

A Short Guide to Research Administration and Grant Management for NJIT Researchers



Fall 2017



New Jersey Institute of Technology

University Heights

Newark, NJ 07102-1982

973.596.5275

973.596.6056 fax

Office of Research

September 26, 2017

Dear NJIT Researchers,

The Office of Research is home to three administrative departments: Sponsored Research Administration, Grant and Contract Accounting, and Intellectual Property and Patents (in conjunction with the Office of General Counsel). Each department plays a vital role in the success of grant management. This guide presents a unified administrative process from proposal inception to grant closeout highlighting those steps in the process that involve or most directly impact the researcher.

Success in complex and lengthy processes like grant management cannot be accomplished by individuals or groups with only loose organizational structure. The guiding principle in formulating this workflow was individual duty within shared responsibility. The individuals that make up NJIT's Office of Research are professionals with clear sets of individual duties that exist within a shared network of responsibility. This ensures that each person has autonomy in fulfilling his or her obligations and is backed-up and supported by the larger group. By clearly identifying each functional role in the system, we provide each person the freedom to act as necessary to fulfill their responsibilities while ensuring overall success.

We look forward to working with you to achieve your research goals so that together we can advance the academic and educational missions of our university.

Sincerely,

A handwritten signature in black ink that reads 'Eric D. Hetherington'. The signature is fluid and cursive, with the first name 'Eric' being the most prominent.

Eric D. Hetherington, PhD
Director, Sponsored Research Programs Administration
erich@njit.edu
973.596.3631

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Sponsored Research Programs Administration

Fall 2017

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Introduction

This grant management guide details for the NJIT researcher the administrative workflow of grant processing from the initial stages of faculty development through the completion and final reporting of a successful project. All process diagrams in the text are available in Appendix C for quick reference.

Sponsored research awards include a variety of things including governmental grants, industrial agreements, and contracts. For the sake of brevity, we use the term “grants” in this document to refer to all kinds of awards.

Streamlyne is the online grant management system used by NJIT for all pre-submission activity. Our use of Streamlyne will increase to include even more of the grant management process towards the goal of having one single database system for all grant activity. NJIT researchers use their UCID and password to log into Streamlyne at <https://research.njit.streamlyne.org>. Office of Research staff are available to train or assist researchers in the use of Streamlyne. A series of how-to videos for Streamlyne are available online at <http://www.njit.edu/research/streamlyne>.

I. Research Personnel: Functional Roles in Grant Management

Three functional roles make up the backbone of the grant lifecycle workflow: ambassadors, specialists, and accountants. Each of the primary roles is defined briefly as follows:

Ambassador: The college ambassador is the person of first contact for faculty and college administration. The ambassador is responsible for aiding PIs in proposal development and budget preparation, representing the Office of Research to the college dean, acting as a liaison between the college and Office of Research, and ensuring a complete Streamlyne package is delivered and prepared according to NJIT guidelines.

Specialist: The specialist receives the complete Streamlyne package from the ambassador and is responsible for reviewing the package to ensure compliance with all internal and external proposal requirements and for submitting the proposal to the funding agency.

Accountant: The accountant is responsible for the financial oversight of active grants and ensuring that the funds are used in accordance with all compliance guidelines, both from external agencies and NJIT’s internal guidelines.

II. Grant Lifecycle at NJIT

The lifecycle of a grant at NJIT goes through three stages: project development, proposal submission, and award management. These stages are defined briefly as follows:

Project Development: The first part of a grant’s lifecycle ranges from the inception of the project to the submission of a complete Streamlyne package to the Office of Research. The college ambassador is the primary person from the Office of Research involved in this stage of a grant.

Proposal Submission: The second part of a grant’s lifecycle covers the time from which a complete Streamlyne package is delivered by an ambassador until it is submitted to the funding agency. The specialist is the primary person from the Office of Research involved in this stage of the grant.

Award Management: When NJIT receives notification that an award has been issued, the college ambassador will inform the PI as well as the appropriate accountant that the award has been issued. The accountant is responsible for setting up the grant index and monitoring the grant to ensure compliance with all necessary financial guidelines.

Office of Research College Assignments

In order to provide the most efficient proposal and grant management support, the staff of the Office of Research is divided into college-specific task forces. Each task force has at least one person filling each role of ambassador, grant specialist, and accountant. Similar task forces are assembled as necessary for grants or programs outside of the academic colleges.

Each task force meets biweekly with the director of sponsored research programs administration to review all grant-related activity of the college. The task force works as a team to solve any outstanding issues and determine the overall course of action for the next two weeks. The current college task forces are:

Newark College of Engineering

Ambassador: John McCarthy

Grant Specialist: Justin Samolewicz

Accountants: Brenda Garcia, Elvin Martinez, Darryl Rivera, and Hattie Yeung

Research Information Systems Liaison: Norma Rubio

College of Architecture and Design

Ambassador: Iris Pantoja

Grant Specialist: Jesus Novoa

Accountant: Lian Cheng

Research Information Systems Liaison: Jesus Novoa

College of Science and Liberal Arts

Ambassador: Cristo Leon and Felicia Margolies (CSTR)

Grant Specialist: Iris Pantoja

Accountants: Brenda Garcia, Elvin Martinez, Darryl Rivera, and Hattie Yeung

Research Information Systems Liaison: Norma Rubio

Ying Wu College of Computing

Ambassador: Nancy Henderson

Grant Specialist: Jesus Novoa

Accountant: Darryl Rivera

Research Information Systems Liaison: Jesus Novoa

Martin Tuchman School of Management

Ambassador: Iris Pantoja

Grant Specialist: Jesus Novoa

Accountant: Darryl Rivera

Research Information Systems Liaison: Jesus Novoa

Key Personnel in Research Administration at NJIT

The following key personnel are responsible for task coordination and management of research-related administration at NJIT:

Senior Vice Provost for Research: Atam P. Dhawan, PhD

Director, Sponsored Research Programs Administration: Eric D. Hetherington, PhD
Director, Research Information Systems: Norma Rubio

