# MONTCLAIR
## STATE UNIVERSITY

# Sponsored Programs Handbook

A Guide for Principal Investigators
and Project Managers

# Introduction

**Mission Statement**

The Mission of the Office of Sponsored Programs (OSP) is to encourage, facilitate, and support Montclair State University (Montclair) faculty and staff in the pursuit of external funding for their research, education, training, and other scholarly activities, while also protecting the University's interests in assuring compliance with federal and state guidelines, laws, rules, and regulations.

**Services**

OSP provides a comprehensive and wide breadth of services that encompass aspects of both pre-award and post-award management. OSP *pre-award* activities primarily include assisting faculty and staff in finding and applying for external funding in support of their research or other scholarly programmatic activities—to include (but not limited to)proposal and budget development and ensuring compliance with sponsor proposal guidelines. OSP *post-award* activities include (but are not limited to) assistance to Montclair faculty and staff in many aspects of post-award management—e.g., award negotiation; ensuring compliance with federal, state, and local rules and regulations; assisting with technical report completion; non-financial "prior approval requests;" and acting as the official liaison between the University and external governmental and non-governmental entities.

OSP works closely with faculty and administrative staff in many of the academic units, colleges, and departments on campus. OSP also coordinates its activities with several administrative departments on campus to include the Institutional Review Board, Institutional Animal Care and Use Committee, Office of Grant Accounting, University Counsel, Human Resources, Payroll, University Advancement, and Marketing and Communications. OSP provides periodic reports and information to the Montclair community on all of its sponsored program activities and provides training and workshop programs to further inform and educate the Montclair community on the latest developments in the externally sponsored funding landscape.

**Purpose of the Handbook**

The funding landscape and federal regulatory environment are ever-changing. As such, the *Sponsored*

*Programs Handbook* is a "living" document that will be revised and updated in response to these changes.  The handbook is intended to serve as a guide—a useful "tool" for Montclair faculty and staff to refer to when questions about finding and applying for external funding might arise, or questions on award management might come up in the course of carrying out their funded projects.  Where further clarification is needed, members of the Montclair community should always feel free to contact OSP.

# Sponsored Programs Lifecycle

The sponsored program's "lifecycle" (below) depicts the typical progression of a sponsored program from "concept to closeout."  For each respective step, various academic and administrative units and personnel coordinate efforts in support of University faculty and staff, steering each project through to its successful completion.  Each chapter of this handbook refers to a particular stage in the sponsored program's lifecycle.  To immediately advance to any stage of the lifecycle simply click on the appropriate lifecycle button below.

```
              Finding Funding
              Opportunities

Award Close-                     Proposal
    Out                          Development

Award                                Proposal
Management                           Review and
                                     Submission

       Project Start-        Award
            Up            Negotiation
                         and Acceptance
```
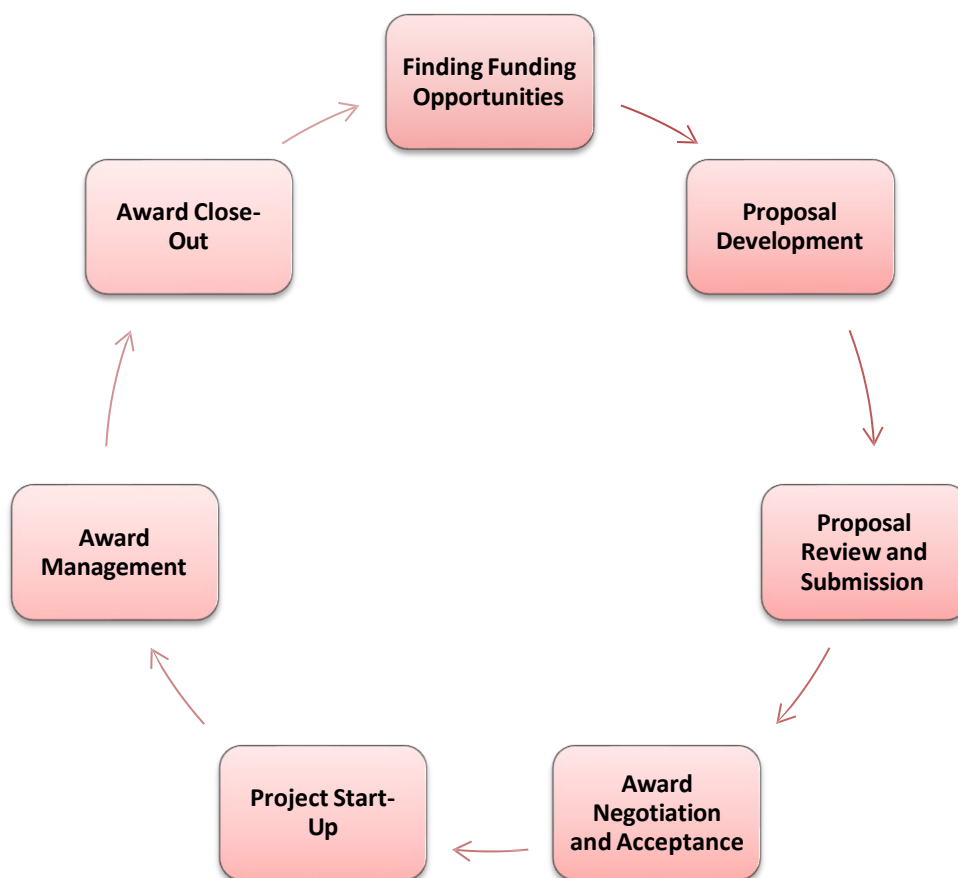
| Stage of Lifecycle | Typical Supporting Administrative and/or Academic Support Personnel |
|---|---|
| **I.** **Finding Funding Opportunities:** Identifying and/or searching for appropriate funding opportunities. | OSP, Deans, Department Chairs, Departmental Administrators |
| **II.** **Proposal Development:** Proposal solicitation review; proposal compliance; continuous and final proposal review and feedback; budget development. | OSP, Departmental Administrators |
| **III.** **Proposal Review & Submission:** Electronic or hard copy submission to sponsor. Review of budget; University/departmental cost-sharing/matching; effort commitment; course-release/buyout; authorized signatures on proposal routing form and proposal. | OSP, Departmental Administrators and Fiscal Agents, Deans, Department Chairs, Provost, Associate Provost/Academic Affairs |
| **IV.** **Award Negotiation & Acceptance:** Negotiation of terms and conditions of pending grant or contract award; acceptance of award on behalf of University by Authorized Official. | OSP, Research Compliance, University Counsel, Vice Provost for Research, Provost |
| **V.** **Project Start-Up:** Processing of award set-up; gaining necessary institutional approvals prior to project commencement. | OSP, Research Compliance, Grant Accounting, if cost-sharing Budget Managers |
| **VI.** **Award Management:** Day-to-day project/program management; institutional compliance with sponsor requirements; time & effort reporting; institutional prior approval; contract continuations, modifications, and amendments. | OSP, Grant Accounting, Research Compliance, Departmental/College Administrators, Finance and Treasury, HR, Graduate School, Budget Office when managing indirect accounts |
| **VII.** **Award Close-Out:** Closing out of award; patent/invention, final reports (technical, financial, property reporting). | OSP, Grant Accounting |

**SPONSORED PROGRAMS ROLES AND RESPONSIBILITIES MATRIX**

| TASK | ROLE/RESPONSIBILITY | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | PI and/or Co-PI(s) | OSP/Departmental Pre-Award | OSP/Departmental Post-Award | Budget Managers | Grant Accounting | Dept/College Administrators | Research Compliance | HR | Finance/Treasurer | Graduate School | Dean(s) | Dept. Chair(s) | VP for Research/Provost | Univ. Counsel |
| **PRE-AWARD** | | | | | | | | | | | | | | |
| Identify and transmit funding opportunities | X | X | | | | | | | | | X | X | X | |
| Review proposal guidelines | X | X | | | | | | | | | | | | |
| Proposal preparation/development, budgets | X | X | | | | | | | | | | | | |
| Proposal review | X | X | | X | | | | | | | X | X | | |
| Proposal modifications | X | X | | | | | | | | | | | | |
| CAYSUE Institutional Processing form completed/approved | X | X | | X | | | | | | | X | X | | |
| Subrecipient commitment forms received and reviewed | X | X | | | | | | | | | | | | |
| Review for regulatory compliance issues (FCOI, export control, human or animal subjects) * | X | X | X | | | | X | | | | | | | X |
| Proposal submitted per Montclair's proposal deadline policy | X | X | | | | | | | | | | | | |
| **POST-AWARD** | | | | | | | | | | | | | | |
| Award negotiation and review | X | | X | | | | | | | | | | X | X |
| Subrecipient risk assessment prior to award set-up | | | X | | | | | | | | | | | |
| Cost-sharing authorization form completed | X | | X | X | | X | | | | X | X | X | | |
| Award action initiated in Cayuse SP | | | X | | | | | | | | | | | |
| Approve award action and establish grant fund in Workday | | | | | X | | | | | | | | | |
| Send applicable information pertinent to a new award | | | X | | X | | X | | | | | | | |
| Implement projects/program activities | X | | | | | | | | | | | | | |
| Process employment actions (i.e., hourly, release time) | X | | | | X | X | | X | | | | | | |
| Process graduate assistant stipend requests | X | | | | X | X | | X | | X | | | | |
| Process graduate assistant tuition requests | X | | | | X | X | | X | | X | | | | |
| Process expenditures (i.e., travel, materials/supplies) | X | | | | X | X | | | X | | | | | |
| Enter into subaward/subcontract agreements with external institutions | | | X | | | | | | | | | | | |
| Review accounts, regularly monitor, review and approve expenditures | X | | | | X | X | | | | | | | | |
| Draw down funds, bill for project expenses and accounts receivable | | | | | X | | | | | | | | | |
| Process indirect cost distribution | | | | | X | | | | | | | | | |
| Monitor subawardees/subcontractors | X | | | | X | | | | | | | | | |
| Coordinating award changes that require sponsor approval** | X | | X | | X | X | | | | | | | | |
| Fulfill sponsor periodic program reporting requirements*** | X | | X | | | X | | | | | | | | |
| Fulfill sponsor periodic fiscal reporting requirements | X | | | | X | X | | | | | | | | |
| Manage time and effort reporting | X | | | | X | X | | | | | | | | |
| Ensure program compliance | X | | X | | X | X | X | | | | | | | |
| Prepare and submit final technical reports | X | | | | | X | | | | | | | | |
| Prepare and submit final financial reports | X | | | | X | X | | | | | | | | |
| Prepare and submit final property and invention reports | X | | | | X | | | | | | | | | |

**\*IRB/IACUC review and approval may be required on an annual basis.**
**\*\*PI & OSP (Programmatic), Grant Accounting (Financial)**
**\*\*\* OSP when submission by AOR required**

# Chapter 1:
# Finding Funding

**Overview of Landscape**

**Federal Opportunities:** The Federal Government has historically been the largest sponsor of research at U.S. universities, accounting for approximately 60% of the university research dollar.  The federal government also funds non-research programs in priority areas such as education, public health, and the arts through agencies to include (but are not limited to) the Department of Education, Substance Abuse and Mental Health Services Administration, and the National Endowment of the Arts and National Endowment of the Humanities, respectively.  The government funds their extramural programs through various types of "mechanisms," most commonly, the "grant."  Listed below are the most common types of funding mechanisms from the Federal Government.

- *Grant:*  A form of financial assistance intended to carry out a public purpose.  A grant is used when the sponsor anticipates *no* substantial programmatic involvement with the recipient during the performance of the project and provides the recipient the most flexibility and discretion in how the project is conducted.
- *Cooperative Agreement:*  Similar to a grant, a cooperative agreement is a form of financial assistance.  However, substantial programmatic involvement of, or coordination by, the funding agency is anticipated.
- *Contract:*  A contract is used when the principal purpose is to provide a prescribed service or "good" for the direct benefit or use of the sponsor.

In issuing these awards, the process begins when sponsoring agencies of the Federal Government to transmit public announcements, expressing a specific interest of a sponsoring agency, or a broad program of interest.  The most common types of announcements are listed below:

- *Request for Applications (RFA):*  Announcements that indicate the availability of funds for a research area of specific interest to a sponsor. Generally results in the award of a grant.
- *Request for Proposal (RFP):*  Announcements that specify a topic of research, methods to be used, product to be delivered, and appropriate applicants sought. Generally results in the award of a contract.
- *Broad Agency Announcement (BAA):*  An announcement of a federal agency's general research interests.  Invites proposals, and specifies general terms and conditions for award (e.g., Department of Defense agencies, such as the ARO, ONR, and AFOSR BAA's).

