

## Proposal Endorsement Form (PEF) ORSP#: \_\_\_\_\_

Submission Deadline to Funder \_\_\_\_\_ (Routing due to ORSP no later than 7 business days prior to submission deadline)

### PART 1 – INVESTIGATOR INFORMATION

The Principal Investigator (PI), Co-Principal Investigator (Co-PI), and other faculty and staff named on this grant, agreement, contract or other instrument certifies by signing this PEF that 1) They agree to be bound by the terms and conditions of the external grant or contract which supports this proposed activity; 2) They agree to abide by the research policies of the CSU ([ICSUAM Section 11000](#)), 2 CFR 200 Uniform Guidance, and the [University](#), including scientific misconduct, human subjects, conflict of interest, etc. 3) Their time commitments for this and other externally funded projects do not exceed 125% of time during the academic year per CSU policy, HR 2002-05 (dated 2/19/02); 4) They certify that they are aware of the federal regulations regarding Lobbying and Drug-Free Workplace and will comply as necessary; 5) They certify that they have not been disbarred, suspended, proposed for debarment, excluded or otherwise disqualified from participating in Federal contracts, 6) They have provided prior notification to their Chair and Dean about their intent to prepare this proposal.

#### A. Principal Investigator / Project Director Name

PI's Employment Status

Department

School / Division

Phone Number

Email

Time Type\*

Additional/overload

N/A

Staff

Summer Salary

Release/buyout

*\*See budget for details*

Conflict of Interest: Does the PI have a financial interest that could affect or be affected by the project?

No

Yes

#### B. Co-PI name

Co-PI's Employment Status \_\_\_\_\_

Department \_\_\_\_\_

School / Division \_\_\_\_\_

Phone Number

Email \_\_\_\_\_

Time Type\*

Additional/overload

N/A

Staff

Summer Salary

Release/buyout

*\*See budget for details*

Conflict of Interest: Does the PI have a financial interest that could affect or be affected by the project?

No

Yes

If there are additional Co-PIs, please complete attachment: [APPENDIX A: ADDITIONAL CO-PIs](#)

## PART 2 - PROJECT INFORMATION

Total Proposal Funds Requested \_\_\_\_\_

Total Required Cost Share/Match (if applicable, complete [APPENDIX B](#)) \_\_\_\_\_

Grand Total (Requested + Cost Share) \_\_\_\_\_

Project Title \_\_\_\_\_

Project Period (Dates within all expenditures must be made) Start: \_\_\_\_\_ End: \_\_\_\_\_

Nature of Proposal is:      Basic Research      Applied Research      Non-Research

Brief Project Description:

## PART 3 - FUNDER INFORMATION

### A. Funding Agency or Organization

Program Solicitation Title or Number (if applicable) \_\_\_\_\_

Contact Name and Title \_\_\_\_\_

Contact Phone or Email \_\_\_\_\_

Sponsor Type:	Federal	Federal Pass	State/Local	NonGovt.	Other Pass
Award Type:	Grants	Cooperative Agreement _____	Contract-Fixed Fee		
	Contract-Cost Reimbursable	Subaward (Prime sponsor _____)			

B. SSU's federally negotiated IDC rate is 47.9%. Does your budget include an IDC rate that is lower than 47.9%?

No      Yes      If Yes, please complete attachment: [APPENDIX C: IDC WAIVER FORM](#)

C. Is this a Limited Competition Opportunity\*?      No      Yes

\*A Limited Competition is a funding opportunity that allows only a limited number of submissions per applicant institution and/or PI.

D. Does the project include anticipated Intellectual Property, Publishable Work, Copyrights, or Patents?

No      Yes      If Yes, please explain:

E. Does the project include hiring student employees?      No      Yes

If Yes, list # of Undergraduates \_\_\_\_\_ Graduates \_\_\_\_\_

F. Does the project include the participation of minors?

No      Yes      If Yes, please explain:

G. Does the project include issuing vendor agreement(s) for goods or services?

No      Yes

If Yes, will the project purchase \$10,000 (or greater) from a single vendor?