Sponsored Research Administration

Associate Director, Pre-Award: Justin Samolewicz

Assistant Director, Post-Award: Rose Federici

Grant and Contract Accounting

Associate Director, Grant and Contract Accounting: Bobby Vadasserril

Assistant Director, Grant and Contract Accounting: Lian Cheng

Intellectual Property and Patents

Assistant General Counsel for Patents and Intellectual Property: Sanjiv Chokshi

Manager, Patents and Licensing Administration: Sangeeta Bafna, PhD

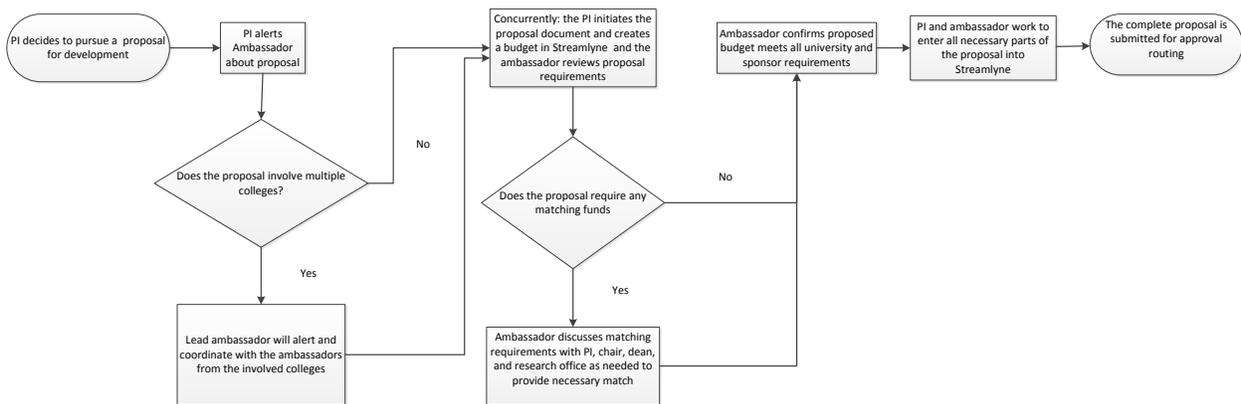
Proposal Development and Submission at NJIT

The proposal development and submission parts of sponsored research administration at NJIT require the cooperation and combined efforts of researchers, academic administration, and the research office.

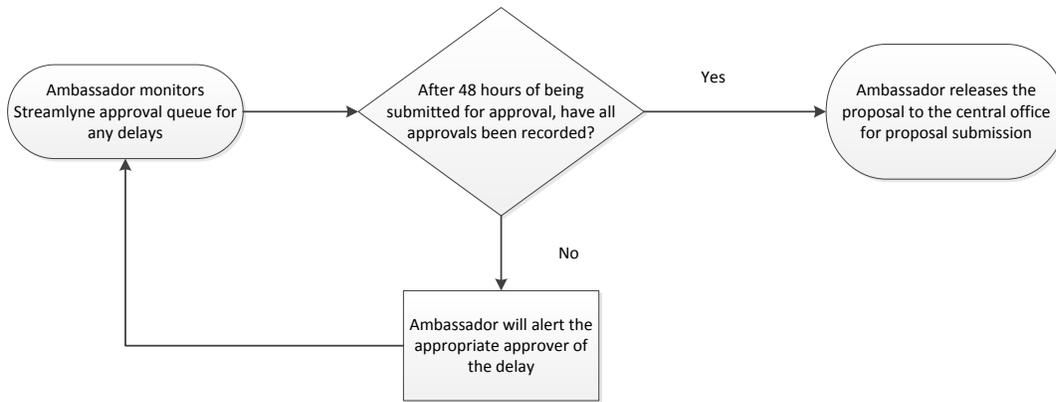
I. Proposal Development Process

The first part of a grant's lifecycle ranges from the inception of the project to the submission of a complete Streamlyne package to the Office of Research. During this part of the lifecycle, the college's research ambassador works with the PI and co-investigators to guarantee the requirements of the particular proposal are understood and addressed and to guarantee an appropriate budget is developed. The ambassador will help shepherd the proposal through the necessary approval queue to make sure the departmental and decanal approvals are secured in a timely manner. It is expected, and part of NJIT's proposal submission policy, that a complete and accurate proposal with all college-level approvals be delivered to the Office of Research no later than 24 hours before the submission deadline, excluding weekends and university holidays.

The first part of the proposal submission process from inception to routing for approvals:

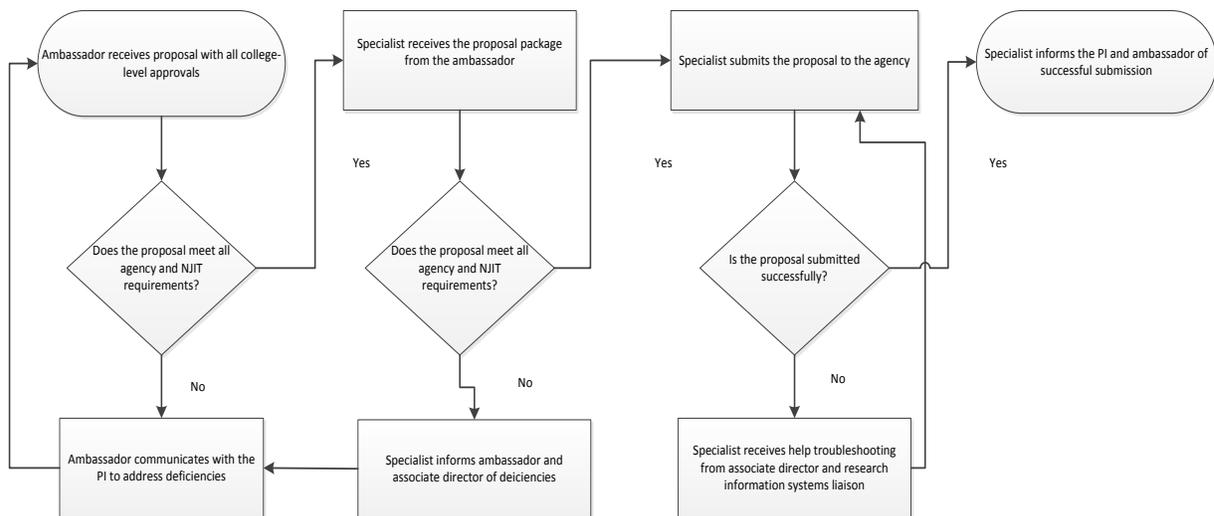


The monitoring of the approval process:



II. Proposal Submission Process

Once the complete proposal package has departmental and college approvals, the research ambassador reviews the proposal package to make sure it is complete and consistent with agency and NJIT guidelines. The proposal is then forwarded to a grant specialist in the Office of Research who provides a final review of the proposal before submission. The specialist will then submit the proposal to the agency and alert the ambassador and PI about the successful submission.

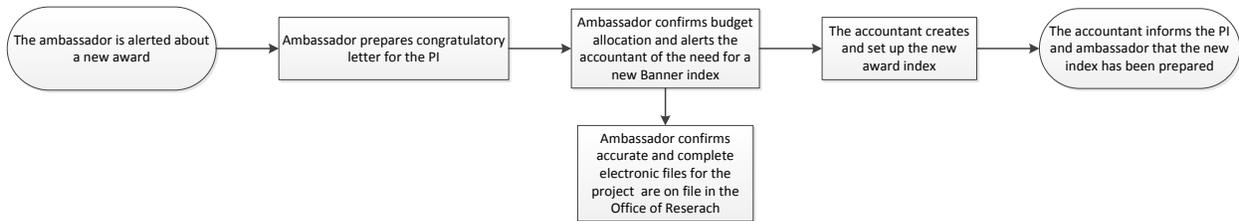


Award Set Up and Management

Notification of an award from the sponsor triggers the beginning of the next phase of the grant's lifecycle that includes award notification, grant management, and accounting. These activities encompass a wide range of services provided by the Office of Research.

I. Award Notification

When a new award comes to NJIT, the ambassador will receive the information from the pre-award associate director to initiate the award setup process. The ambassador will review the budget allocation, confirm accurate electronic files for the project, and alert the appropriate accountant of the need to set up the award in the financial system.