In addition, much of the federal budget moves to the states through formula and block grants.  From there it is up to the states to decide how to allocate those funds.  Applications to various New Jersey State agencies may involve federal "pass-through" funds from their "parent" agency at the federal level.  Indeed, local funding may involve state and federal pass-through funding if the funding has originally come from the Federal Government.

**Private (Non-federal) Opportunities:**  Private sponsorship can be obtained from a variety of sources, including foundations, corporations, associations, voluntary agencies, and community groups.  Philanthropic organizations fund programs that either address their interests or benefit a particular group.

OSP and University Development often confer and consult with each other, as well as the PI/PD of a prospective proposal to a private sponsor, to determine which office is best suited to work with the PI/PD on the proposal.  Factors taken into consideration are the type of sponsor, the nature of the activity (e.g., research, programmatic, instruction, etc.), and the sponsor's requirements, terms, and conditions.

Examples of major types of private organizations include:

- *Foundations:* The funding priorities of private foundations are usually based on the personal philosophies of the founding members.  Foundations generally receive their income from an individual, family, or group of individuals.  An excellent source of information on foundation sponsorship is [Candid](#).

- *Corporations:* Receive contributions from a profit-making entity, such as a corporation, either directly or through a corporate foundation.

- *Associations:* Private grants-giving groups, such as the American Heart Association or American Cancer Society.

- *Community foundations:* Involved in grant-giving within a specific community or region.

- *Direct giving programs:* Philanthropic arms of corporations that donate goods and services for charitable causes.

- *Voluntary agencies:* Private organizations which support charitable programs that are consistent with their overall mission.  The American Red Cross, for example, provides printed materials and staff consultation for health projects in various communities.

- *Community groups:* Local organizations which focus on supporting projects within their communities. Examples of these organizations include churches, Junior Leagues, and civic organizations.

**How to Find Funding**

OSP's Find Funding web page contains links to many federal and state funding opportunities.  These sites are free to the public.  Many agency-specific sites also allow for keyword-based e-mail notification (e.g., NSF, NIH).  In addition, the Grants.gov Subscriptions web page allows for customized RSS feeds and e-mail notification of federal opportunities based on agency selection and other advanced criteria.

**Pivot**

Pivot is a web-based resource that provides the most comprehensive global source of public and private funding opportunities, as well as identifying researcher expertise from within or outside of the University from over 3 million scholarly profiles worldwide.  Pivot is available for anyone on the Montclair network to conduct searches. A user will need to register for an account to access all of Pivot's features and to claim his or her faculty profile.

OSP offers regular training sessions on the use of this powerful and important tool to interested faculty and staff; individual sessions can also be requested.  In addition, a host of training materials, including video tutorials, are available on the "Find Funding" section of OSP's website.

**Grant Resource Center**

OSP's subscription to the [Grant Resource Center](Grant Resource Center) (GRC) is available to all Montclair faculty and staff. Users can log into GRC to search for federal funding opportunities; to sign up for customized searches delivered by email, or one or more of GRC's e-publications.  GRC also holds a repository of successfully funded grant applications across many federal agencies.  Contact OSP to request access to GRC**.**

**Meetings with OSP Pre-Award Staff and Customized Search Requests**

OSP Pre-Award staff are available to meet to discuss your specific interests and assist you in implementing search strategies and identifying potential sponsors.

**OSP Funding Opportunity Listserv**

- **Purpose:** The [OSP Funding Opportunity Listserv](OSP Funding Opportunity Listserv) is used to disseminate funding opportunities of potential interest to the Montclair Research and Sponsored Programs Community.  It is open to all within the Montclair community and users can freely choose to join or unsubscribe at any time.
- **Management:** The listserv is managed by OSP's pre-award team. Once a week, funding opportunities that have been identified as being of potential interest to the Montclair community are identified by OSP staff and sent via the listserv in a well-organized, easy-to-read format. The listserv will archive funding opportunities for twelve months.

**OSP Workshops**

OSP holds workshops on finding funding opportunities both University-wide and college and/or department-specific as requested.  Presentation for broader, University-wide workshops are located on [OSP's website](OSP's website).

**Conferences and Networking**

National, regional, and local funding agency conferences provide an ideal opportunity to interact with agency program staff while learning about emerging trends and priority areas.  When in attendance at such conferences, hopeful proposal submitters are in the best position to discuss their projects with potential funders and to find potential collaborators from outside of their institution.  In addition, these conferences provide an opportunity to discuss with other attendees the nature of their work and from whom they receive funding.

I. **Annual Conferences:**

    a. [National Science Foundation Regional Seminars](#)

    b. [National Institutes of Health Regional Seminars](#)

    c. [National Organization of Research Development Professionals](#)

    d. [Council on Undergraduate Research](#)

    e. [American Association of State Colleges and Universities: Grants Resource Center](#)

II. **List of knowledge goals for attendance:**

    a. Networking with other researchers

    b. Networking with Program Officers representing various programs

    c. Gain insight into a wide range of current issues, including:

        i. the state of current funding,

        ii. new and current policies and procedures,

        iii. pertinent administrative issues,

        iv. new programs and initiatives,

        v. the merit review process, and

        vi. cross-disciplinary and special interest programs

**Searching Abstracts, Award Databases, and Publications**

To get a sense of what specific types of projects and/or programs a particular funding agency or foundation is interested in supporting, an applicant should look through agency/foundation abstracts, award databases, and published articles in their field.  This type of research can provide valuable information about the typical award size, project scope, and institution type that sponsors the award.  Additionally, an applicant can secure the names of researchers who have been successful in winning awards, so they can reach out to such researchers personally or use such research as the basis of their work, or as a reference in their proposal.  Finally, searching abstracts, award databases, and publications can identify funders who have supported research similar to that of the interested applicant.  Also, keep in mind that many researchers with successfully funded grants are willing to share their proposals upon request (removing sensitive financial, confidential, and/or proprietary information).  Alternatively, researchers can request a specific proposal directly from a federal agency under the [Freedom of Information Act ](#)(F.O.I.A.).

**Targeted Funding Opportunities**

- **Funding Opportunities Specific to Young Researchers/Investigators:** Many new faculty/young investigators may be eligible to apply for a variety of "Young Investigator Awards."  The most popular is the very prestigious [NSF CAREER award](#).  A short list of similar types of [Young Investigator Awards](#) can be found on OSP's website.

- **Funding Opportunities for Equipment Acquisition, Development, and Facilities Improvement:** A list of Federal [Equipment, Instrument Acquisition, and Facilities Improvement Funding Opportunities](#) is posted on OSP's website.

- **Opportunities for Graduate and Undergraduate Student Fellowships and Scholarships:** While many [Graduate and Undergraduate External Funding Opportunities](#) are submitted individually by the student applicant, a comprehensive list of external fellowships and scholarships are provided on OSP's website.  The Graduate Fellowship brochure also provides a list of resources the interested graduate (or prospective graduate) student can look to in searching for funding opportunities.

- OSP welcomes any questions Montclair students may have on these opportunities.  Where institutional support and endorsement are necessary (e.g., NIH Ruth Kirschstein Fellowship, NASA Graduate Student Research Program), OSP will work with students and their faculty advisors/mentors to ensure a successful submission.

- **Hispanic Serving Institutions:** In 2016, Montclair State University joined the U.S. Department of Education's list of eligible Hispanic Serving Institutions (HSIs).  This designation opens up new areas of funding opportunity for the University in Science, Technology, Engineering and Mathematics ("STEM") and many other educational programs.  For example, the [Developing Hispanic Serving Institutions](#) Title V program provides grants to assist HSIs to expand educational opportunities for, and improve the attainment of, Hispanic students.  Funds may be used for activities such as scientific or laboratory equipment for teaching; construction or renovation of instructional facilities; faculty development; purchase of educational materials; academic tutoring or counseling programs; funds and administrative management; joint use of facilities; endowment funds; distance learning academic instruction; teacher education; and student support services.  This and other Title V programs can be found on the [U.S. Department of Education's](#) website.  Also, keep in mind that other federal agencies may from time to time announce targeted funding opportunities for minority-serving institutions.  OSP will announce these opportunities to the Montclair community via its bi-weekly listserv mailing.

- **Non-Land Grant College of Agriculture**

  Through the U.S. Department of Agriculture's "National Institute of Food and Agriculture," Montclair State University may apply to [the Capacity Building Grants for Non-Land Grant Colleges of Agriculture Program](#) (NLGCA).  The purpose of this program is to assist the NLGCA Institutions in maintaining and expanding their capacity to conduct education, research, and outreach activities relating to agriculture, renewable resources, and other similar disciplines. NLGCA Institutions may use the funds to maintain and expand capacity.

**College Specific Agencies/Sponsors: Some Suggested Places to Look**

I.  **College of Science and Mathematics (CSAM)**

   a.  [National Science Foundation (NSF)](#): Search engines and an e-mail notification system that allows the end-user to customize searches (notification when matches arise).

   b.  [National Institutes of Health: Office of Extramural Research (OER)](#): Funding Opportunities and Notices Search Engine

   c.  [Department of Energy (DOE): Office of Science](#)

   d.  [United States Department of Agriculture NIFA](#)

   e.  [Environmental Protection Agency](#)

   f.  [NJ Dept of Environmental Protection](#)

   g.  [NJ Water Research  Institute at Rutgers](#) (NJWRRI)

   h.  Department of Defense (DOD) Broad Agency Announcements

      i.  [ONR](#)  (Office of Naval Research)

      ii.  [AFOSR](#) (Air Force Office of Scientific Research)

      iii.  [ARL](#) (Army Research Laboratory)

      iv.  [DARPA](#) (Defense Advanced Research Projects Agency)

II.  **College of Education and Engaged Learning (CEEL):** Agency sites such as NSF, NIH, and…

   a.  [US Department of Education](#)

   b.  [New Jersey Department of Education](#)

   c.  [Institute of Education Sciences (IES)](#): Supports research that contributes to school readiness and improved academic achievement for all students, particularly those whose education prospects are hindered by inadequate education services and conditions.

d. [Spencer Foundation](): The Foundation's research grants are organized under four areas of inquiry that identify broad topics they believe have fundamental and abiding importance for educational improvement.

III. **College for Community Health (CCHL)**

   a. [National Institutes of Health: Office of Extramural Research (OER)](): Funding Opportunities and Notices, Search Engine

   b. [Center for Disease Control and Prevention (CDC)]() : grants and cooperative agreements to fund research and non-research public health programs.

   c. [Robert Wood Johnson Foundation](): Grants and grant programs that inspire bold ideas, encourage creative solutions, and demonstrate transformative potential. Identifying new approaches that would bring about meaningful change, and to broaden the discussion about health equity.

   d. [New Jersey Department of Health: ]() comprehensive listing of grant funds expected to be available from the Department of Health.

IV. **College of Humanities and Social Sciences:** Agency sites such as NSF, NIH, DOD, and…

   a. [National Endowment for the Humanities (NEH):]() An independent grant-making agency of the US government dedicated to supporting research, education, preservation, and public programs in the humanities.

   b. [New Jersey Council for the Humanities (NJCH)](): Serves the people of New Jersey by supporting projects that explore and interpret the human experience, foster cross-cultural understanding, and engage people in dialogue about matters of individual choice and public responsibility.

   c. [New Jersey Historical Commission](): Dedicated to the advancement of public knowledge and preservation of New Jersey history.

V. **College of the Arts:** Agency sites such as [NEA](), NEH, and the [New Jersey Humanities Council (NJHC)](), [New Jersey State Council on the Arts (NJSCA)](), and…

   a. [Art Opportunities Monthly](): Lists of competitions, fellowships, residencies, etc.  Subscription is $250/year.

   b. [Artist Help Network](): Designed to help artists take control of their careers, and lists grants, funding opportunities, and residencies.

   c. [Women's Studio Workshop](): Offers a variety of grants, fellowships, and residency opportunities

for artists working in printmaking, papermaking, book arts, and ceramics.

**VI. Feliciano School of Business:** Agency sites such as NSF, DOE, and…

   a. [National Institutes of Health](#)

   b. [Department of Education Business In International Education](#)

   c. [Agency for Healthcare Research and Quality](#)

   d. [Alfred P. Sloan Foundation](#): A philanthropic, not-for-profit institution based in New York City making grants in support of original research and education in science, technology, engineering, mathematics, and economic performance.

