

Research Proposal Submission Process Guidelines

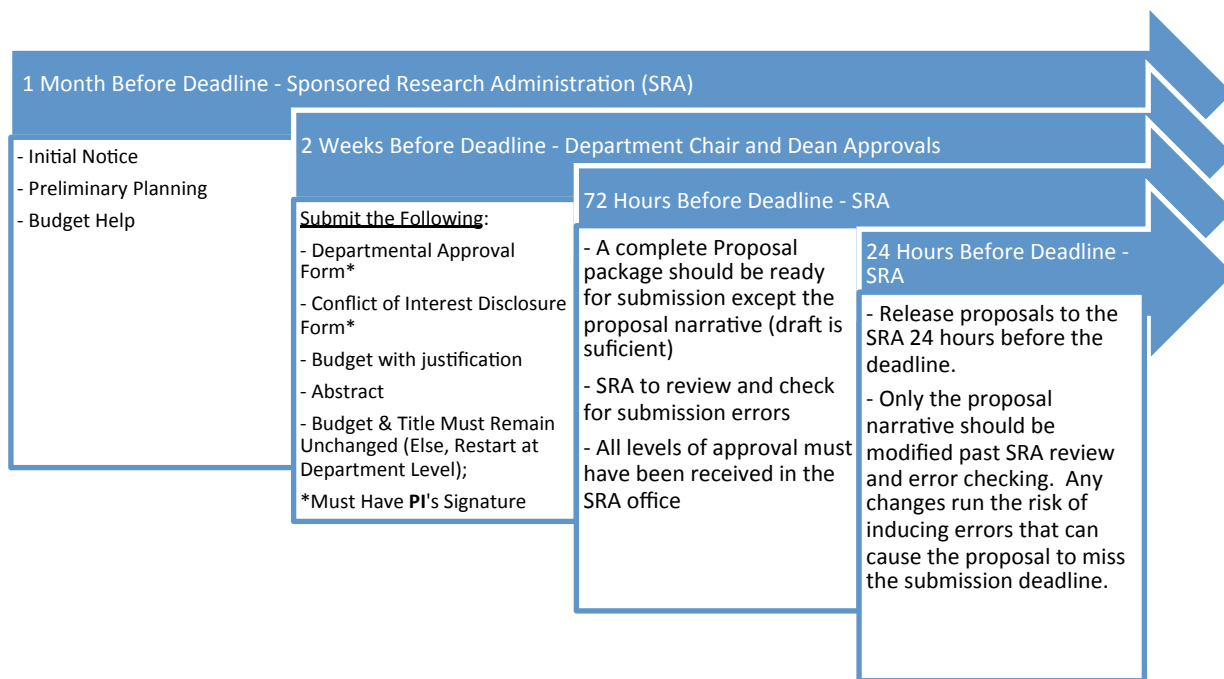
This document is provided as a set of *Best Practices* with the intentions of facilitating the proposal submission process. The process should be guiding, intuitive to both faculty and staff, and encourage and facilitate grant proposal submission. The process should be goal oriented with goals such as increasing the number of proposal submissions, quality of grant submissions, RAs for PhD students, and participation of undergraduate and graduate students including MS students. Furthermore, these goals can be realized by creating new opportunity through activities such as creating contacts within funding agencies and industry, regular meetings with program managers (NSF and NIH), and identifying less visible opportunities (i.e. foundations, DOD and industry). The Research and Development Office will do everything possible in a timely manner to help expedite the submission and success of research proposals.

Section 1) Timelines for Proposal Submission

The Sponsored Research Administration (SRA) in the Office of Research and Development and the PI of the proposal 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 providing all the other critical information at earlier time points. They will allow the SRA to review the submitted materials on a timely basis.

- 1 month in advance (as early as possible) send the SRA a message of intent to apply to srard@njit.edu. 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 will help the SRA prepare and manage all proposals.
- 2 weeks before due date the budget should be finalized and the approval proposal process should be initiated. This includes the Department approval and conflict of interest forms with the PI's and Department Chair's signature, the detailed budget and justification, proposal title, and preliminary specific aims (NIH), proposal summary (NSF), or contract scope of work (SOW).
- Department's Chair will ensure that the forms are expedited to the Dean's office for review and approval. It is recommended to have a feedback system to ensure the approval process is not delayed. The future electronic submission system should provide information about receipt and approval of the proposal documents within each office.
- 72 hours prior to submission the SRA will initiate a proposal review and check for submission errors. For this to occur, all portions of the proposal should be completed and ready for submission with the exception of the proposal narrative. Only a draft of the proposal is needed at this point as a place holder for error checking.
- The PI should release the final version of the proposal to the SRA office 24 hours prior to the deadline for on-time submission.

Please note that all hours requirements are observed with respect to business days, i.e. weekdays excepts Saturdays, Sundays, and holidays.