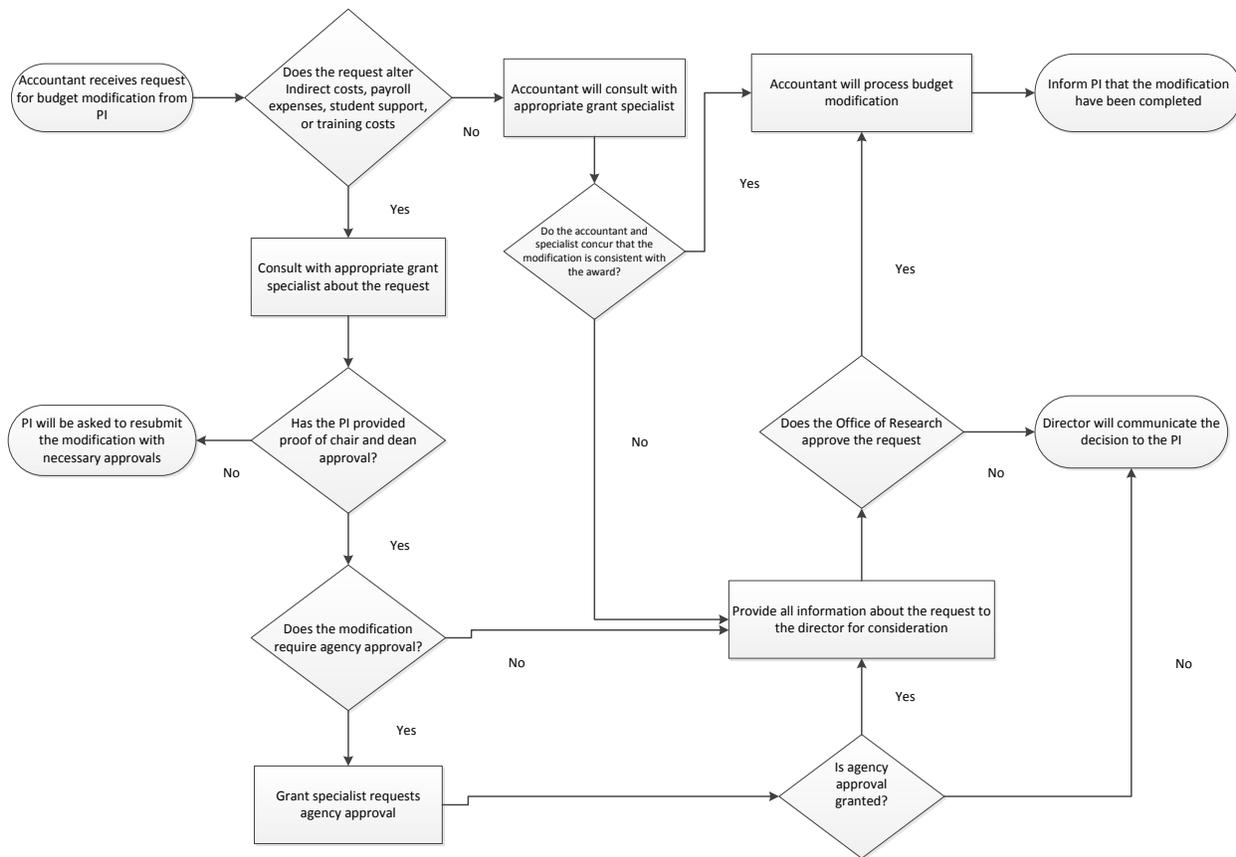
II. Grant Accounting: Budget Modifications and Travel Reimbursement

The accountant is responsible for the review and processing of all requisitions, budget transfers, and billing related to an award. It is expected that all accountants follow standard accounting practices and that they are familiar with both NJIT's internal policies and agency-specific policies. Below are detailed processes used by the accountants in two of the most common accounting tasks that directly involve researchers: budget modifications and travel or expense reimbursement.

Accountants are responsible for processing budget modifications for the grants for which they are assigned. No budget modification that moves money out of student support to other categories can be processed without written approval from the appropriate chair, dean, and the Office of Research. If an accountant receives such a request without these approvals, they are to explain the need for these approvals to the PI, copying the appropriate grant specialist and ambassador.

Budget modifications that will alter the indirect costs will be brought to the attention of the associate director for grants and contracts accounting. The associate director will consult with the director for sponsored research programs administration on such modifications before they are completed by the accountant.

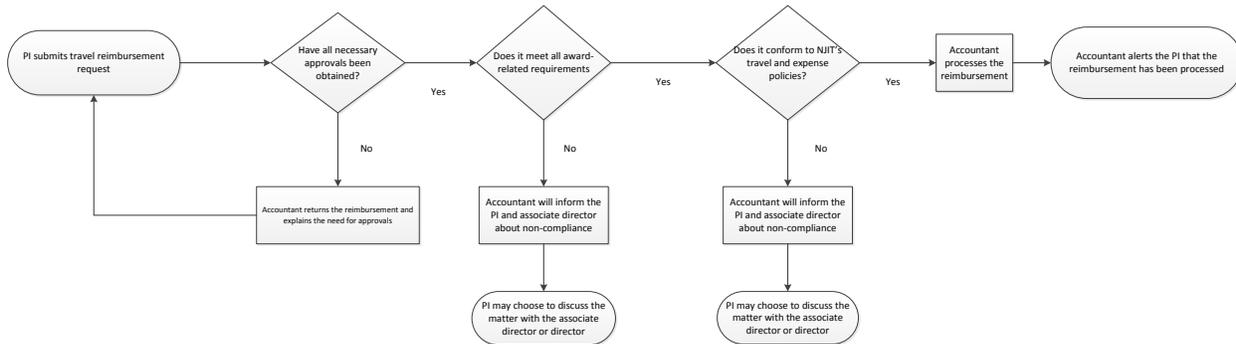
The budget modification process:



The grant accountant is responsible for reviewing and evaluating requests for reimbursements related to grants and contracts. This is a three step procedure:

1. The accountant must confirm that all appropriate approvals have been granted up through the college-level. If the reimbursement request has not been approved, the accountant is responsible for returning the request to the person submitting the request with an explanation of why it is being returned and what approvals remain outstanding.
2. The accountant must confirm that the request has all required information and attachments and that it complies with all grant or contract requirements and with all appropriate regulations . If the request does not comply with these regulations, the accountant will inform the PI that the reimbursement cannot be granted as submitted. The accountant will copy the associate director for grants and contracts accounting on all correspondence with the PI involving a rejection of reimbursement requests.
3. The accountant will evaluate if the reimbursement sought complies with NJIT’s travel policy. If the request does not comply with the NJIT travel policy, the accountant will inform the PI and the associate director for grants and contracts accounting.