No      Yes

H. Does the project include issuing subawards/subcontracts?      No      Yes

If Yes, please complete [APPENDIX D: SUBAWARD DETERMINATION](#). Please also attach detailed budget, scope of work, and letter of commitment.

I. Does the project include handling of export-controlled materials and/or information?      No      Yes

J. Does the project require additional insurance coverage (i.e., Certificate of Insurance)?

No      Yes      If Yes, please explain:

#### **PART 4 - INSTITUTIONAL APPROVALS:**

A. Does the project require staff or students to complete [Responsible Conduct in Research \(RCR\)](#) training?

No      Yes

B. Does the project involve research on Human Subjects including research development, testing, and evaluation?

No      Yes

If Yes, what is the status of IRB review (check one below)?

Approved (attach approval document)      Pending      Application planned by \_\_\_\_\_

C. Does the project include research or other use of vertebrate animals?

No      Yes

If Yes, what is the status of the IACUC review (check one below)?

Approved (attach approval document)      Pending      Application planned by \_\_\_\_\_

D. Does the project include items that could be a biosafety hazard?

No      Yes      If Yes, please explain:

E. Does the project include hazardous chemicals?

No      Yes      If Yes, please note that you will need to complete a Project Hazard Analysis (PHA) and receive approval from [Environmental Health and Safety](#), if awarded.

F. Does the project include activities that require prior institutional review (e.g. Environmental, Health and Safety, Information Technology, Risk Management, Course Redesign, etc?) OR do you require Facilities/Space not already assigned to you?

Note: if any software, hardware or websites are part of the proposal the PI must work with SSU IT department to make sure any technology is in compliance with Accessible Technology Initiative (ATI).

No      Yes      If Yes, please explain:

G. Does the project include international travel?      No      Yes

If Yes, what country(ies): \_\_\_\_\_

Note: If awarded, travel will be required to have the President's signature.

H. Does the project include domestic travel to states banned per [California AB 1887](#)?      No      Yes

If Yes, what state(s): \_\_\_\_\_

Note: If awarded, travel will be required to have the Chief Financial Officer's signature.

**PART 5 – ATTACH PROPOSAL, INCLUDING SCOPE OF WORK AND TIMELINE**

**PART 6 – ATTACH [BUDGET TEMPLATE](#)**

## APPENDIX A: Additional Co-PIs

C. Co-PI name \_\_\_\_\_

Co-PI's Employment Status \_\_\_\_\_

Department \_\_\_\_\_

School / Division \_\_\_\_\_

Phone Number \_\_\_\_\_ Email \_\_\_\_\_

Time Type\*      Additional/overload      N/A      Staff

Summer Salary      Release/buyout

*\*See budget for details*

Conflict of Interest: Does the Co-PI have a financial interest that could affect or be affected by the project?

No      Yes

D. Co-PI name \_\_\_\_\_

Co-PI's Employment Status \_\_\_\_\_

Department \_\_\_\_\_

School / Division \_\_\_\_\_

Phone Number \_\_\_\_\_ Email \_\_\_\_\_

Time Type\*      Additional/overload      N/A      Staff

Summer Salary      Release/buyout

*\*See budget for details*

Conflict of Interest: Does the Co-PI have a financial interest that could affect or be affected by the project?

No      Yes

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## **APPENDIX B: COST SHARE AUTHORIZATION FORM**

*NOTE: SSU only commits mandatory cost share/match. See [Cost Sharing policy](#) for details.*

**Principal Investigator:**

**Project Title:**

**Sponsor:**

**Cost Share Start Date:**

**Cost Share End Date:**

Item Description	Value	Valuation basis (rate*time, rate*quantity, etc.)	Is resource used to match other grants?	Identify Source of Funds

**Total:**

**Name & title of official authorizing use of resource(s):**

**Signature:**

**Name & title of official authorizing use of resource(s):**

**Signature:**

**Name & title of official authorizing use of resource(s):**

**Signature:**

## **APPENDIX C: IDC WAIVER FORM**

### **SONOMA STATE UNIVERSITY OFFICE OF RESEARCH AND SPONSORED PROGRAMS (ORSP) REQUEST FOR WAIVER OF INDIRECT COST REQUIREMENT**