**VII. School of Communication and Media**

   a. [NEH (Media Production and Development Grants)](#)

   b.  [NSF (Science of Organizations)](#)

   c. [Alfred P. Sloan Foundation](#)

   d. [Knight Foundation](#)

**Determination of Eligibility**

Before embarking on a proposal, any potential funding opportunity of interest must be closely reviewed to determine feasibility and eligibility. After reviewing a funding opportunity announcement, if you have any questions on whether or not you (or the University) are eligible to apply for a particular opportunity, please contact OSP. Some points to closely consider:

> *Be sure to determine individual and institutional eligibility before you get started on your proposal!*

- Status: Is the opportunity still active? Is meeting the deadline reasonable?

- Organizational Eligibility: Is the University eligible to submit?

- Individual eligibility: Are you eligible to submit?

- Feasibility: Can you complete the project in the available timeframe and suggested budget guidelines? Are necessary institutional resources available?

- Proposal Limited: Are the number of submissions per institution limited?

- Cost-Sharing: Is there mandated or implied cost-sharing? (Approval from the Deans, Department Heads, Provost, etc., may be required before dissemination.)

- Resources: Will this activity require the use of additional university resources, space, and/or renovation?
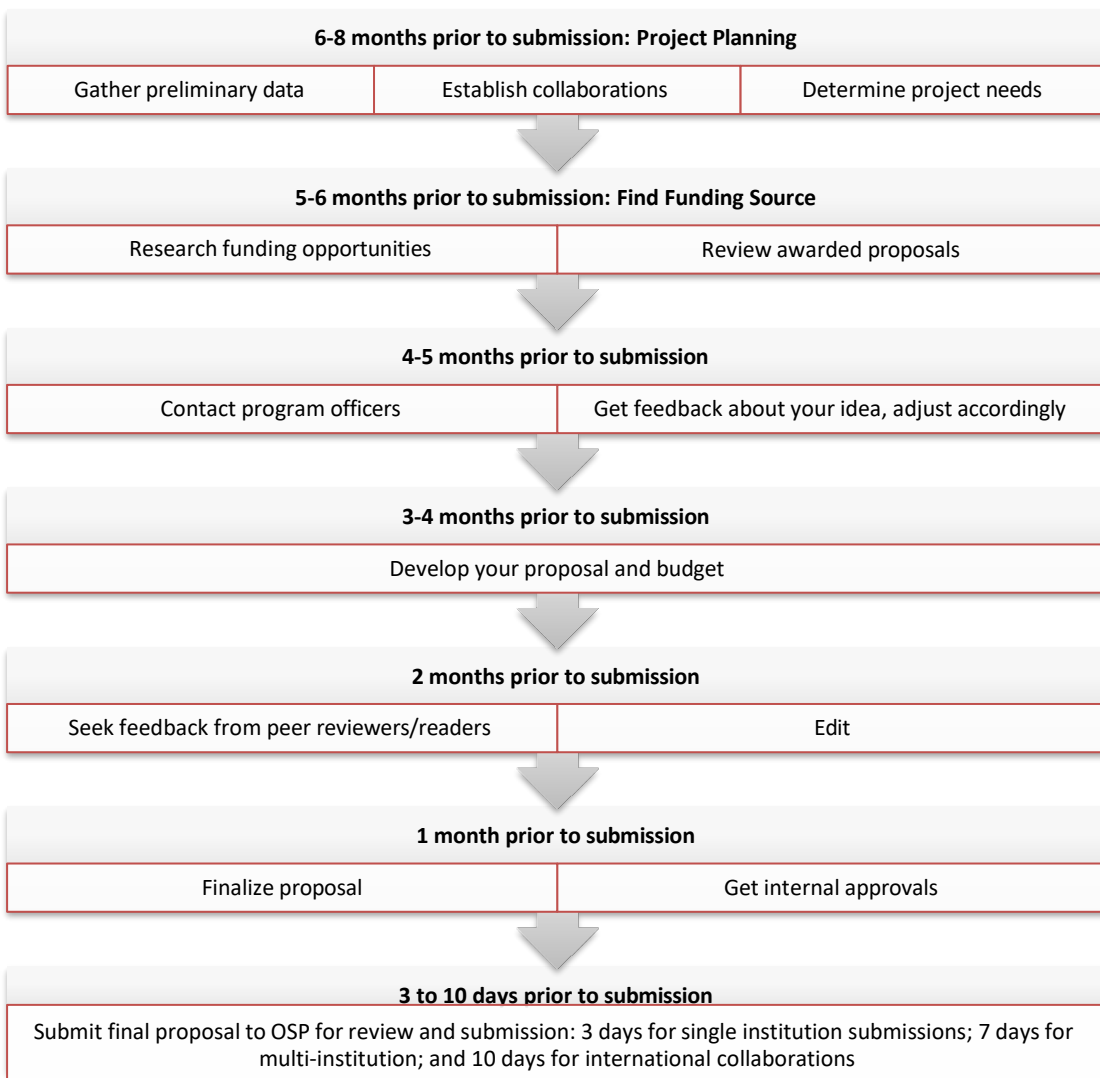
# Chapter 2: Proposal Development

**Proposal Development Timetable**

Below is a graphic representation of the proposal development process.  Most proposals take months to prepare; give yourself and others involved ample time to prepare, review, and provide feedback, to ensure the submission of a high-quality competitive proposal.

| 6-8 months prior to submission: Project Planning | | |
|---|---|---|
| Gather preliminary data | Establish collaborations | Determine project needs |

| 5-6 months prior to submission: Find Funding Source | |
|---|---|
| Research funding opportunities | Review awarded proposals |

| 4-5 months prior to submission | |
|---|---|
| Contact program officers | Get feedback about your idea, adjust accordingly |

| 3-4 months prior to submission |
|---|
| Develop your proposal and budget |

| 2 months prior to submission | |
|---|---|
| Seek feedback from peer reviewers/readers | Edit |

| 1 month prior to submission | |
|---|---|
| Finalize proposal | Get internal approvals |

| 3 to 10 days prior to submission |
|---|
| Submit final proposal to OSP for review and submission: 3 days for single institution submissions; 7 days for multi-institution; and 10 days for international collaborations |

Applicants are strongly encouraged to notify OSP Pre-Award Staff as soon as they are reasonably certain that they will be submitting a proposal to an external sponsor.  Proposals involving more than one institution or international collaborations often take additional time to coordinate.  The following is suggested as a guide for advance notice to OSP:

- 2 weeks or more advance notice for single institution submission
- 4 weeks or more advance notice for multiple institution submission
- 6 weeks or more for advance notice for international collaboration

**Proposal Types**

- **Letter of Intent:** Submitted by Principal Investigator/Project Director (PI/PD) or OSP to the funding agency indicating intent to submit a full proposal in the future, typically to enable the funding agency to prepare their resources in advance of the full submission round.  A "binding" LOI may lead to a full proposal submission upon invitation.  Guidelines on writing a well-thought-out letter of intent can be found on OSP's website under "Proposal Development Resources."

- **White Paper:** Less formal than a preliminary or full proposal, a White Paper is most often submitted by the PI/PD directly to the funding agency.  Typically, a two-to-five page document describing a research hypothesis.  Discussions with an agency program officer may result in an invitation to submit a full proposal.

- **Pre-Proposal (also Preliminary Proposal, Pre-Application):** Solicited or unsolicited, a brief presentation by the PI of goals, methods, personnel, and overall budget submitted to a funding agency.  Pre-proposals are used by funding agencies to determine the eligibility of the applicant and the suitability of the proposed project for support.

- **Full Proposal**: A complete application package for funding, it includes all attachments and representations, and certifications by OSP attesting to adherence to federal/state and Montclair policies. OSP typically submits proposals on behalf of University faculty and staff.  Proposals may be classified as follows:
  - *New:* A proposal not previously submitted to a sponsor.
  - *Renewal/Competing Renewal:* A proposal based on previously funded work for consideration by the sponsor for renewed funding.
  - *Resubmission:* A proposal that is based on a previously not-funded application, resubmitted for consideration by the sponsor.

- *Non-competing Continuation:* A proposal submitted to a sponsor for expected, continued funding (e.g., Year 2 funding of a five-year grant).
- *Supplement:* A proposal for supplemental support on an active award (e.g., NSF Research Experience for Undergraduates, or "REU," stipend support).

**Process for Limited Submission Opportunities (LSO's)**

Certain agencies and program announcements limit the number of proposal submissions from a given institution.  (An example of this is the NSF's Major Research Instrumentation (MRI) grant, which limits the number of submissions per institution to three.)  Submitting proposals in excess of the sponsor limitation may result in the automatic rejection of all proposals from the University.  OSP's guidance document for limited submission opportunities outlines the process and procedure for expressing interest and applying internally for a limited submission opportunity. A schedule of limited submission opportunities and a guidance document for the Proposal Limitation Process are provided on OSP's InfoReady website. OSP utilizes this class-leading user-intuitive system called InfoReady to manage its internal competitions, to include limited submission opportunities.

**Contact with Funding Agency (Program Officers)**

Building a relationship with a sponsor is one of the best ways to submit competitive proposals, and to stay on top of funding trends at agencies.  Program officers are in the best position to tell you if a particular research/program idea is a "good fit" for their program.  They may, in turn, suggest other programs and/or agencies that might be better suited for a particular project.

I. Consider sending a short e-mail to a potential sponsor.  The e-mail should be very clearly written, and succinct—a paragraph or two summarizing the proposed research/project and requesting feedback.
II. Meeting in person is ideal, but not always feasible.  Ask if the program officer is willing to schedule a phone meeting to discuss your project in greater detail.
III. Prepare yourself for the phone call, with details on your project, facilities at Montclair, and any other questions about the funding opportunity you may have for the sponsor.
IV. A short, informational article with helpful "tips" on how to approach a program officer is located in the "News" section of OSP's website, Volume 1 Issue 1 of "Windows of Opportunity."

**Application Guidelines/RFPs/RFA's**

Proposal format is determined by the sponsor's guidelines which can vary significantly from sponsor to sponsor and program to program. For example, some sponsors may place a limit on the number of words contained in the project abstract, or include strict limitations on font size and margins. In an era of increased numbers of applications for limited funding, there is little margin for error. Applicants should download the online version or print a copy of the application guidelines from the sponsor. **The application and sponsor guidelines should be very carefully read and then *re-read* as the success of a particular application will depend in large part on following the sponsor's programmatic and formatting guidelines.**

Most federal and state agencies, and many private agencies, in addition to their general funding areas, solicit proposals in predetermined areas of need through the publication of Requests for Proposals (RFPs) or similarly named documents (e.g., RFAs). The RFP requirements normally take precedence over the generic requirements for a funding agency; often, both must be followed. These guidelines must be followed precisely. Most agencies will not even consider a proposal that is incomplete, out of compliance, or late.

In addition to basic proposal content and format instructions, most RFPs include a section outlining the criteria that will be followed by reviewers. To ensure a competitive proposal, carefully review and respond to every item in the review criteria section of a proposal preparation guide. This will help you to target your proposal directly to the concerns of the reviewers.

- **Links to common funders' general guidelines:** NSF Guidelines; NIH Guidelines
- **Solicited vs. unsolicited:** A solicited request is a funding announcement seeking proposals for a very specific purpose. Unsolicited proposals typically fall within the general priorities of a funding agency, though not for a specific purpose. They are broadly related to a priority area, but the agency is not soliciting for a specific project they already have in mind.

**Typical Proposal Components**

While each sponsor's guidelines vary—often significantly—some general observations can be made that will help ensure a strong submission:

- **Abstract:** A summary of your proposed project that describes the methodology, objectives, and significance of the project. *Many consider the project abstract to be one of the most important parts of the proposal*—if the abstract is not well-written, interesting, creative, innovative, etc., the reviewer may not feel compelled to read the full proposal.

- **Project Narrative:** The project narrative is often page-limited. It should be well written, organized, and easy to read. The project narrative typically includes the following components: introduction/statement of need; statement of project objectives, methodology, evaluation, and data dissemination. Tables, charts, graphics, and timelines are an excellent way to organize and present information and may also be included, sponsor permitting. Boilerplate narratives specific to departments and colleges at the University can be found on OSP's website.

- **Bibliography:** Here the applicant may cite his or her publications, but also demonstrate to the reviewer that he or she is up-to-date with the latest, most advanced research on the topic. (Keep in mind that the reviewers indeed may be among those whom you cite!)

