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 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) and Co-Principal Investigators (Co-PIs): Indicate the primary and co-investigators and their corresponding academic department(s) or units. The PI 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 a descriptive title of the grant proposal or contract.

   Funding agency: Indicate the agency/organization that the grant proposal or contract documents 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 and under Type of Award, indicate the prime sponsor.

   Due date: Indicate the submission deadline date. In the event that there isn’t an official submission deadline as is often the case with contracts, specify N/A – that it is not applicable.

   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. If this box is checked, please indicate the name of the prime sponsor.

• **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:** Defined as research undertaken primarily to acquire new knowledge without any particular application or use in mind.

• **Applied Research:** Defined as research conducted to gain the knowledge or understanding to meet a specific recognized need. Includes surveys.

• **Developmental Research:** Defined as 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** includes the development of 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**

**Office of Research Affairs Contact:** Indicate the primary point of contact within the Office of Research Affairs that is assisting the preparation and development of the grant proposal or contract.

**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 the entire project period. Specify the direct costs, facilities and administrative (F&A)/indirect costs, and total costs. For amendments, 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)/indirect cost rate. If a rate less than the University’s current federally negotiated rate has been used, please explain. For more information about the campus F&A rate, visit [http://www.csus.edu/research/links/faratesagreement.pdf](http://www.csus.edu/research/links/faratesagreement.pdf).

**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 associated benefits and the cost will be charged to the account.

**Additional employment:** Specify if faculty or staff are budgeted to perform work that is in addition to their primary University appointment. Additional employment may include work during the academic year, summer, and/or winter session. During the academic year, a faculty member may engage in and be compensated for additional employment to a maximum amount of 25% of their university full-time time-base. MPPs may engage in and be compensated for additional employment to a maximum amount of 25% above a 1.00 full-time time-base. When applicable, the Sponsored Research Officer/Proposal Development Specialist will provide a report from the University Faculty Effort Reporting System detailing current additional employment commitments during the proposed project period for circulation with the Proposal Approval Form. For more on additional employment, visit: [http://www.csus.edu/umanual/hr/HRS-0101.html](http://www.csus.edu/umanual/hr/HRS-0101.html).

**New staff or student positions:** Indicate if any new project staff or student positions will need to be filled through University Enterprises, Inc. (UEI) in the event the proposal is funded.

**Professional services/procurement agreements:**

• **Subawards/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 Sponsored Program 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 a conflict of interest.


**Additional space:** Specify if additional space will be needed to carry out the project. If yes, briefly detail the type of space, desired location, and estimated square footage.

### 3. Cost Share or Matching Funds

In accordance with University and UEI policy, cost sharing may 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.

If cost share is included in the proposal, 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. For more, visit: [http://www.csus.edu/research/links/policiesprocedures/costsharingpolicy.pdf](http://www.csus.edu/research/links/policiesprocedures/costsharingpolicy.pdf).

### 4. Institutional and Regulatory Compliance Information

**Use of human subjects:** If the project includes a research related activity involving human subjects, a protocol must be submitted to the Sacramento State Institutional Review Board (IRB). Please specify if a protocol will be submitted, is pending, or if it has already been approved. Please note that the IRB must review and approve the protocol before research can commence. For more, visit: [http://www.csus.edu/research/researchIntegritycompliance/humansubjects/humansubjects.html](http://www.csus.edu/research/researchIntegritycompliance/humansubjects/humansubjects.html).

**Use of animal subjects:** If the project will involve a research related activity utilizing either living or dead vertebrate animals, approval must be obtained from the Sacramento State Animal Care and Use Committee (IACUC) prior to the initiation of the research. Please specify if a protocol will be submitted or is pending, or if a protocol has been approved. For more, visit: [http://www.csus.edu/research/researchIntegritycompliance/iacuc.html](http://www.csus.edu/research/researchIntegritycompliance/iacuc.html).

**International projects:** Specify if the project will involve international collaborators, travel or participants. If yes, please indicate the country(ies) that will be involved. If foreign travel will be involved, complete the supplementary questions 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 or may 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, visit: [http://www.csus.edu/umanual/acad/ACA-0146.html](http://www.csus.edu/umanual/acad/ACA-0146.html).

**Foreign nationals:** Specify if a foreign national(s) will receive funds or other 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 the Office of Research Affairs as nonresident alien taxes may be applicable and additional federal restrictions including visa restrictions may apply.
Out of State Work: Indicates if project personnel will be paid for work conducted in state other than California. If yes, additional payroll taxes and requirements may need to be taken into account for work conducted out of state. Your proposal development contact 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 278-3688 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, and is responsible for maintaining appropriate operational procedures, controls, and personnel training as outlined in the campus Chemical Hygiene Plan (http://www.csus.edu/umanual/admin/UMC02075.htm).

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/Proposal Development Specialist 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 700-U to the Office of Research Affairs. Sacramento State is required by state law to have a copy of the completed 700-U 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 for proposals to NIH and NSF.

When applicable, please complete and return a 700-U form for all key personnel on the project. The form and exempt sponsor list are available at http://www.csus.edu/research/forms%20.html.

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 PI is responsible for forwarding the form to the Office of Research Affairs (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 and 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 Affairs 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 Sponsored Programs 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 for Administration and Business Affairs/CFO, as required by CSU Executive Order #890, reviews and approves the fiscal aspects of the proposed project.