The current negotiated federal indirect cost rate for Sonoma State University as of 07/01/22 is 47.9% of modified total direct costs. Different funding agencies may have indirect cost rates other than the federally negotiated rates. It is SSU's policy that the maximum indirect rate (as defined in writing by the funding agency) should be used on all proposals submitted to the Office of Research and Sponsored Programs. If the funding agency has a published policy that limits the indirect cost to a percentage below SSU's federal maximum, please indicate so below and provide written documentation (usually a copy of the funding source's written policies).

Requested Indirect Cost Rate:

Reason for exemption from the 47.9% federally negotiated Indirect Cost Rate:

Project falls under California AB20 (standard IDC rate of 30% MTDC) effective 7/1/19

Project falls under California CESU (standard IDC rate of 17.5% MTDC, or 10% for NRCS)

Project falls under off-campus rate 26%

Requested rate is the maximum allowed by the funder for this program (see attached documentation)

Other justification (attach any communication or documentation referenced herein):

Approved by:

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ORSP Associate Vice President

## **APPENDIX D: SUBAWARD DETERMINATION**

### **Sonoma State University Contract and Procurement Subaward vs. Contract Determination Checklist**

INSTRUCTIONS: To help make the determination, please first review the Subaward vs. Contract Guidance. Provide the general information and complete Sections 1 and 2 which describe the characteristics that may be present in Subaward and Contract relationships. The section with the greatest number of marked characteristics indicates the likely type of relationship. Maintain a copy of this form in the procurement file.

Requisition Number: \_\_\_\_\_ Entity Name: \_\_\_\_\_ Est. Cost: \_\_\_\_\_

SSU Principal Investigator (PI): \_\_\_\_\_ SSU Project Administrator: \_\_\_\_\_

Summary of the Entity and Scope of Work: (PI or Project Administrator to provide)

#### **Section 1 - Subaward**

Description: Subaward is for the entity to carry out a public purpose of support or stimulation authorized by a law of the United States instead of acquiring (by purchase, lease, or barter) property or services for the direct benefit or use of the University. A subrecipient relationship may have one or more of the following characteristics:

- Carry out a substantive, programmatic work or an important or significant portion of the research/grant program or project
- The research program or project is within the research objectives of the entity
- Has principal investigator been identified and functions as a “Co-Investigator” in the grant proposal and award
- Has its performance measured in relation to whether objectives of the project or program were met
- Is responsible for adherence to applicable program requirements specified in the award
- In accordance with its subaward, uses the prime award funding to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the University



## **Section 2 - Contract**

Description: Contract is to acquire (by purchase, lease, or barter) property or services for the direct benefit or use of the University. A contractor relationship may have one or more of the following characteristics:

- ☐ Provides the goods and services within normal business operations
- ☐ Provides similar goods or service to many different purchasers
- ☐ Is not significantly participated in the design of the research itself or in the proposal development
- ☐ Provides goods or services that are ancillary to the operation of the program or project
- ☐ Is not directly responsible to the sponsor for the research or for determining research results
- ☐ Markets its service to range of customers, including those in non-academic fields

The substance of the relationship should be given greater consideration than the form of agreement between the University and the outside entity.

### **FINAL DETERMINATION: (Check One)**

**SUBAWARD**

**CONTRACT**

**Prepared By:** \_\_\_\_\_

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Reviewed/Approved By:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**If “Subaward” is the final determination and the relationship is not a purchase of goods or services, CSU Procurement Requirement is not applicable and therefore additional quotes or formal competitive solicitation is not required.**

**If “Contract” is the final determination, the following CSU Procurement Requirements shall be adhered:**

For contract under \$50,000, 1 quote is required

For contract from \$50,000 to under \$100,000, 3 quotes with a written scope of work are required

For contract over \$100,000, a formal competitive solicitation is required