- **Facilities, Equipment, and Other Resources:** Typically, a description of the resources (physical and human) that either you or the University have at your disposal to carry out the project and can "leverage" to make your proposal more attractive to the sponsor. Some examples include space, library, facilities, human capital, and/or particular institutional strengths or programs that can be brought to bear on a project. OSP can provide boilerplate material in some circumstances.

- **Biographical Sketch:** Must be provided in sponsor format. (Reviewers like consistency—do not stray from the sponsor's format or provide additional information that is not requested!). SciENcv is widely adopted by federal agencies such as the NSF as the standardized, accepted format for the biographical sketch. Training materials for SciENcv are found on OSP's website.

- **Current and Pending Support:** Includes all active support of one's research or other programs, and all pending applications, whether federal or non-federal. OSP can provide a template upon request. Sponsors will often use this section to determine if an applicant has existing or pending funds in support of the proposed research, or has sufficient time available to devote to the project. SciENcv is increasingly adopted by federal agencies such as the NSF and NIH as the standardized, accepted

format for the current and pending support.  Training materials for SciENcv are found on OSP's website.

- **Dissemination/Data Management Plan:** Increasingly, sponsors are requiring assurance that the data and findings that result from a project will be made freely available to the public.  As a result of this requirement, the university utilizes a platform called Digital Commons.  This platform is designed to preserve, showcase and archive the creative and scholarly achievements of the Montclair State University community, including research data.

- **Budget:** The "fiscal expression" of your project.  Budgets should be reasonable and carefully considered within the scope of the project you are proposing.  Applicants should be careful not to "pad" a budget—reviewers in the field generally know what it takes to do the work.  Conversely, budgets that are too low for the scope of work you are planning may be viewed as unrealistic.

- **Budget Narrative:** A written narrative of your budget request that explains why each item of cost is necessary to carry out your project.  This may be particularly important, for example, where equipment is requested, or travel is required to carry out your project.

Excellent templates and guidelines for budgeting your project are found on OSP's "Proposal Submission" web page.

**Budget Development**

I.  **Summary of Federal Cost Principles and Allowability:** Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, or the "Uniform Guidance," are regulated by the Federal Office of Management and Budget (OMB), and sets forth the principles for determining the allowability of costs applicable to research and development, training, and other sponsored activities performed by colleges and universities under grants, contracts, and other agreements with the Federal Government.  These agreements are referred to as sponsored agreements.  The rules of allowability under these principles are:

a.  They must be reasonable; that action which a prudent person would have taken in similar circumstances (e.g., travel at federal domestic and/or foreign per-diem rates are generally deemed "reasonable" on federal grants).

b.  They must be allocable to the sponsored project under consideration (e.g., a purchase of specific materials and lab supplies must be directly allocable to the particular sponsored grant or project being charged).

II. **Factors Affecting Allowability of Costs:** Except where otherwise authorized by statute, costs must meet the following general criteria to be allowable under Federal awards:

a. Be necessary and reasonable for the performance of the federal award and be allocable thereto under these principles.

b. Conform to any limitations or exclusions outlined in these principles or the federal award as to types or amount of cost items.

c. Be consistent with policies and procedures that apply uniformly to both federally-financed and other activities of the non-federal entity.

d. Be accorded consistent treatment. A cost may not be assigned to a federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the federal award as an indirect cost.

e. Be determined per generally accepted accounting principles (GAAP).

f. Not be included as a cost or used to meet cost sharing or matching requirements of any other federally-financed program in either the current or a prior period.

Federal sponsors such as the NSF and NIH have their implementing guidelines under the Uniform Guidance, e.g., the NSF's [Proposal & Award Policies & Procedures Guide](#).

III. **Direct Costs vs. Indirect Costs:** The cost of a sponsored agreement is comprised of the allowable direct costs plus the allocable portion of the Facilities & Administrative Costs (F&A) or Indirect Costs of the institution.

a. *Direct costs:* Costs directly needed to accomplish the specific project (e.g., summer salary, GA assistants, graduate, and undergraduate student workers, fringe benefits, equipment, materials, supplies, travel, external consultants, sub-awards, tuition).

b. *Indirect costs:* Costs that the University incurs to support all research/sponsored program activities on campus (e.g., maintenance of University lab facilities, utilities, University administration, library, sponsored programs).

Montclair's Federally Negotiated Indirect Cost Rate for research and sponsored programs on campus is currently 46% of a project's modified total direct costs. Montclair's off-campus rate of 14.7% may be used more than 50% of the entire project's efforts will be done at an off-campus location.

**Common Examples of Allowable and Unallowable Costs on Federal Grants/Contracts**

| ALLOWABLE | UNALLOWABLE |
|---|---|
| Summer Salary, AY Release/Course Release | Alcoholic beverages |
| GA Stipend, Tuition, UG/Graduate Wages | Advertising (unless recruitment of personnel) |
| Fringe Benefits | General office supplies and General Purpose Equipment |
| Equipment | Local telephone rental |
| Travel | Foreign Travel (unless approved by sponsor) |
| Materials/Supplies | Housing and Personal Living Expenses |
| External Consultants, Subcontractors | Entertainment Costs |

IV. **Effort:** Project personnel may not work more than 100% of their time, nor can they be paid more than 100% of their base salary rate as is specified under Uniform Guidance 2 CFR 200.430.  In other words, the total allocation of time to University teaching, service, research, and other activities (e.g., advising) may not exceed 100%.  Faculty may request reimbursement for academic year release time and compensation for summer salary.

V. **Budget:** The budget should include those costs associated with the successful completion of the project.  It must be as accurate as possible, based on estimated costs.  All grant proposal submissions must be developed using the appropriate OSP Excel budget spreadsheet templates (see Typical Budget Components sidebar on this page for direct link).  These templates include institutional rates and formulas to help develop your budget per federal and University guidelines.

> *Typical Budget Components*
>
> - *Budget Guidelines*
> - *Budget Template without Matching Funds spreadsheet*
> - *Budget Template with Matching Funds spreadsheet*
> - *Budget Justification without Matching Funds*
> - *Budget Justification with Matching Funds*

   a. *Budget Period:* Usually 12 months; one or more budget periods make up the "Project Period" or "Period of Performance."

   b. *Salaries and Wages:* Payment for academic year or summer time allocated to a sponsored project.

      i. Academic Year Release Time: Release time is time away from teaching, service, and/or administrative responsibilities by the University to conduct research or other activities during

the academic year.  Faculty members must receive the approval of their Chair and Dean when applying for release time.  Release time for faculty is usually expressed in terms of percentage of effort and is based on the ten-month academic year.

ii. Course Release: One course release is equal to 12.5% of annual base salary.  All faculty at Montclair are required to teach at least one course in each semester.

iii. Monthly Compensation: This is computed at 8.33% of base salary for 12-month employees and at 10% of base salary for 10-month employees.

iv. Summer Salary: Faculty on a standard 10-month appointment can receive up to 2 months of compensation for sponsored programs each year, or 20% of their academic year base salary.

v. Other Project Personnel: Such as student research assistants, graduate assistants, undergraduate/graduate student workers, and/or other technical personnel may be included in the budget when those costs are directly related to the project.

vi. Project Administration:  Under the Uniform Guidance, in some instances, project administration may be an allowable cost provided such costs are integral to the project and the individuals involved can be specifically identified to the project or activity.  *Such cases must be explicitly stated in the budget and have the prior written approval of the awarding agency.*

c. *Fringe Benefits:* Fringe benefits are direct costs associated with salaries and wages and include: FICA (Social Security); retirement; insurance for medical, dental, life, unemployment insurance, long-term disability, and employee liability coverage; and worker's compensation.  Montclair adheres to the following fringe rates:

i. 28.1% for Release-Time/Full-Time Faculty/Staff

ii. 14.8% for Post-Doctoral Researchers

iii. 9.2%  for Part-Time/Summer Salary

iv. 1.1% % for Student Assistants

d. *Travel:* All travel attributable to the project should be itemized.  Travel expenses should be subdivided into domestic and foreign travel.  List countries to be visited and dates of travel (if known), and justification for travel.  Domestic per-diem travel rates can be estimated using U.S. General Services Administration (GSA) Rates; foreign per-

> *Montclair Institutional Info*
>
> *This resource provides key information about the University often requested at the time of proposal submission or when partnering with another institution on a collaborative project.*

diem travel rates can be estimated using [State Department Rates](#).

Please note that most government agencies require the use of a domestic carrier for travel both in the U.S. and abroad, except under very specific circumstances. [For more detailed information see the Fly America Act.](#)

e. *Equipment:* Often otherwise defined by a funding agency, for Montclair purposes, capital equipment is defined as a tangible article that has a useful life of more than one year and an acquisition cost of $5,000 or more. Any request for equipment should be clearly justified in the proposal's budget justification. ***At time of proposal preparation, it is strongly recommended that the PI/PD of the proposal identify specific vendors in the proposal application. Additionally, securing federal General Service Administration (GSA) quotes from a university and/or State of NJ approved vendor will help expedite the procurement process upon award.***

f. *Supplies:* Identify all consumable supplies needed for the project. Supplies are defined as items of expendable equipment that do not meet the definition of permanent equipment. These include laboratory supplies, chemicals, books, and computer supplies. Some sponsors will request itemization (Rate x Qty.) for these types of costs. On federal grants, computing devices are treated as supplies, provided their cost is less than $5,000. Computing devices are those devices "that acquire, store, analyze, process, and publish data and other information electronically, including accessories (or 'peripherals') for printing, transmitting and receiving, or storing electronic information."

g. *Publication Costs:* If a publication is one of the expected results of the project, a brief synopsis of the expected publication content and its costs should be detailed.

h. *Facilities and Administrative (F&A) Costs:* Also known as Indirect Costs are those expenses related to research that cannot be easily identified with a particular sponsored project, instructional activity, or any other institutional activity. These costs are classified under two broad categories:

i. Facilities (depreciation and use allowances, equipment, operation and maintenance, and library expenses), and ii.Administrative (general, sponsored projects, departmental, and school administration, and student administration and services)

F&A is normally an element of every proposal budget unless it is disallowed by the sponsor. Montclair's federally negotiated F&A rate is 46% of modified total direct costs (on-campus), and 14.7% of modified total direct costs (off-campus). Off-campus proposals include those activities where it can be justifiably and accurately stated that more than 50% of the project's activities will

be in facilities and locations off-campus

**Multi Institution Collaborations:**

Multi-institutional, multi-disciplinary collaborations are increasingly prevalent as research becomes more complex and solutions require multi-disciplinary approaches.  As a result, sponsors are finding these types of efforts desirable and are issuing an increasing number of RFPs that specifically calls for multi- disciplinary efforts.

When collaborating with other individuals or institutions, the nature of the collaboration should be predetermined and identified in the proposal.  Collaborators meeting generally accepted criteria

(see below) can be appropriately identified as either a subaward or contractor/vendor.  (Keep in mind that for this handbook, the terms "subawardee," "subcontractor," and "sub-recipient" are used interchangeably, although in a technical sense they mean slightly different things.)

**Subcontractor:** Subcontractors may have some or all of the following characteristics:

- Performance is measured against meeting the overall objectives of the program.
- Has responsibility for administrative and technical/programmatic decisions.
- Utilizes the resources (both human and physical) of their institutions/organizations.
- Provides ongoing intellectual contributions for the life of the program.
- Assists the primary investigator/project director of the lead institution in annual and final technical reporting.
- Responsible for applicable program compliance requirements.
- May share in potential patentable or copyrightable technology to be created through the project; entity has the responsibility to protect technology.

Upon award, the subcontractor will be issued a "subcontract" or "subaward" depending on whether the prime award is in the form of a "contract" or "grant."  In most cases, the prime sponsor's requirements "flow down" to the subcontractor.  Many federal terms and conditions that apply to the lead institution apply to the subcontractor.  For example, the NSF's Responsible Conduct of Research and Federal mandated Financial Conflict of Interest tracking requires flow-down to the subcontractor.

**Vendors:** Vendors (also often referred to as consultants and in this handbook, the terms may be used interchangeably) may have one or more of the following characteristics:

- Provide a particular service, or set of services as part of their routine professional activity and/or

business operation.

- Provide a similar service to other individuals/institutions.
- Operate in a competitive environment (compete with others who can provide a similar service).
- Provides goods or services that are ancillary to the operation of a program

Vendors are independently responsible for providing ancillary services in support of the project and are not responsible for the overall research management and direction of the project. As such, the primary sponsor's terms and conditions, and compliance requirements do not typically flow down to vendors. **Vendors operate independently and are *not* Montclair employees.** Vendors are generally "works for hire," and typically not provided rights to copyright and/or inventions that might result from the project's activities.