Section 2) Guidelines for Faculty, Chairs, and Deans for Developing Grant and Contract Budgets

The following provides guidelines for faculty, chairs, and deans in developing budgets for grant and contract proposals to meet the goals of university sponsored research.

Major/Multi-year Research Projects (e.g. NSF, NIH, DOD)

It is strongly recommended that proposal budgets prioritize student support. Grants and contracts generally include in their personnel budgets one or more of the following items: support for PhD student(s), faculty summer salary, agency-supported academic-year release time, post-doctoral fellow support, support staff, masters and undergraduate student support. These items are considered in the approval process by the Department Chair and Dean before a grant proposal is submitted.

It is understood that the distribution of support may depend on the particulars of the proposed topic, project duration and timing, other commitments of the PI and personnel available to carry out the project. In this situation, the budget may not follow the guidelines stated above.

Small and Consulting Projects and non-STEM Grants, Consulting and/or Creative Projects

Small or creative projects and/or consulting contracts, usually involving industry, state or private agency funding, will be treated differently. A faculty member who is seeking such funds should clearly explain the scope of the project and its funding source to the Chair to get his/her approval prior to finalizing such plans. As with major/multi-year research projects, the grant and contract approval process will also involve the Chairs and Deans. The involvement of students in such projects can be compensated on an hourly basis at a rate consistent with federal work-study guidelines. If the granting agency allows, grant funds may be used to enhance work done in NJIT academic courses (research, student competitions, etc.). Students may be involved with

uncompensated research work as part of an NJIT course, lab or studio for which they receive academic credit. Any academic year release time awarded to the faculty for this project will be reimbursed to the university. All agreements for these types of projects must be reviewed and approved by the SRA office.

Awarded Proposals Budgets Changes

In the case that the budget of a grant or contract is awarded with budget changes, the new budget and justification must be resubmitted on the approval forms for Chair and Dean review and approval. If the grant can no longer support the full student cost, the remaining portion will be cost shared by the Department Chair, Dean or SRA.

Section 3) Guidelines for University Cost Sharing and Matching

Stipend, Tuition and Fees

The graduate students supported by grants and contracts will be charged the in-state rate for tuition and fees, except if out-of-state tuition can be included without compromising competitiveness of the proposal. The difference in in-state tuition and fees for out-of-state students will be the responsibility of the Department, Dean or SRA.

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 SRA.

Indirect Costs

For grants and contracts that restrict indirect costs, the remaining needed cost will be shared by SRA.

Required Budget Match

When an agency requires a match to the proposed budget, the PI of the proposal will contact the SRA to discuss the inclusion of the appropriate matching to meet the scope of work proposed. All agreements on matching must be communicated to the Department Chair and Dean's office on the Department Approval forms.

Overhead

It is recommended that some part of the overhead be provided to incentivize research to faculty and the Department

Section 4) RFPs with Limited Institutional Submission

The faculty will be informed on timely manner by SRA about the 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 Dean's office will make the requested recommendations to be considered for submission to the Vice Provost. The office of the Vice Provost will form a faculty committee who will review the Deans' recommendations and recommend the top proposals to the Vice Provost for submission to the RFP.

The following is a clarification on the implementation of the “Stipends, Tuition and Fees” subsection stated in the “**Section 3) Guidelines for University Cost Sharing and Matching**” of the above policy, and federal requirement of the Cost-Sharing policy.

1. As stated in the above policy under Section 3, “The graduate students supported by grants and contracts will be charged the in-state rate for tuition and fees, except if out-of-state tuition can be included without compromising competitiveness of the proposal”, a proposal with no specific evidence (such as small or exploratory grants) or need of charging in-state tuition, should include out-of-state tuition in the proposed budget.
2. As stated in the above policy under Section 3, if in-state tuition is used in the budget with a specific evidence or need to charge in-state tuition rate, the difference between the in-state and out-of-state tuition rates must be committed at the time of the proposal submission by Department Chair, College Dean and/or SRA. Please note that such commitment at the time of the proposal submission would be considered as cost-sharing and has to be described in the context of funding opportunity per federal policy of “*Cost sharing or matching*” defined in the Code of Federal Regulations [2 CFR §200.306](#) "Cost Sharing or Matching". This federal policy has been adopted in the NJIT Policy [PP 13-04 – Grants and Contracts – Cost Sharing](#) posted on NJIT research website. A copy of the text of **§200.306 Cost sharing or matching** is provided below for reference.

§200.306 Cost sharing or matching.

- (a) Under Federal research proposals, voluntary committed cost sharing is not expected. It cannot be used as a factor during the merit review of applications or proposals, but may be considered if it is both in accordance with Federal awarding agency regulations and specified in a notice of funding opportunity. Criteria for considering voluntary committed cost sharing and any other program policy factors that may be used to determine who may receive a Federal award must be explicitly described in the notice of funding opportunity. See also §§200.414 Indirect (F&A) costs, 200.203 Notices of funding opportunities, and Appendix I to Part 200—Full Text of Notice of Funding Opportunity.