human subjects: If the project will involve human subjects, a protocol must be submitted to the Sacramento State Institutional Review Board (IRB, or the Committee for the Protection of Human Subjects CPHS). Please specify if a protocol will be submitted or is pending, or if it has already been approved. If applicable, please note that the IRB must review and approve the protocol before research can commence. Forms and information can be found at <http://www.csus.edu/research/humansubjects/index.htm>.

Use of animal subjects: If the project will involve either living or dead vertebrate animals, approval must be obtained from the Sacramento State Animal Care and Use Committee prior to the initiation of any research. Please specify if a protocol will be submitted or is pending, or if a protocol has been approved. Forms and information can be obtained by contacting the Research Administration office at extension 278-7565.

International project: Specify if the project will involve any international collaborators, travel or participants. If yes, please indicate the country(ies) that will be involved and if there will be foreign travel by project personnel or students.

If foreign travel will be involved, additional items must be addressed regarding travel to countries on the US Department of State's high-hazardous or excluded list, insurance requirements, and equipment, materials or software that will be taken out of the country.

Please also note that due to recent changes in CSU travel policy, funding proposals to any agency or organization that include international travel components for faculty, staff or students require additional compliance and approval steps. For more information, visit http://www.csus.edu/research/forms/i_travel.htm.

Foreign nationals: Specify if a foreign national(s) will receive funds or compensation from the project. A foreign national is any person other than a US citizen, US permanent or temporary legal resident alien. If yes, please consult with your Sponsored Research Officer because non-resident alien taxes may be applicable and additional federal restrictions may apply.

Out of State Work – Indicate if a portion of the work will be conducted in state other than California. Additional payroll taxes and requirements may need to be taken into account if a portion of the work will be conducted out of state. The Sponsored Research Officer (SRO) will work with UEI Business Services to determine what may be applicable.

Intellectual property: Specify if there may be intellectual property developed during this project and indicate what types of IP may be developed. For more information, please contact David Earwicker at 278-3668 or david.earwicker@csus.edu.

Biohazards, hazardous chemicals or waste, and/or radioactive materials: Indicate if the project will involve biohazards, hazardous chemicals or waste, and/or radioactive materials. If yes, the PI must contact the Environmental Health and Safety office at 278-6456. The PI is also responsible for maintaining appropriate operational procedures, controls, and personnel training as outlined in the campus Chemical Hygiene Plan (<http://www.ehs.csus.edu/ehs/hygiene.html>).

Underage children and/or disabled adults. Specify if the project will involve underage children or disabled adults. As required by the Michelle Montoya School Safety Act, fingerprints and background checks must be obtained prior to individuals working with underage children or disabled adults. If yes, please work with your Sponsored Research Officer (SRO) to ensure that funds are included in the budget to cover these costs.

5. Disclosure of Financial Interests

Key personnel on proposals submitted to private foundations, corporations, the National Institutes of Health (NIH) and the National Science Foundation (NSF) must complete, sign and return a Financial Interest Disclosure Statement to the Research Administration office. Sacramento State is required by state law to have a copy of the completed 700U form on file for all proposals to nongovernmental entities and is required by the federal government to have a copy of the completed and signed form on file for proposals to NIH and NSF.

If this proposal is being submitted to NIH, NSF or a nongovernmental entity, please complete and return a 700-U form for all key personnel on the project. This form is available on the web at http://www.csus.edu/research/forms/pd_700Ueconomic.pdf.

6. Required Approvals

The following approvals are required **PRIOR** to proposal or contract submission. After obtaining the signatures of the department chair and dean/chief administrator, the form must be forwarded to the Office of Research Administration (Hornet Bookstore Bldg. 3400, campus zip 6111) for further review and action.

1. The **Principal Investigator(s)** accepts responsibility to carry out commitments as outlined in the proposal or contract within the time limits and budgetary resources provided, and to comply with Sacramento State and University Enterprises, Inc. policies and procedures regarding the administration of funds. If cost sharing is required, the PI attests that approval for such resources has been secured.
2. The **Department Chair/Unit Director** certifies that the proposed project is consistent with department goals, is not in conflict with assigned duties, and commits departmental resources where outlined in the proposal or contract.
3. The **Dean/Chief Administrator** certifies that the proposal is consistent with the college or unit goals and commits college resources where outlined in the proposal or contract.
4. The **Assistant Vice President for Research Administration and Contract Administration** certifies that the proposal is consistent with the overall University mission and approves forwarding of the proposal or contract to the funding agency.
5. The **Director of Contract and Research Administration** reviews and approves the fiscal aspects of the proposed project on behalf of University Enterprises, Inc., and approves forwarding of the proposal or contract to the funding agency.
6. The **Vice President, Administration and Business Affairs/CFO**, as required by CSU Executive Order #890, reviews and approves the fiscal aspects of the proposal project.