A helpful tool in making the "Subawardee/Subcontractor vs. Vendor" determination can be found on OSP's website. As always, if you have further questions, please contact OSP's pre-award team.

**Establishing a Subcontractor and/or Contractor/Vendor at the Proposal Development Stage**

I.   **If Montclair is the lead institution (with one or more subcontractor(s):** If Montclair is the lead on a collaborative submission that will include one or more subcontractors, the PI/PD should provide the names of their collaborators, their role in the project, and their contact information to OSP as soon as possible in the proposal development stage so that OSP can coordinate its efforts with their respective counterparts at each institution.

Each Subcontracting Organization/Entity *must include the following* to Montclair Pre-Award staff before submission:

a.   Montclair Subrecipient Commitment Form
b.   Statement of Work: A brief description of the work that the subcontracting entity will perform should the project be funded. It should identify the co-investigator and other senior/key personnel and specify tasks/deliverables expected during the project. It sets the "ground rules" for the relationship and, as such, is a very important document.
c.   Detailed Budget and Budget Justification
d.   Proposal/Project Specific Requirements
e.   Copy of current Indirect Cost Rate Agreement (if applicable)

II. **If Montclair is the subcontractor:** If an external institution is the lead entity on a proposal submission, and Montclair will be the subcontractor, the Montclair faculty member should provide OSP's contact info to the lead collaborating PI/PD. The lead institution's Sponsored Programs office should contact OSP as soon as possible to request proposal materials required for submission. At a minimum (similarly to above), Montclair would provide to the lead institution the following documents:

   a. External entity's Subrecipient Monitoring Form (if applicable) or Letter of Commitment signed by Montclair's Authorized Official.

   b. Statement of Work: A brief description of the work that Montclair will perform should the project be

   funded. It should identify the Montclair co-investigator and other senior/key personnel and specify tasks/deliverables expected during the project.

   c. Detailed Budget and Budget Justification

   d. Proposal/Project Specific Requirements

   e. Copy of Montclair's current Indirect Cost Rate Agreement (if applicable)

III. **Vendors:** Contractors, consultants or business vendors should provide Montclair a "consulting letter," or "quote for services" which broadly details the nature of the services being provided to the project and the expected unit cost (e.g., hourly rate) and quantity (e.g., number of hours). (Vendors/contractors typically will provide their standard consulting rates and the number of hours they expect to work on the project. Vendors may provide a quote for services.)

**Cost-Sharing**

I. **Definition:** Federal [Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#) defines *cost-sharing or matching* as that portion of project costs not paid by Federal funds (unless otherwise authorized by Federal statute). It includes both cash and in-kind contributions that a recipient makes to an award:

   a. *Cash contributions:* The recipient's cash outlay, including the outlay of cash contributed to the recipient by third parties.

   b. *In-kind contributions:* Non-cash contributions in the form of committed effort, real property, equipment, supplies, and other expendable property, and the value of goods and services benefitting and specifically identifiable to the project or program.

The Uniform Guidance makes no distinction between cost-sharing and matching.  However, matching usually refers to the specific ratio between the amount of the award and the amount committed by the recipient, such as a dollar-for-dollar match (1:1).  Cost-sharing is a more general term and is used in this document to refer to both cost-sharing and matching.  Cost-sharing is:

- **Mandatory** if it is required by the sponsor as a condition of the award.
- **Voluntary** if it is offered by the institution when no mandatory cost-sharing requirements exist or is in excess of mandatory cost-sharing requirements.

Cost-sharing occurs when a portion of the total cost of a sponsored project is borne by the University rather than the sponsor.  Whether cost-sharing is mandated by the sponsor or volunteered by the recipient, the cost-sharing becomes a University commitment and **represents a legal, binding obligation of the University once the award has been granted**.  Under the [Uniform Guidance, Subpart D (§200.306)](#) (effective 12/26/2014), voluntary committed cost-sharing is not expected.  In addition, 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 voluntarily 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.  **In no circumstances will a previously committed match on an active award be permitted without prior approval from the sponsor.** Cost-share/match on a previously submitted proposal should not be committed on a separate proposal until the outcome of the original proposal is determined.

II.    **Cost-Sharing Approval:** Montclair State University limits cost-sharing to that which is mandated by the sponsor.  In some instances of voluntary cost-sharing, the University may determine that cost-sharing may be an implied mandate by a private non-federal sponsor necessary to the project's funding outcome.  Where cost-sharing is not required by the sponsor or necessary to ensure the competitiveness of a proposal, PIs and departments should refrain from making such commitments voluntarily.

All proposed mandatory and voluntary commitments of cost-sharing arrangements must be discussed and approved by the responsible Departmental Fiscal Agent, Chair, and Dean in [CAYUSE SP](#) before the proposal is submitted to OSP.  Before considering University cost-share on a sponsored proposal/project:

a. the PI should confer with the Chair and/or Dean regarding a cost-share strategy to meet the sponsor's requirements;

b. the PI, Chair, and/or Dean may wish to contact OSP to discuss the specifics of the proposal and to determine the sources of funds to meet this requirement; and

c. *All cost-sharing commitments must be indicated in the Institutional Processing Form (IPF) in CAYUSE SP and approved by the departmental fiscal agent/manager in [CAYUSE SP](#) before submission. Training materials for completing the cost-share section in CAYUSE SP are provided on [OSP's website](#).*

Committed cost-sharing (quantifiable cost-sharing included in any part of a submitted proposal) creates a legal, binding obligation by the University and must be treated similarly to any direct or indirect expenses, whether paid for by the sponsor or cost-shared by the University. Cost-sharing of direct expenditures represents a commitment of departmental, program, or University resources to support a sponsored project or program.

III. **Source of Funds:** The PI is responsible for identifying all sources of funds for cost-sharing of direct costs. The PI may *not* utilize funds from an existing federal award as the source of cost-sharing, except as authorized by statute. Cost-sharing is typically funded by a donation of academic year time/effort, associated fringe benefits, or other department-designated funds. Cost-sharing may also include indirect costs associated with the identified direct costs if the sponsor allows indirect costs to be included as cost-sharing.

IV. **Allowable Cost-Sharing Expenditures on Federal Awards:** Cost-sharing expenditures must satisfy all of the following criteria:

a. Verifiable from the official University records;

b. Not previously used as cost-sharing for another project (the same cost-sharing expenditures cannot be used for multiple projects);

c. Necessary and reasonable for proper and efficient accomplishment of the project;

d. Allowable under the terms of the award (e.g., in compliance with the [Uniform Guidance, Subpart E (§200.403) Factors affecting allowability of costs](#).

e. Incurred during the effective dates of the grant or during the pre-award phase when authorized by the sponsor; and

f. Not paid by the Federal Government under another award.

V.  **Unallowable Cost-Sharing Expenditures on Federal Awards:** The following expenditures cannot be offered as cost-sharing commitments in sponsored project proposals:

a.  Costs considered unallowable by the sponsor;

b.  Costs considered unallowable under the [Uniform Guidance, Subpart E (§200.420) Considerations for Selected Items of Cost](#);

c.  Salary amounts exceeding a regulatory salary cap (e.g., National Institutes of Health);

d.  University facilities such as laboratory space.  PIs should not commit the use of facilities as cost-sharing, but rather characterize the facilities as "available for the performance of the sponsored agreement at no direct cost to the project."

# Chapter 3: Proposal Review and Submission

All proposals must be received, along with a completed, routed, certified, and approved Institutional Processing Form (IPF) in CAYUSE SP **per OSP's** Proposal Submission Policy.  The IPF is required before proposals can be submitted.

OSP's Pre-Award team will review the entire proposal to ensure compliance with the program guidelines, federal/state regulations, and University policies.  OSP will provide feedback regarding required edits, as well as suggestions to make your proposal more competitive.  Keep in mind that OSP will be in a much better position to provide you with more thorough feedback and analysis of your proposal if you submit your final proposal well in advance of the deadline.  When roposals are received outside of OSP's proposal deadline policy, OSP cannot guarantee approval and/or submission of the proposal, and that proposal will undergo a limited review.

The Director of OSP is Montclair's Authorized Institutional Official and approves all proposal submissions through the Office of Sponsored Programs.  In many cases, the Director of OSP will delegate the final electronic signatory on a

**Authorized Institutional Official:**
*Frederic J. Russo*
Director, Office of Sponsored Programs
Montclair State University
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**Financial Official:**
*Christine Singh*
Director, Office of Grant Accounting
Montclair State University
1 Normal Ave, NURS 432
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Phone: (973) 655-3627
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proposal submission to a Senior Pre-Award staff member.

**OSP Proposal Submission Policy**

**All proposals through the Office of Sponsored Programs are required to be submitted in accordance with the following guidelines:**

To provide the highest quality service, the OSP has revised its internal proposal submission deadline policy. Adherence to this policy will help to ensure that each proposal is carefully reviewed for accuracy, completeness, and compliance with sponsor guidelines and university policies. Additionally, the revised deadlines are in place to mitigate the negative impacts on other faculty and staff as a result of OSP pre-award staff having to pivot to address late/last-minute proposal submissions.

**STEP ONE: Advance Notice Requirements – The following are OSP's expectations for advance notice by the PI/PD to OSP of a pending proposal to an external sponsor:**
● A minimum of ten (10) business days advance notice prior to the sponsor deadline for single institution submissions (Montclair only).
● A minimum of fifteen (15) business days advance notice prior to the sponsor deadline for multi-institution submissions (Montclair as lead, with one or more collaborating institutions).

**Applicants are required to begin the Institutional Processing Form (IPF) in CAYUSE SP in order to be assigned an OSP Pre-Award Specialist**

**STEP TWO: Internal Proposal Application Review and Approval Deadlines –** Applicants MUST provide their assigned OSP Pre-Award Specialist with FINAL DRAFTS of all required proposal application sections (including all budget documents and attachments) a minimum of three (3) business days prior to the sponsor deadline in order to conduct a full review of the proposal. Montclair faculty and staff may continue to perfect their proposal abstract/summary and narrative, however, the administrative components of the proposal—e.g., budget, budget justification, bio-sketch, current/pending support, subcontractor documentation etc., must be in final draft format (in particular, the project budget as changes in the project budget very often impact other proposal sections).

*Workload and staffing levels considered, OSP will not be able to guarantee the review, approval and/or submission of any proposal application out of compliance with this internal deadline policy. Additionally, proposals that are received outside of the deadline policy will not receive a full review. They will receive a limited review for compliance with institutional policies and guideline*

*Finally, proposals must be fully routed and approved in CAYUSE SP prior to submission.*

OSP's review of proposals consists of much more than a budgetary review. Many sponsors prescribe extremely specific content and formatting requirements that in some cases, if not followed, may result in a proposal being returned without review. The above guidelines are in place to prevent that

occurrence and as noted, assist proposal applicants in submitting a complaint, high-quality proposal.OSP thanks you for your cooperation and we look forward to working with you on your submission!

**Montclair's CAYUSE Research Suite  and Electronic Proposal Submissions**

These days, sponsors rarely request "paper" copies of a proposal-this has become all but non-existent Most federal and non-federal proposals are electronically submitted. Federal submissions, for example, through the Grants.gov website.  The National Science Foundation's ***Research.gov***  is one exception.

Montclair subscribes to the Cayuse 424 electronic proposal development and submission system, which provides support for over 99% of Grants.gov funding opportunities. This cloud-based service can be accessed through any web browser and offers a user-friendly interface and advanced features, such as a real-time validation engine that highlights possible errors. ***At this time, OSP requires the use of Cayuse 424 for the submission of all federal proposals to Grants.Gov, except for those to the National Science Foundation and other federal sponsors that have their own agency portals such as NASA NSPIRES, or the Department of Justice's JustGrants.***  In addition, all proposals are routed through Cayuse Sponsored Projects (CAYUSE SP) to obtain internal approvals prior to submission, which will be discussed in more detail in the next section. Users can find more information and training materials on Montclair's CAYUSE Research Suite products on the CAYUSE Research Suite website.