The reimbursement process:



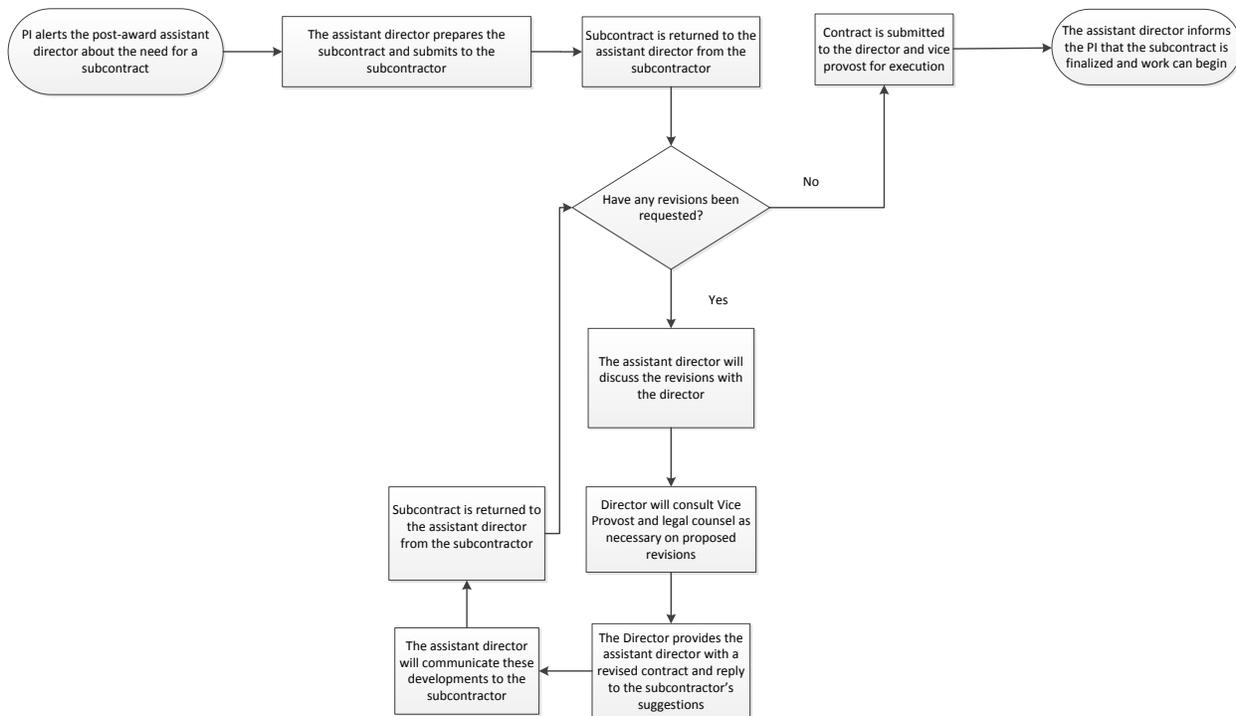
III. Grant Management: Burn Rate Reports and Management Meetings

Burn rate report emails are sent to individual PIs on a monthly basis detailing the remaining balance of their sponsored research awards. Each month the college task force reviews the burn rate reports for the awards in their assigned college to determine which PIs should be contacted to offer support and help in maintaining timely research expenditures. The appropriate accountant and ambassador will contact the PIs to offer to set up grant management meetings. If a PI chooses not to meet with the Office of Research staff, the college task force will notify the director of sponsored research programs administration of their attempt to meet with the PI.

IV. Subcontracts

Certain awards will require that NJIT issue subcontracts to complete certain tasks related to the grant. When an award requires a subcontract to be issued, the PI will alert the post-award assistant director of the need for a subcontract and provide the scope of work, budget details, period of performance, and subcontract information: company name, address, phone number, email address, and main contact person. The assistant director will prepare and submit to the subcontractor NJIT’s standard subcontract. Revision requests by the subcontractor may delay the execution of a final agreement.

The subcontract process:



V. Award Closeout

The closeout period for an award at NJIT starts three months before the end date of the award and requires all parts of the Office of Research to act together. The accountant assigned to the award manages the financial closeout process for a grant, which includes the final financial report and property report. If the PI indicates on the invention report that there have been inventions related to the project, the manager, patents and licensing administration, will follow up on any necessary patent-related forms, such as invention disclosure reports. During these final months of an award, the assistant directors of both grants and contracts accounting and post-award processes will monitor progress of all necessary reporting. It is expected all reports will be delivered to funding agencies on time. It is the responsibility of the assistant directors to alert the director of sponsored research programs administration of any potential problems that may cause a delay in the delivery of final reports. For reports that are the responsibility of the PI and become delinquent, the appropriate ambassador will be made aware of the delinquency and tasked with following up with the PI both to remind them of the need for the report and also to offer any assistance the Office of Research may provide.

Intellectual Property Support at NJIT

The Department of Intellectual Property and Patents is responsible for aiding faculty, staff and student inventors on the submission and review of invention disclosures for further processing and the submission of provisional applications. The department also works with NJIT inventors, the IP committee, and external resources for the preparation, submission, and acquisition of full patents.

The mission of the Department of Intellectual Property and Patents is to promote protection of results and intellectual property from research grants, contracts, and other resources. It serves the NJIT community with full support for the review, processing, and submission of provisional applications, patents, and the commercialization of their research. The Department of Intellectual Property and Patents reports jointly to the Office of Research and Office of General Counsel.

I. Assistant General Counsel for Patents and Intellectual Property

The assistant general counsel for patents and intellectual property is primarily responsible for the University's legal practice concerning the administration and coordination of the university's academic patent and intellectual property portfolio, including university trademarks and copyrighted material. The assistant general counsel manages all activities relating to the disclosure, development, and maintenance of university intellectual property, and serves as the university representative in partnered technology transfer transactions with New Jersey Innovation Institute (NJII), NJIT's affiliate responsible for commercializing university generated intellectual property.

The assistant general counsel maintains the university patent databases and files, tracks and manages such property, and prepares written summaries of invention evaluations and updates for the NJIT IP committee. The assistant general counsel is responsible for all legal aspects of the university's intellectual property portfolio, including but not limited to providing legal opinions to the academic departments concerning the use of copyrighted material in educational endeavors, and implementing and ensuring compliance with university policies and procedures regarding research and intellectual property protection.

II. Manager, Patents and Licensing Administration

The manager for patents and licensing administration is responsible for the review of new IP disclosures for compliance; drafting correspondence to inventors, assisting in the development process as needed, advising of any missing information in IP disclosures or acknowledging receipt of complete IP disclosures and advising of next steps for presentation to IP committee. The manager conducts preliminary marketability analysis on the technology with respect to commercialization opportunities and prepares IP committee meeting agenda with typical items for review and input by the IP sub-committee meetings and subsequent presentation to the IP committee for directions and approvals.