While "streamlining" and "standardization" of applications across the many federal agencies has proven to be of great benefit, submission through e-systems is not 100% reliable.  ***For this reason, applicants are strongly encouraged to submit proposals well in advance of the deadline so that any problems can be addressed and the proposal can be resubmitted by OSP to the sponsoring agency.  OSP can submit corrected applications prior to the project deadline.***

 **Institutional Processing Form**

The Montclair State University Institutional Processing Form or "IPF" in CAYUSE SP is a very important document.  It is used to record and document the PI/PD's proposed activities, budget, committed cost-sharing, and other important considerations and/or commitments by the University on a proposed project. It is also used by OSP to track and report data on each proposal submission, and award received in its monthly, quarterly, and annual reporting, and to identify  "special considerations" that may result if the proposal is awarded (e.g., human and/or animal subject use; use of biologically or chemically hazardous materials; export controls).

The PD/PI and Co-PI of each proposal are required to complete, route, and certify the Institutional Processing Form prior to review and approval by their respective approvers, typically department Chairs, Deans, Supervisors, and/or VP's. Minimally, the project summary, draft narrative, budget, and budget justification must be uploaded to the proposal attachment section of the IPF prior to review and approval.  Instructions to include quick start guides and short videos (less than 5 minutes) for completing Montclair's Institutional Processing Form be found on OSP's [CAYUSE Research Suite](#) website, and are updated periodically to reflect changes in the routing form and/or institutional policies and procedures.

**Funding Agency Review**

After submission, many proposals will undergo a peer-review process specific to the funding agency. Typically, applicants will be notified of a funding decision six to nine months from the date of submission. Specific information about the NSF and NIH's peer review process and scoring guidelines can be found here:

I.   **[NSF Merit Review Process](#)**

II.  **[NIH Peer-Review Process](#)**

   a.  *National Institutes of Health "Just-In-Time" Process (JIT):* As part of NIH's peer review process, PIs may be contacted by the NIH requesting additional information about their project and the institution.  OSP will assist you during this process.

      i.   A JIT request will include:

         1.  Other Project Support information: The NIH will request that you list any active and pending support (including the proposal under consideration) and address any technical, scientific, and/or budgetary overlap between the proposal being considered and any active/pending support.

         2.  IRB approval letter (if human subjects are involved).

         3.  IACUC approval (if animals are involved).

         4.  Budget revisions, etc.

**Important:** Other sponsors may request similar information if a proposal is being considered for funding. **The PI/PD should contact OSP as soon as he or she has received such a request.**  Many sponsors have tight timeframes for which they can issue an award.

**Receiving Reviews, Proposal Scoring, Planning Resubmissions**

Unfortunately, there are not enough resources available to fund every worthy proposal submission.  The

funding environment is competitive.  However, most federal agencies and many other sponsors will release reviews of your application following the peer-review process.  For applications that are not funded, it is an opportunity to take advantage of the peer review feedback received and to resubmit your proposal, addressing the points raised during the peer-review process.  Rarely do PIs get an award on their first submission—rather, second and third attempts increase their chances at success.  OSP can go over your review with you and offer suggestions for resubmitting and improving your proposal.  In some cases, you may choose to contact the Program Officer directly for any advice on how your resubmission might be strengthened and/or made more competitive.

# Chapter 4: Award Negotiation and Acceptance

The Office of Sponsored Programs (OSP) supports University faculty and staff in negotiating their federal and non-federal sponsored award agreements, often in consultation with University Counsel.  OSP has the expertise necessary to assist the Principal Investigator/Project Director (PI/PD) in navigating and understanding the often complex terms and conditions of an award, and in responsibly managing the award in compliance with sponsor terms and conditions, and federal and state regulations where applicable.  Grants, Cooperative Agreements, and Contracts Grants, cooperative agreements, and contracts are all externally sponsored "mechanisms" of funding, yet each are unique in how they are negotiated prior to award and administered and carried out upon award.  It is important that the PI/PD notify OSP when they have received initial contact from a sponsor that an award has been recommended for funding so that negotiations can begin in a timely manner.  OSP will assist the PI/PD in ensuring that any changes to the project or budget are in keeping with university policy, and in compliance with federal and state rules and regulations. During the negotiation phase, OSP often consults with many parties, to include the PI/PD, University Counsel, and other administrative and academic units and personnel, to ensure that the PI/PD and University's interests are considered and protected.

> A sponsor may recommend your proposal be funded, but request that you cut your budget.  Any budget cut should be carefully considered in the context of corresponding changes to your scope of work.  NSF policy, for example, requires that a cut of 10% or greater be accompanied by a "change in scope" description that specifies how the budget cut will impact your proposed scope of work.

I.  **Grants:**  Upon indication from a sponsor that a proposal is being considered for funding, there is often a period of time where the sponsoring agency and awardee will negotiate the terms and conditions of the grant agreement.  Where grants are concerned, this negotiation typically amounts to addressing a series of technical or programmatic questions from the review panel and/or program officer, and negotiating adjustments in the proposed budget and corresponding scope of work.  Prior to award, some sponsors will ask for additional documentation to justify costs in the proposed budget, or may require other documentation (e.g., proof of insurance, institutional certifications/representations) in order to proceed.

Grants, in particular, provide the greatest degree of freedom and flexibility in how a project's activities are carried out as the sponsor issuing a grant typically does not have any direct involvement in the research or work to be performed.  For this reason, grants are considered a form of "financial assistance" where the sponsor provides funding based on a previously approved proposal for research or other activity (e.g., instructional, educational).  .  Grants typically benefit a public "good" or purpose. There is no legally binding requirement to achieve certain results Interestingly, most federal grants do not require that the award notice be formally signed by the University's Authorized Official. "Acceptance" is implicit upon acceptance of the award notice without objection, as well as grant set-up and subsequent incurring of expenses and payment is typically cost-reimbursement, and accomplished by "drawdown."

> **If your project involves the use of Human and/or Animal Subjects, the PI/PD should begin work on the IRB and/or IACUC application forms, and contact IRB/IACUC as *soon* as negotiations begin so that the IRB/IACUC will have time to review the application in advance of the expected start date. A fund cannot be set up until IRB/IACUC has approved the protocol or made a determination.**

II.  **Cooperative Agreements:**  Cooperative Agreements are similar to grants in that they both typically represent a form of financial assistance from the sponsor in furtherance of a public good, or purpose. However, under these types of agreements, the sponsor anticipates having substantial involvement in the research or other programmatic activity upon award.

III.  **Contracts:** Contracts, by contrast, are very different than grants or cooperative agreements.  Under a contract agreement, the sponsor typically agrees to pay the contractor a fixed price for the delivery of goods or services of *direct* benefit to the sponsor.  The sponsor typically defines the scope of work (this is almost opposite to that of a grant, where the applicant proposes a scope of work). Clearly

defined "deliverables" are spelled out in the proposal, and a timetable for delivery is usually required. Payment may be based on reaching specific "milestones" or "deliverables." Government procurement contracts can be quite complex.  The terms of U.S. Government contracts are guided by Federal Acquisition Regulation (FAR) which currently occupies nearly two thousand pages!  Federal acquisition contracts from U.S. Department of Defense agencies, in particular, may include terms and conditions that restrict publication and impose export control requirements (among other considerations) that might limit who can work on the project.  OSP works with University Counsel to successfully negotiate and navigate through the complex terms and conditions of a federal, state, or local contract agreement.  Where private and, in particular, industrial or corporate sponsors are concerned, negotiation points typically center on areas to include intellectual property, confidentiality, publication, and payment.  Industry/University agreements can be quite complex and take time to negotiate.  The University/Industry Demonstration Partnership was formed in the mid-2000's to identify issues impacting university-industry (U-I) relations, and to develop new approaches to working together.  There is a wealth of very helpful materials for PI's and administrators on their website to guide universities in negotiating U-I contracts to successful conclusion.

**International Sponsors**

Funding agreements from international sponsors, whether in the form of a grant or contract, can be quite complex.  A host of additional considerations fall into place when these types of relationships are formed. As such, it is very important that a Principal Investigator considering application to, or collaboration with, a foreign entity contact OSP as soon as possible so that appropriate measures can take place to ensure that the PI and University's interests are considered and protected.  Many of the same negotiation points that apply to contracts with domestic public and private entities also apply to international agreements. However, other issues often arise, e.g., governing law and venue, currency exchange, and IRB/IACUC.  As with other types of agreements, OSP consults with the PI/PD and University Counsel where these types of complex terms and conditions apply.

While the end result of any award or contract negotiation cannot be predicted with 100% accuracy, the vast majority of negotiations conclude to the satisfaction of all parties. Favorable outcomes are more likely when potential "red flags," or areas of potential concern, are addressed sooner, rather than later. As always, OSP will be available to help in sorting through the complexities of these issues.

**Notice of Award**

Upon award, sponsors will often issue a "notice of award," "notice of grant agreement," or contract via electronic notification or regular mail. This notice will typically specify the amount of funding being provided in the current year, as well as expected funding in future years. It will also incorporate, or "incorporate by reference," the terms and conditions of the award. It is very important the PI/PD review these terms to become familiar with the sponsor's expectations and requirements in carrying out the project. For example, federal sponsors will often expect annual and final technical reports. The notice of award will also spell out any budgetary or programmatic restriction and specify the circumstances under which any changes in the project require the sponsor's prior approval (e.g., change in key personnel).

**Subcontracts**

Many of the sponsored activities the University carries out involve collaboration with an entity/organization outside Montclair. In some instances, Montclair State University may be the "lead" institution on a collaborative research project with one or more additional partners. Or, alternatively, Montclair may be a "subcontractor," carrying out a significant portion of the work on a multi-institution

> **Subcontractors have a legal, contractual obligation to carry out their portion of the work as described in the proposal or "statement of work."**

collaborative. Either way, the terms and conditions of the prime agreement from the primary funding agency (e.g., NSF) typically "flow down" to the subrecipient regardless of the type of funding mechanism. It is the responsibility of the lead institution to negotiate directly with the primary sponsor, keeping the interests of collaborators in mind and promptly notifying a collaborator if there are significant changes that will impact the subcontractor (e.g., budget cuts).

OSP's Post-Award Officer, often in consultation with OSP's Director and University Counsel, is responsible for managing the subrecipient negotiation process, which is outlined in the next chapter.

# Chapter 5:
# Project Start-Up

**Award Setup**

Upon official receipt of an award, OSP will email the Principal Investigator/Project Director (PI/PD) an award packet that includes the award letter and any other necessary documentation the PI/PD will need to be aware of in reference to his or her award.  At the same time, OSP processes an award setup via Cayuse SP to Grant Accounting, requesting a Workday grant account be created.  Upon receipt and review of the Workday award setup, Grant Accounting will e-mail the PI/PD all pertinent account information (e.g., Worktags) for the grant, at which point the PI/PD can begin to incur expenses on the project.

Some sponsors fund multiple year awards incrementally: that is, they provide for one year of funding at a time rather than providing all the funding "up front."  In such circumstances, OSP will process an award setup only for the specified year and amount.  When subsequent funding is received, at that point OSP will process an award modification to inform Grant Accounting.

In order to effectively manage a grant project, it is essential for the PI/PD to carefully review the policies, terms, conditions, and procedural requirements of the funding agency.  "Award kick-off" meetings with OSP Post-Award staff and the Office of Grant Accounting are *strongly encouraged*, particularly for new investigators and project managers.  This meeting might also include IRB members and other impacted academic/administrative units and/or faculty and staff participating on the newly sponsored project.

**Cost-Sharing**

When an award is received with committed cost-share (quantifiable cost-sharing included in any part of the submitted proposal), PIs/PDs will complete a cost-share commitment form wherein the cost-share is verified and identified through:

- indicating the fund, cost center, and account the cost-share will be funded from, and

- approved by the appropriate Cost Center Manager(s) confirming funds remain available

**Institutional Prior Approval System**

Many federal sponsors allow universities to unilaterally authorize approval to incur pre-award costs up to ninety days in advance of the anticipated start date, provided there is sufficient programmatic justification for starting work early on the project.  Montclair's Institutional Prior Approval policy allows for the following prior approval actions:

- requesting authorization to incur pre-award costs up to 90 days prior to the anticipated start date of the award as sponsor terms and conditions and federal expanded authorities guidelines permit; or
- requesting authorization for creation of an advance fund if award is imminent but delayed beyond the anticipated start date.

Requests for prior approval of "pre-award costs" or requests for "advance funding" are at the grantee's risk, and must be well justified programmatically (and not for mere convenience).  Anticipated costs must be reasonable and allowable.

Requests for prior approval are accompanied by a completed Institutional Prior Approval System (IPAS) form signed by the PI/Project Director, Department Chair, and Dean.  Sufficient supporting documentation from the sponsoring agency/entity of a pending award must be provided along with the sponsor's concurrence of the anticipated/expected start date of the project.  Electronic correspondence (e.g., e-mail) is typically sufficient, and may be attached as supporting documentation to the IPAS form.

Upon completion, the form is forwarded to OSP.  The Director of the Office of Sponsored Programs will review the request for adequacy and completeness and approve the request for processing with the Office of Grant Accounting.  *As with any sponsored project, if the project involves the use of human and/or animal subjects, the PI/PD \*must\* receive IRB and/or IACUC approval prior to an advance fund approval or pre-award authorization.*

If the award does not materialize for any reason, the Provost will confer with the appropriate Dean(s) and/or Department Chair(s) to determine the allocation of incurred costs.  Should the Director of OSP not approve the request, the request may be unilaterally approved by the Dean of the PI's affiliated college.  Should the award not materialize for any reason, the Dean will be responsible for 100% of incurred costs.

**Compliance**

Federal regulations stipulate that institutions applying for federal funds assure the appropriate federal agency that certain conditions and policies are in place at the applicant institution. Federal funding is at risk University-wide if individuals do not comply with these very important assurances.

I. **Institutional Review Board (IRB):** Montclair policy requires that the use of human subjects in research regardless of the source of funds (college funds, gifts, federal, etc.) **must receive IRB approval prior to the PI/PD initiating the research**. The use of human subjects in a research proposal must be reviewed and approved by the IRB. This is accomplished by submission of a human subjects protocol to the IRB. Helpful information about the Institutional Review Board and the IRB process is found on the IRB's web page. The IRB application itself is submitted in the Cayuse IRB proposal.

> *A PI/PD must receive IRB and/or IACUC approval before starting on a project!*

   a. *Award set-up on projects that use human subjects:* In order to ensure timely award set up, it is highly recommended that the PI electronically link his/her Cayuse IRB proposal to the appropriate Cayuse SP Proposal record. OSP must receive a notice of IRB approval before it will submit the award setup to the Office of Grant Accounting. Grant funds cannot be released or any grant work started without IRB approval

   b. *Incentive Payments to Human Subject Participants:* For awards that will be providing incentives (e.g., cash or gift cards) to research subjects, the following procedures must be followed to maintain subject confidentiality while providing for a means to ensure proper use of grant funds.

      i. Process for PI to Obtain Incentives for Distribution to Subjects: The PI will submit a Quick Invoice to request a cash disbursement, attaching a stamped IRB consent form that provides information regarding the incentive payments. The Quick Invoice procedure replaces the check requisition form. Instructions to initiate a Quick Invoice can be found online.

      ii. Tracking Subject Incentive Payments: Each participant receiving incentives will be required to complete a Subject Incentive Payment Receipt (SIPR) at the time of incentive receipt. To maintain confidentiality, the SIPR will contain: the subject ID, date of visit, payment amount, grant account number, and IRB number. SIPRs for individual subjects must be initialed by the subject. The subject ID used on the SIPR should be unique and not identical to the subject ID used for data collected for the research itself.

     iii.  Reconciliation with the Office of Grant Accounting: Incentive payments not disbursed must be properly controlled, tracked, and stored in a locked place (e.g., cash box, cabinet, or safe). Periodically, a reconciliation of the inventory must be conducted. A reconciliation of issued incentives to receipts must be conducted when all incentives have been issued or additional incentives are being requested. The procedure for reconciliation is as follows:

1. PI must complete the Participant Incentive Documentation Form (PID) as certification of the proper use of grant funds.

2. PI will be required to certify, by signing the PID form, as to their responsibility to maintain the SIPR records for a period of no less than seven years to comply with federal and state regulations.

3. PI should arrange to meet with Grant Accounting at the PI's location to reconcile funds, gift cards, or other incentive items to ensure they were disbursed with appropriate documentation. This reconciliation will be done in the presence of the PI. The PI will sign the reconciliation acknowledging the results of review and the receipt of all items intact.

4. Grant Accounting will review the initialed SIPRs to ensure that they adhere to the IRB consent form and reconcile them to the PID.

5. Once Grant Accounting has reviewed and approved all applicable documents, the SIPRs will be returned to the PI and the PID will be held by Grant Accounting for a period no less than seven years to comply with federal and state regulations.

     iv.  Auditing and Recordkeeping: For auditing and reporting purposes, a subject reimbursement log must be created by the PI, completed and kept within the PI's secure study files. This log will contain subject ID numbers, data of visit, and incentive descriptions (amount/type). Financial auditors performing year-end audits should be "cleared" through the VP of Finance and Treasurer's office. Upon clearance, access to the SIPRs, PIDs, and the Subject Reimbursement Log will be provided.

II. **Institutional Animal Care and Use Committee (IACUC):** Montclair has an appointed IACUC to ensure that the University and covered entities are in compliance with the Animal Welfare Regulations and Public Health Service Policy. To this end, every research, testing, and teaching project involving the use of a live vertebrate animal must be reviewed and approved by the IACUC prior to initiation. Further information can be obtained online at the IACUC website. OSP must receive a notice of IACUC approval before it will submit an award setup to the Office of Grant Accounting. Grant funds cannot be released or any grant work started without IACUC approval.

III. **Institutional Biosafety Committee (IBC):** Montclair's appointed IBC reviews research protocols to ensure compliance with the Center for Disease Control/National Institutes for Health guidelines for biosafety and Occupational Safety and Health Administration (OSHA) guidelines for blood borne pathogens in research laboratories. PIs must submit research involving biohazardous materials for review and registration with the IBC. More information can be found at the IBC website. OSP must receive a notice of IBC approval before it will submit an award setup to the Office of Grant Accounting. Grant funds cannot be released or any grant work started without IBC approval.

IV. **Financial Conflict of Interest (FCOI):** Montclair is committed to preserving the public trust and upholding the integrity of the design, conduct, and reporting of its research. This policy promotes objectivity in research by establishing standards to ensure that research performed under federally sponsored grants or cooperative agreements will be free from bias resulting from FCOI.

All Montclair faculty, staff, students, and any other University investigators who are responsible for the design, conduct, and reporting of research funded or proposed for federal funding are required to follow Montclair's FCOI policies and procedures found on OSP's Compliance webpage.

V. **Responsible Conduct of Research:** Effective October 1, 2009, the NSF mandated that all students and post-doctoral fellows supported by NSF funding must receive training in the Responsible Conduct of Research (RCR). Montclair must certify that the institution in its entirety is familiar with applying the procedures for the responsible conduct of research. Faculty who are supervising students working on research grants must be familiar with these procedures in order to ensure that students are applying them. This is the rationale for requiring faculty to participate in RCR training.

*While the Responsible Conduct of Research Training Mandate is specific to NSF, OSP encourages all interested faculty and staff to take advantage of this training.*

All faculty receiving NSF awards (and staff and students) must complete the responsible conduct of research training online module as soon as a grant is awarded to Montclair. When a NSF award is made, OSP will notify the Compliance Administrator.

More information is available at Responsible Conduct of Research (RCR) Training and Certification Requirement. The online CITI Module in Responsible Conduct of Research and directions on how to complete the training can be found on OSP's website.

**VI. Export Control:** Export Controls involves the set of U.S. laws, rules, and regulations that govern the distribution to, or sharing of information, technology, services, and materials with foreign individuals, entities, and/or countries to protect the nation's national security interest. The Provost and Vice-Propvost for Research is responsible for implementing and managing export controls and research activities, via the Global Compliance web site.

Montclair State University's Policy on Compliance with U.S. Requirements affecting International Persons, Countries, Organizations and Activities provides faculty, staff, and students with guidance and applicable procedures, should a project involve international elements.

OSP flags projects involving possible export controls at the proposal stage, and also reviews any flagged proposals at the time of award. OSP will discuss the details of a flagged project with the PI/Co-PIs to understand the full details of international activities. OSP uses the Screening Checklist and/or the Export Controls Decision Tree to assist in identifying any areas of export controls risk in proposed and funded projects.

PIs/PDs should always report any changes to funded projects which may evoke export controls immediately and submit any questions to exportcontrol@montclair.edu.

**VII. Invention Reporting and Disclosure**

As a recipient of federal funding, under the Bayh-Dole Act (37 CFR 401), the University has an obligation to report all government-funded subject inventions, patents, and any associated use of the invention to the agency that funded the project from which the invention was derived. To comply with this federal law, over thirty federal agencies use the Interagency Edison (iEdison) web-based system, to include the NIH, NSF, Department of Energy, EPA, NOAA, and Department of Defense. iEdison's reporting system allows grantees to securely and confidentially create, upload, and submit new invention reports. Each report is unique and contains the source of the funding and the name(s) of the inventors. Disclosure of inventions at Montclair State University are governed under Montclair's patent policy, which requires that potential inventions be confidentially disclosed to the Chair of the Patent Committee via the Montclair Invention Disclosure Form.

It is critical that the principal investigator disclose any invention in a timely manner to the University Patent committee and Dean. The Invention Disclosure Form contains important questions about the invention and the inventor(s), any prior or planned publications, potential commercial applications,

and several others. But also, importantly, it asks the inventor(s) if the work that led to the invention is the result of sponsorship. If it is the result of federal sponsorship, then the University is obligated—in most cases—to report the invention to the federal government via iEdison. The administrative designee for iEdison is the Director for Research and Sponsored Programs, who will collaborate and consult as appropriate and necessary with the Patent Committee, University Counsel, the Inventor(s), and the Dean(s) of the Inventor(s) college to complete the report in a timely manner.

**Issuing Agreements to External Collaborators**

Upon notice of award (and, in some cases, prior to notice) the process will begin in issuing appropriate agreements to any external collaborating entities, be it a public or private university, corporation, or non-profit entity.  OSP's Post-Award staff will assist the PI/PD with this often complex process.

The terms "subcontract" and "subaward" are often used interchangeably, but in its most "technical" sense, a subaward is issued under a prime *grant* agreement, whereas a subcontract is issued under a prime *contract* agreement.  For the purposes of this discussion, the term subcontract will be used.

I.  **When Montclair is the Lead Institution:** When Montclair is the prime recipient of a grant that has one or more subrecipient(s), a subcontract agreement is sent to the subrecipient(s) by OSP.  OSP will prepare the subcontract agreement in accordance with the terms and conditions of the prime award and send to the subrecipient's institutional contact for signature.  Subcontracts are generally issued from year to year, although if a program/project is "fully-funded" up front, a subcontract can be issued for the entire project period, particularly if the PI/PD and OSP have a level of familiarity and comfort in working with that particular subrecipient.  Under Uniform Guidance, Subpart D (§200.331), prime recipients are required to evaluate each subrecipient's risk of noncompliance with federal statutes, regulations, and the terms and conditions of the subaward for purposes of determining the appropriate level subrecipient monitoring. To meet the Uniform Guidance mandates, OSP will conduct a risk analysis at the time of award and include the appropriate mechanisms, based on the level of risk, to ensure that the subrecipient and, consequently, Montclair are compliant with Uniform Guidance. Ultimately, however, it is the responsibility of the PI/PD of the lead institution to monitor the performance of the subcontractor and to ensure that work on the project is proceeding as planned and proposed in the original application.

Where one or more institutions of higher education are concerned, the subcontract negotiation process is generally quite smooth, largely due to the efforts of the Federal Demonstration

Partnership, which creates uniformity in the issuing of standard template subcontracts that universities can use to facilitate the subcontracting process.  OSP will work directly with the Sponsored Programs Officers at each institution to facilitate the process.  During this process, requirements for IRB/IACUC will need to be satisfied by the subrecipient's institution if any human and/or animal subject use will be performed by the subrecipient.

Negotiation of subcontract agreements with private sponsors (e.g., corporations) may be more complex due to competing interests and internal processes and procedures.  Once the subcontract agreement has been fully executed by all parties, OSP will send a copy of the agreement to the PI and the Office of Grant Accounting. The Office of Grant Accounting monitors subrecipients subject to the Uniform Guidance:  Subpart D, Subrecipient Monitoring (§200.330-§332) to ensure that there are no internal control of compliance findings associated with the sponsor.

II.   **When Montclair is the Subrecipient (an external entity is the lead institution):** When a PI/PD receives notice from his/her collaborators that an award is forthcoming, the PI/PD should contact OSP post- award staff as soon as possible so that OSP can make contact with the external organization's Sponsored Programs Office.  As with any award, it is important not to incur any expenses or start work on the project **until** the subcontract agreement has been fully executed by all parties.  In some cases, a PI/PD may request authorization to incur pre-award expenses up to 90 days in advance of the anticipated start date (see section on Institutional Prior Approval earlier in this chapter).  Similar to a subcontract *issued from Montclair* to another organization, a subcontract *received by Montclair* from another organization may be issued annually, or multi-year.  Montclair may need to satisfy any pending IRB/IACUC approvals prior to the award's issuance, and the lead organization or institution may request additional information (e.g., a copy of Montclair's latest Audit Statement).