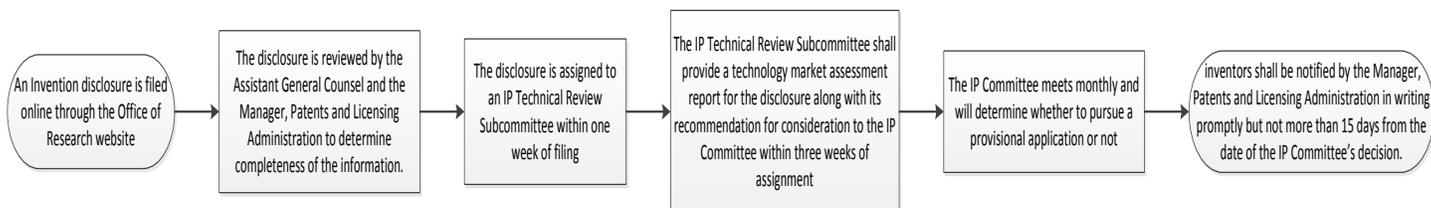
The manager prepares updates and inputs mandatory patent filing information for patents arising under US government grants into the government IP reporting system, iEdison, and maintains the NJIT IP

website. The manager also handles student sequester forms and communicates with library and students concerning the status of the same with respect to publication of student thesis.

The manager serves as the industry liaison to NJIT inventors, explores opportunity for licensing with external entities. The manager evaluates the commercial potential of new inventions, identifying new uses and potential markets, and develops marketing strategies. The manager prepares NJIT technology literature and meets with inventors to prepare for external technology presentations and prepares and participates in internal technology presentations and tutorials on protecting IP rights.

III. The IP Committee

The IP committee reviews reports regarding invention disclosures to ascertain whether provisional patent applications should be filed on the disclosures, reports relating to conversion of provisional patent applications into full (non-provisional) patent applications, and other issues related to patent portfolio management and licensing. The IP Committee shall receive a technology market assessment report for all invention disclosures as well as a commercialization assessment reports (where applicable) for provisional applications for potential conversion to full applications, along with recommendations from subcommittees that are customized for specific areas.



Appendix A: Office of Research Directory

NAME	Title	PHONE	EMAIL
Main Number		973-596-5275	srard@njit.edu
Sangeeta Bafna, PhD	Manager, Patents and Licensing Administration	973-642-4295	sangeeta.bafna@njit.edu
Lian Cheng	Asst. Director, Grants and Contracts Accounting	973-596-5209	lian.cheng@njit.edu
Sanjiv Chokshi	Asst. General Counsel for Patents and Intellectual Property	973-642-4285	sanjiv.m.chokshi@njit.edu
Atam Dhawan, PhD	Senior Vice Provost for Research	973-596-8566	dhawan@njit.edu
Rose Federici	Asst. Director, Post Award	973-596-3428	rose.m.federici@njit.edu
Brenda Garcia	Grant Accountant	973-596-2945	bgarcia@njit.edu
Nancy Henderson	Program Manager, Ying Wu College of Computing	973-596-5687	nancy.henderson@njit.edu
Sonia Henderson	Administrative Assistant	973-642-4877	sonia.v.henderson@njit.edu
Eric Hetherington, PhD	Director, Sponsored Research Programs Administration	973-596-3631	eric.d.hetherington@njit.edu
Cristo Leon	Director of Research, College of Science and Liberal Arts	973-596-6426	leonc@njit.edu
Felicia Margolies	Project Manager, Center for Solar-Terrestrial Research	973-596-5377	felicia.h.margolies@njit.edu
Elvin J Martinez	Grants Accountant	973-596-5738	elvin.j.martinez@njit.edu
John McCarthy	Director of Research, Newark College of Engineering	973-596-3247	john.p.mccarthy@njit.edu
Jesus Novoa	Grant Specialist	973-642-4074	jesus.novoa@njit.edu
Iris Pantoja	Program Manager, College of Architecture and Design and Martin Tuchman School of Management	973-642-4483	iris.pantoja@njit.edu
Angela Retino	Administrative Coordinator, Undergraduate Research and Innovation	973-596-5504	angela.c.retino@njit.edu
Darryl Rivera	Senior Grant Accountant	973-596-5462	darryl.j.rivera@njit.edu
Norma Rubio	Director of Research Information Systems	973-596-6053	rubio@njit.edu
Justin M. Samolewicz	Associate Director, Pre Award	973-642-3145	jsamolew@njit.edu
Bobby Vadasserril	Associate Director, Grant and Contract Accounting	973-596-2941	bobbyv@njit.edu
Hattie Yeung	Senior Grant Accountant	973-596-5734	hiumui.yeung@njit.edu

Appendix B: Frequently Asked Questions

Q: Must I include F&A costs in my budget?

A: Facilities and Administrative (F&A) costs are sometimes called indirect costs (IDC) or overhead costs. These refer to those costs incurred by the university in support of the project that are not easily allocable as direct costs. Most notably, these costs are usually associated with facility operation and maintenance, utilities, and building and equipment depreciation. It is expected that the Office of Research staff is able to explain the need for these costs to the university community as needed.

Most sponsors recognize that universities that conduct research incur these costs in addition to those direct costs that are directly allocable and included in a project's budget. They understand and have agreed that the portion of F&A costs identified with organized research is distributed by applying a cost rate which is negotiated between the university and the federal government. This process allows the university to recover some portion of the costs associated with conducting research.

For foundations or other non-profit organizations that request a limitation of indirect costs, the Office of Research requires written, published documentation from the sponsor that confirms a lower rate must apply. Any requests for using rates lower than NJIT's federally-negotiated rate must be submitted to the director of sponsored research programs administration by the college's research ambassador who will already have done due diligence to confirm the necessity of accepting a lower rate.

Proposals to industry or other for-profit sponsors must use the full negotiated F&A rate. A member of the Office of Research staff will be happy to review NJIT's Federally Negotiated F&A Rate Agreement with any concerned party or potential research partner.

Q: When should I discuss my project with my college's research ambassador?

A: The Office of Research and the PI both need as much time as can be afforded to create a quality proposal. These timelines are designed to allow maximum time for the PI to work on the scientific narrative while allowing sufficient time for other critical information to be assembled.

One month in advance (or as early as possible) the PI should send the college ambassador a message of intent to apply for a grant. This should include the request for proposal identification number (NSF, NIH) or the grant proposal guidelines document. At minimum, a link to the documents should be provided. This is an important step that helps the ambassadors prepare and manage their full portfolio of proposals.

Two weeks before the due date the budget should be finalized and the approval proposal process should be initiated in Streamlyne. This includes uploading the detailed budget and justification, a proposal title, and preliminary specific aims (NIH), proposal summary (NSF), or contract scope of work (SOW).

Within 24 hours of the submission being approved at the college level, the grant specialist will initiate a proposal review and check for submission errors. For this to occur, all portions of the proposal must be completed and ready for submission with the exception of the proposal narrative.

At least 24 hours prior to the deadline for on-time submission, the PI must release the final version of the proposal to the Office of Research.

Please note that all time requirements are observed with respect to days the university is open for business.

Q: How should I budget student support?

A: The graduate students supported by grants and contracts should be budgeted with out-of-state tuition and fees rates to be on the safe side. In-state or reduced tuition and fees rates can only be used when there are restrictions on the budget or special justifications such as small or exploratory grants. Unless there are specific plans to use in-state students only, prior arrangements must be made to cover the difference approved through the department, dean or the Office of Research.

Q: How does NJIT deal with projects that require matching funds?

A: For grants and contracts that restrict indirect costs, the remaining needed cost will be shared between the department, college, and Office of Research. Fees may not be allowed to be charged on federal grants. If this is the case, student fees may be added to stipend. If the budget rules do not allow for fees or stipends amounts are restricted, the remaining needed cost may be shared by the department, dean or the Office of Research.

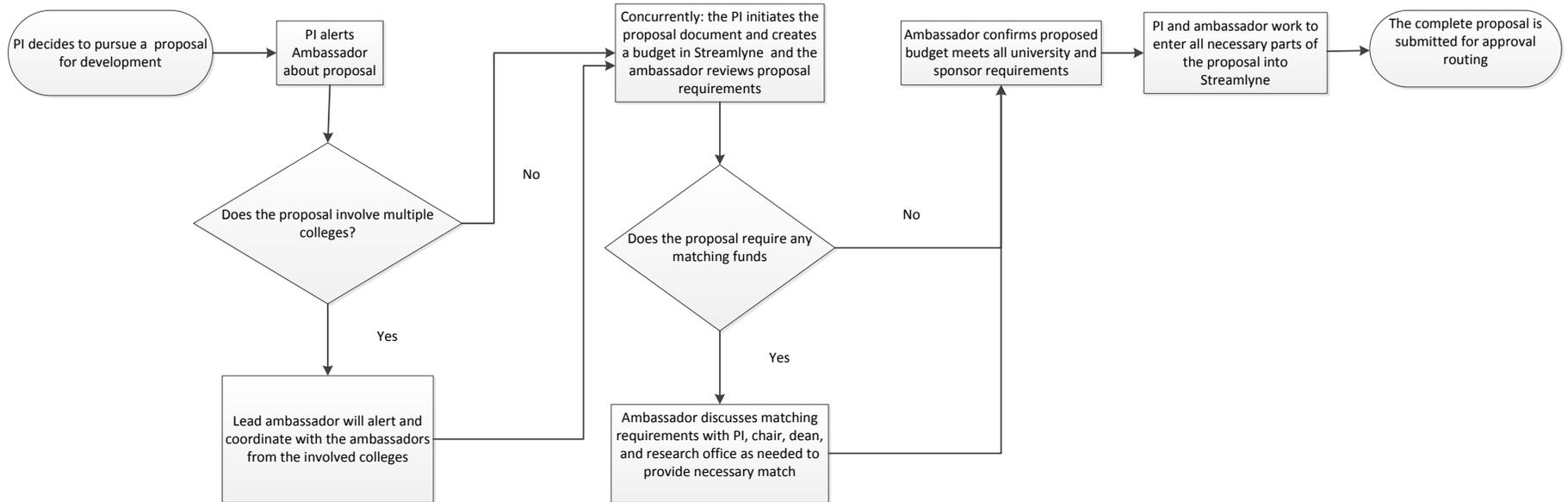
When an agency requires a match to the proposed budget, the PI of the proposal will discuss with the college research ambassador the inclusion of the appropriate matching to meet the scope of work proposed. All agreements on matching must be agreed upon by department, college, and Office of Research well in advance of proposal submission.

Q: How does NJIT deal with RFPs with a limited number of institutional proposals?

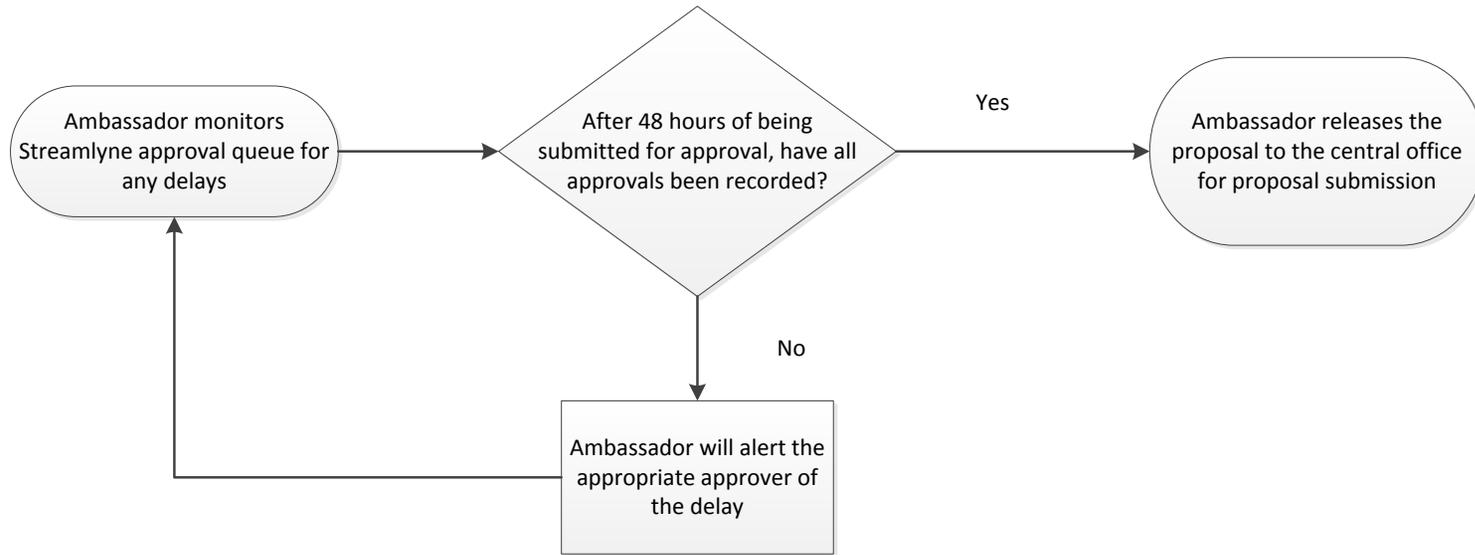
A: The faculty will be informed in a timely manner by the Office of Research about agency RFPs that call for a limited number of proposals to be submitted on behalf of NJIT (e.g. NSF-MRI). White papers/abstracts will be then solicited through the college deans. The deans' offices will make the requested recommendations to be considered for submission to the Office of Research. The Office of Research will form a faculty committee who will review the deans' recommendations and recommend the top proposals to the senior vice provost for research for submission to the RFP.

Appendix C: Process Diagrams

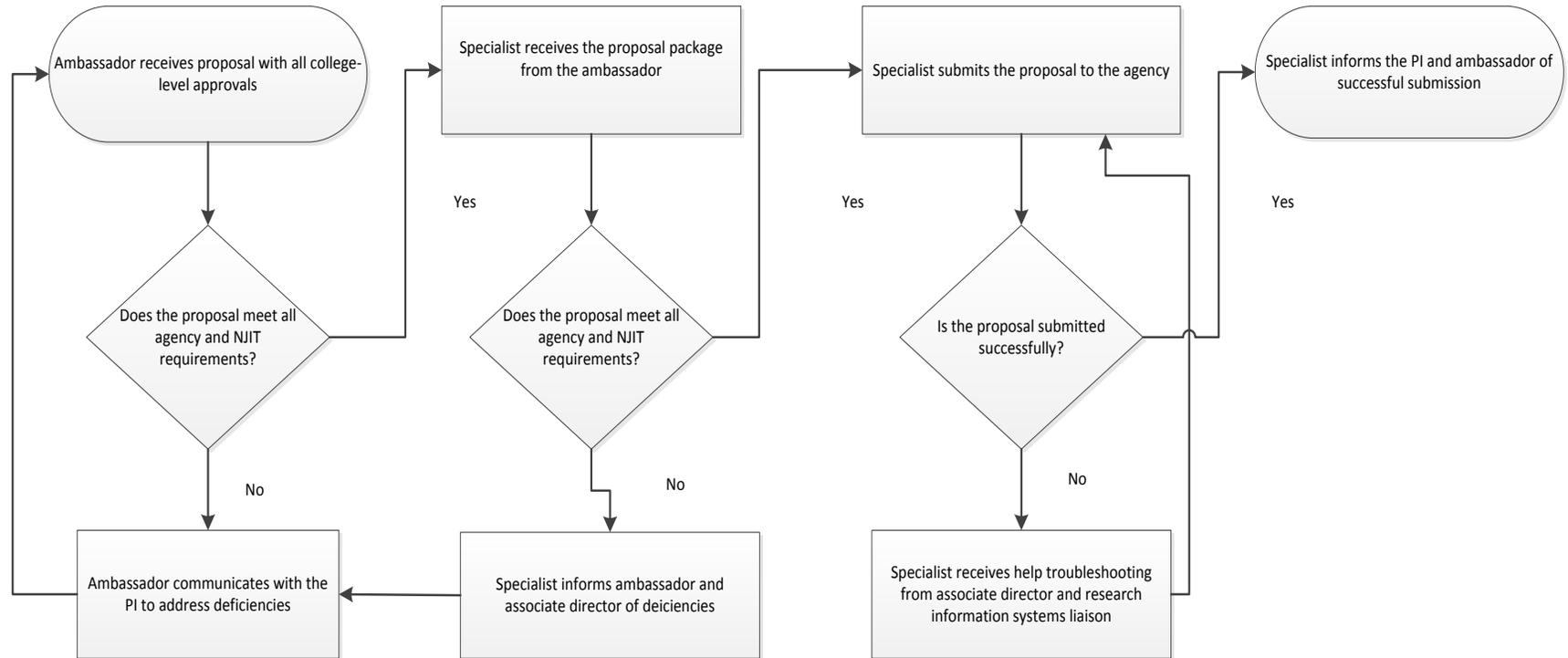
Proposal Development from Project Inception to Submission to the Office of Research



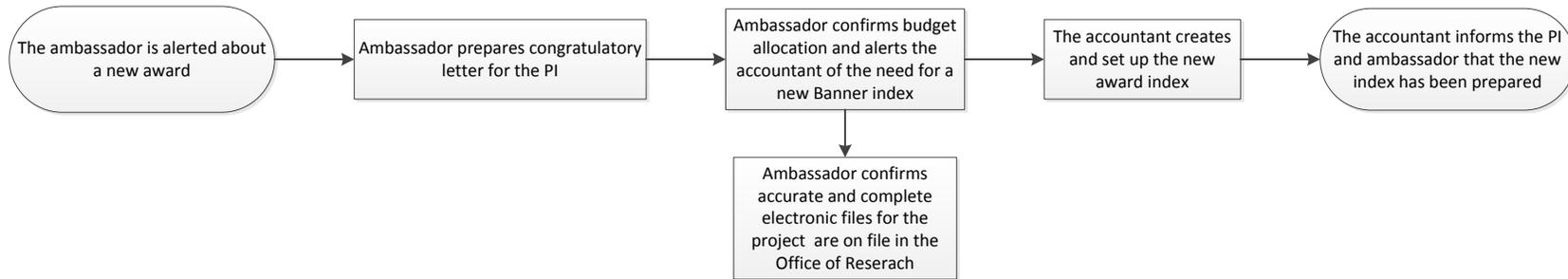
Monitoring of the College-Level Approval Process



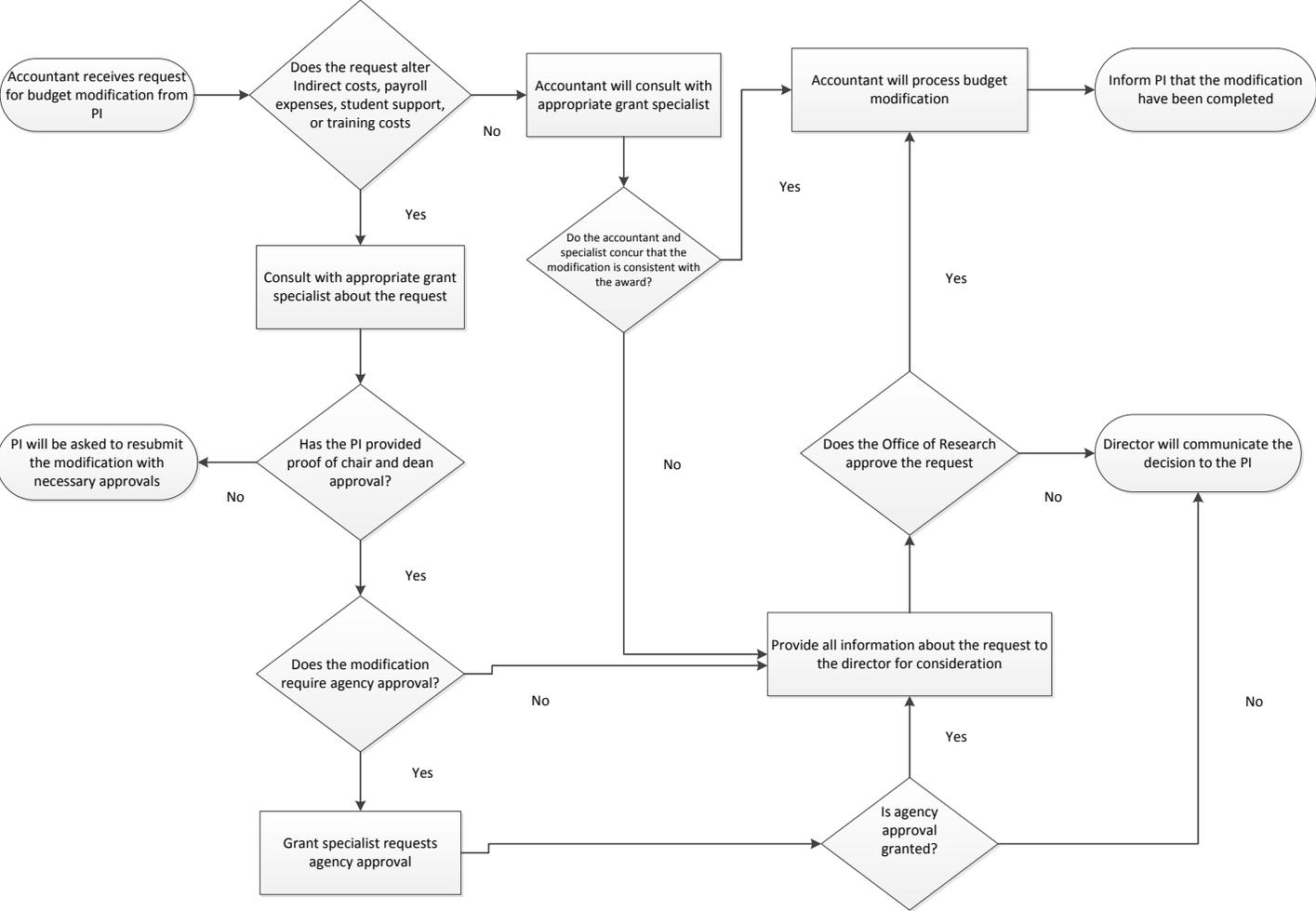
Proposal Submission Process from NJIT's Office of Research to the Funding Agency



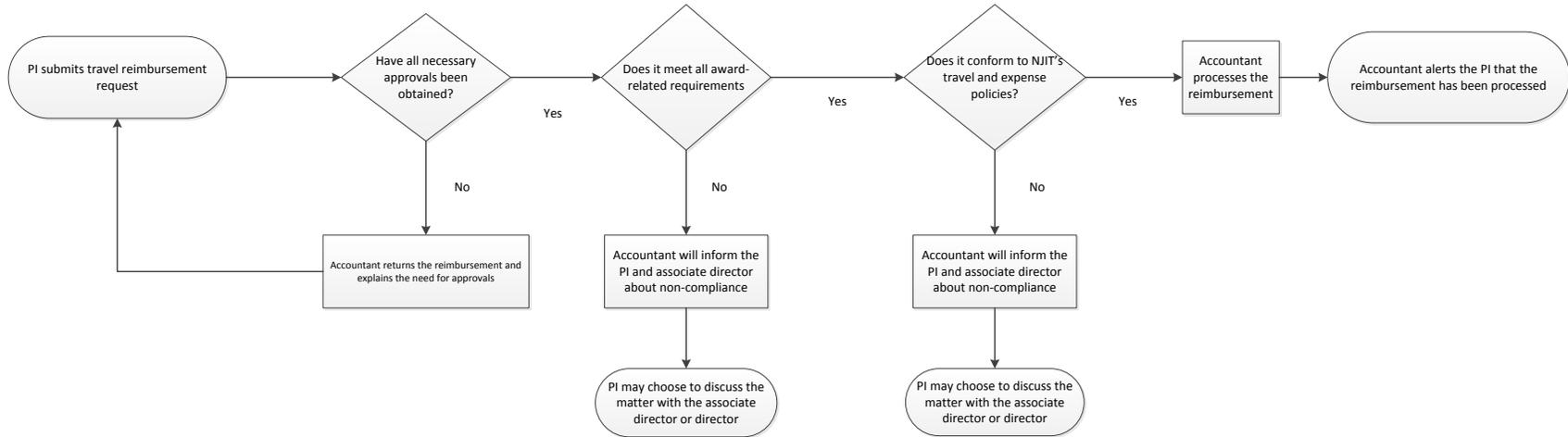
Award Notification and Set-Up



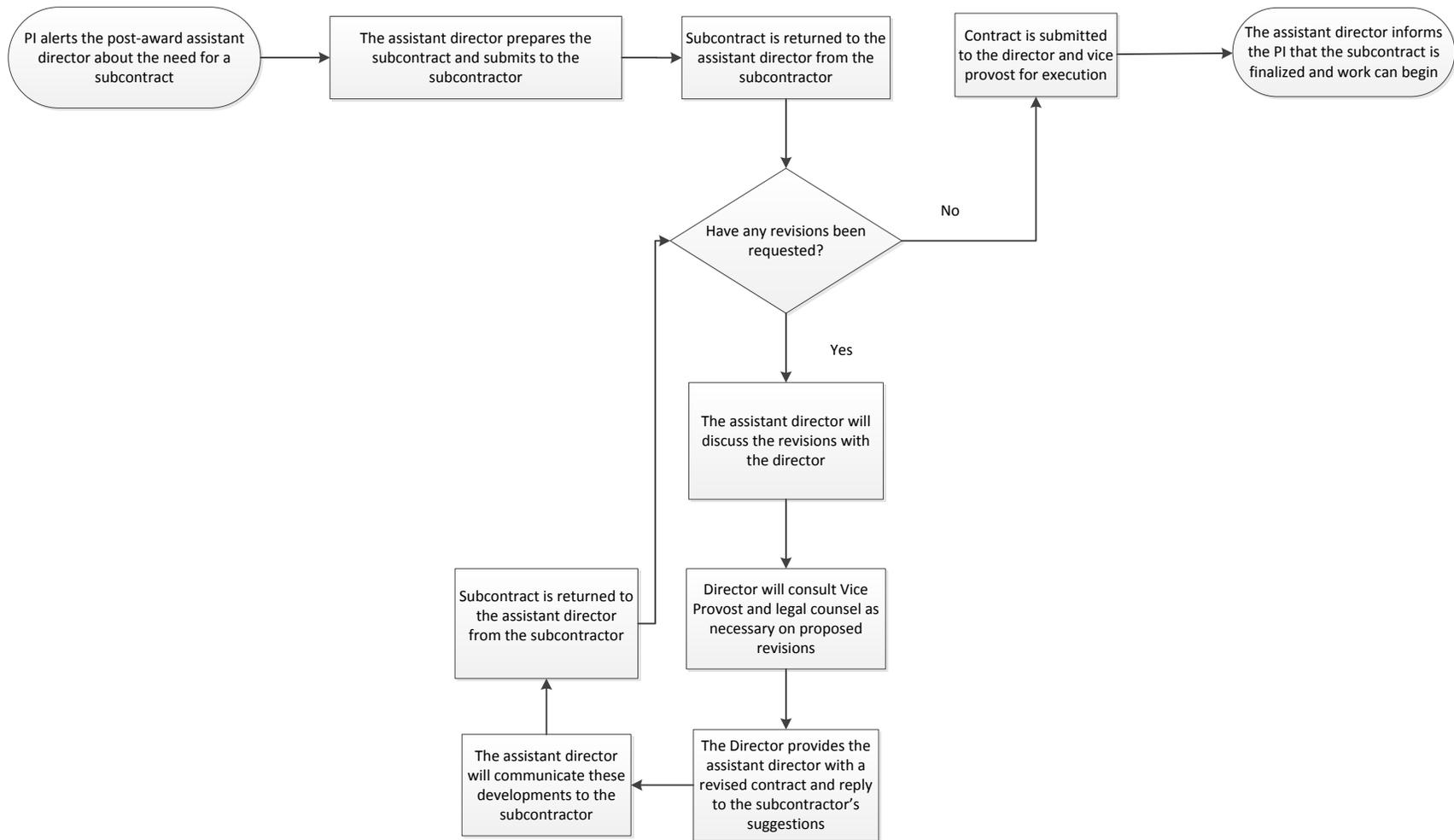
Budget Modifications for Sponsored Research Awards



Travel and Expense Reimbursement for Sponsored Research Awards



Process for NJIT-Issued Subcontracts Related to Sponsored Research



Invention Disclosure Process