III.  **Typical Components of a Subaward or Subcontract**
   a. *Cover Page:* The cover page typically identifies the subcontracting parties, the project title, budget or performance period start and end date, subcontract number, prime award number, and signature lines for each party's authorizing officials.
   b. *Contact Page:* Identifies the appropriate institutional technical, financial, and administrative contacts at each organization/institution.
   c. *Terms and Conditions:* Incorporated in full or by reference and includes those terms and conditions to which the subrecipient must comply in the performance of the sponsored

agreement.  Some examples might include: technical and financial reporting requirements; disposition of tangible (equipment) or intangible (intellectual) property; termination; provisions for changes or modifications of the budget, key personnel, scope of work, and other amendments.

d. *Attachments:* The attachments section most often includes the final statement of work and final approved budget.

# Chapter 6: Award Management

The Office of Grant Accounting (Division of Finance and Treasury) is responsible for the *__financial management __*of externally sponsored programs, which includes the preparation and submission of related financial reports and invoices, cash collections, expenditure compliance review, cost transfers, maintenance of accounts receivable and award closeout.  Grant Accounting is responsible for the development and dissemination of policies and procedures to ensure compliance with the rules and regulations of the University and funding agencies.  Questions the PI/PD may have regarding the financial management of their sponsored projects (e.g., fund set-up and balances, cost allowability, invoicing, etc.) should be addressed directly to the Office of Grant Accounting.

The Office of Sponsored Programs (OSP) Post-Award staff assists faculty and staff with the *__non-financial management__* of their awards, to include internal and external procedures, sponsor approvals, regulations, and policies governing sponsored agreements.  OSP has the expertise and resources necessary to assist Principal Investigators/Project Directors (PIs/PDs) in conducting their sponsored projects efficiently and in compliance with the terms of the proposal, sponsor contractual agreements, and all appropriate federal, state, and local rules and regulations.  OSP Post-Award staff works with a multitude of internal and external academic and administrative units and personnel in facilitating the project throughout the post-award lifecycle.

OSP Post-Award and the Office of Grant Accounting work closely together to assist Montclair faculty and staff in carrying out their sponsored project's "day-to-day" activities, ensuring compliance with applicable University policies.

*To follow is an informational and instructive "how-to" navigation of the institutional policies, processes, and procedures that govern sponsored post-award management at Montclair.  Many questions on the routine day-to-day transactions that will take place during the course of a sponsored project will*

*be answered here.  As always, if you have any questions on your award and award management, please contact OSP Post-Award Staff (non-financial questions) or the Office of Grant Accounting (financial questions).*

**Day-to-Day Management of a Sponsored Project**

I.  **Processing Requests for Faculty and Staff (non-student) Payroll on Sponsored Projects:**

    a.  *Temporary Employees:* To process requests to hire an individual on a part-time basis for a year or less, PI's/PD's will need to do so via Workday.  [Step-by-step instructions](#) can be found at Montclair's [Workday Learning & Resources website](#).

    b.  *Release Time:* If the awarded budget includes academic year or course release time, Grant Accounting works with the PI and the PI's department to charge the grant the appropriate release time for that time period.

II.  **Processing Requests for Undergraduate and Graduate Students on Sponsored Projects:**

    a.  *Appointing a Graduate Assistant:* To appoint a Graduate Assistant on a sponsored project the PI/PD must complete a Graduate Assistant Application Form which is available by request from the Office of Grant Accounting. The PI/PD will then forward the form electronically to their assigned Grant Accountant for review, approval, and final processing.

    b.  *Undergraduate and/or Graduate Student Hourly Worker:*  First, review the [Montclair State University Student Employment Policy.](#)  To hire an undergraduate or graduate student worker on a sponsored project, PIs/PDs will need to do so via Workday.  [Step-by-step instructions](#) can be found at Montclair's [Workday Learning & Resources website](#).

        i.  Student Assistant Timesheet: This is completed bi-weekly by the student via Workday.

III.  **Full-time Employees:** To hire a full-time employee on a sponsored project, the PI/PD should meet with HR to be advised on hiring policies and procedures.

IV.  **Federal and State Employment/Tax Forms:** To hire a new employee in any employment category above, the individual must complete a Federal I-9 Form at the Human Resources office.  (Please note the individual will have to provide copies of acceptable documents proving they are eligible to work in the U.S.  See the I-9 form for the list of acceptable documents.) The new hire will complete tax forms (i.e., Federal and NJ State W-4 forms via Workday).

**V.  International Hiring:**  The Office of International Engagement should be consulted before making any offer of employment/invitations to foreign nationals.  [Hiring guidelines](#) can be found on their website.

**VI.  Supervisory Organizations:** All workers, whether students, part-time employees or full-time employees, are hired into a supervisory organization. Each supervisory organization has an assigned timekeeper who is responsible for reviewing and consequently approving/denying a worker's submitted timesheet.  It is recommended that PIs/PDs that expect to hire personnel on their grants, should create their own supervisory organization so that he/she can hire workers and ultimately, review and approve/deny any submitted timesheets of said workers.  For assistance, PIs/PDs can contact Workday Customer Care at: 973-655-5000 or at WCCSupport@montclair.edu

**VI.  Processing Expenditures (non-travel)**

   a.  *Supplies:*

      i.  Lab Material and Supplies:  All purchases on sponsored projects are processed through Workday.  Workday help and training materials are found on Montclair's [Financial Systems web page](#).

   b.  *Supplier Invoice:* In order to request a payment without a purchase order, you will need to complete a Supplier Invoice. Please note: The Supplier Invoice is NOT used for reimbursements or refunds. Instructions to initiate a Supplier Invoice can be found on [online](#). A few examples where Supplier Invoices are used include:

      i.  Conference Registration,

      ii.  Honorarium,

      iii.  Membership,

      iv.  Grant Incentives, and many more purposes.

> *Prior to incurring out-of-pocket expenses on a sponsored project, OSP suggests that you contact Grant Accounting to make sure that any purchase out of pocket is allowable on your sponsored project.*

      v.  **Important: Montclair is a *tax-exempt institution.***  To process a tax-free, out-of-pocket purchase on a sponsored project, a completed tax exempt form can be obtained by contacting Accounting Services, Treasury and Finance, extension 4199. Provide the name of the company and address from which you are making the purchase.

   c.  *Equipment and Services:* The purchase of a single item of equipment $5,000 or greater, or the purchase of services (e.g., testing services) is governed by Montclair's Procurement Policies.  To

follow is a summary of procurement policies and procedures.  The complete Procurement Policies & Procedures Manual can be found on the Finance and Treasury website.  Note that these policies and procedures are applicable to purchases on sponsored programs as well.  There are two exceptions (Procedure #13):

- Subawards/Subcontracts named in the original sponsor-approved proposal.
- Vendors *specifically* named in the award letter.

General Procedures for the Procurement of Equipment or Services: General (Procedure #1): The procedures and guidelines for procurement of goods and services can be quite complex.  Where the PI/PD will be purchasing goods and or services from consultants/vendors (not subcontractors pre-approved in the awarded grant/contract), it is very important that the procurement services (extensions 4145) be contacted for guidance throughout the procurement process.

> ***Waiver of Advertising:***
> ***This allows for the purchase without a formal publicly advertised bidding process. There are 33 circumstances that a Waiver of Advertising is allowable.  See Procedure #1 in the Procurement Policies and Procedures Manual for details.***

i. Montclair has its own procurement policy and procedures specific to the procurement of goods and services under state, federal, and private grants as governed under the laws of the State of New Jersey (Procurement Policy # 13).  These policies are very similar to federal procurement policies under Uniform Guidance (e.g., requirement for multiple quotes.) With any equipment or services purchase, the PI/PD of the sponsored project should use an already existing University contract with an approved vendor—a State of New Jersey contract, or General Services Administration contract, if possible.  University Procurement Services can determine if such contracts exist for the item/service.  General procurement guidelines and bidding thresholds are outlined on university procurement's website.

The procedures and guidelines for procurement of goods and services can be quite complex.  Where the PI/PD will be purchasing goods and or services from consultants/vendors (not subcontractors pre-approved in the awarded grant/contract), it's very important to contact Procurement Services (extension 4145) for guidance.

ii. Consulting Services Additional Requirements (Procedure #11): For any consultant that will be

paid more than $250, a contract is required in addition to a purchase order.  The above procedures are the same for consulting services.

    iii.  Computer Policies: Computer equipment that is supported by the University's Office of Information Technology (OIT) can be purchased from approved vendors posted on Montclair's OIT website.

**VII. Processing Travel Expenses:** Review the sponsored award and budget to ensure that travel is approved by the sponsor and the budget includes travel funds.  Before any travel can take place on a sponsored project, it will be necessary to review Montclair's Travel Regulations, which can be found on the Finance and Treasury webpage under the Policies and Procedures section.

a.  *Fly America Act:* The Fly America Act requires the use of a U.S. flag air carrier service in economy class for all air travel, including travel on grants and contracts funded by the U.S. Federal Government.  There are certain exceptions to this rule (e.g., no domestic air carrier travels to your intended destination).  Please contact Grant Accounting for more information.

> *It is recommended to submit a Request for Travel Authorization a month in advance of traveling.*

b.  *Overnight Travel*

    i.  Prior to travel:

        1.  For International Travel, PIs/PDs must complete both a Screening Checklist and a one-time CITI Export Control Course Training several months before travel.  An International Travel Request Timeline can be found in the Faculty Handbook on the Office of the Provost webpage under Travel Regulations.

        2.  Before making travel arrangements, PIs/PDs will need to complete a Spend Authorization Request in Workday.

           **Meals:** A per diem meal allowance shall be reimbursed to the traveler. Only the per diem amount will be paid to the traveler regardless of the amount actually spent by the traveler. Receipts are not required.  The University does allow for Cash Advances for per diem meal expenses.  The Spend Authorization Job Aid provides additional information.  Please visit the U.S. General Services Administration website to find the per diem rates for the destination city. If the city you are visiting is not listed, utilize the current approved per diem rates for the nearest city. If a meal is included in the registration/conference fee, or if paid for by someone else, reimbursement shall not be made.

ii. After travel:

    1. PI/PD will complete an Expense Report in Workday, linking it the approved Spend Authorization request

    2. In order to be reimbursed for transportation, original receipts, train stubs, airline boarding passes, map printout of mileage, etc., must be retained and submitted with the Expense Report.

c. *Same Day Travel (no overnight stay)*

    i. PIs/PDs will complete an Expense Report.

        a. In order to be reimbursed, original receipts, train stubs, airline boarding passes, map printouts of mileage, etc., must be retained and submitted in Workday.

> *Be sure to keep all receipts to ensure that you're fully reimbursed for your travel!*

d. *Non-Employee Travel*

    i. Non-employees who have traveled on a sponsored project must complete a Non-Employee Travel Expense Report after the trip. Only actual expenses are allowable; per diem rates are not allowable. Original receipts must be provided. In addition, if the Non-employee has not been reimbursed by the University previously, he or she must complete a Supplier Create/Maintenance Form and a W-9 Form. Both forms can be found on [Procurement Forms] website. The Expense Report must be processed in Workday.

**Working with the Office of Grant Accounting (Financial Post-Award Management)**

As noted in this chapter's introduction, OSP and the Office of Grant Accounting work closely together to assist Montclair faculty and staff in carrying out their sponsored project's "day-to-day" activities, ensuring compliance with applicable University policies and federal, state, and local rules and regulations. As a

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> *Montclair State University*
> *1 Normal Avenue*
> *The School of Nursing and the Graduate School, 4th Floor*
> *Montclair, NJ 07043*
> *973-655-7172 (x 7172)*

general rule, the PI/PD of a sponsored project will work *directly* with the Office of Grant Accounting on the *financial* aspects of their projects, to include the receipt, review, and approval of: project expenses; determinations of cost-allowability; cost-transfers; cost-share and/or match reporting; effort reporting; billing and collections/accounts receivable; financial reporting; and award close-out.

Information is posted on the [Office of Grant Accounting] website on aspects specific to the financial

management of a sponsored project.

I. **Montclair Policy on Cost Transfers:** The objective of the Montclair Cost Transfer Limitation and Policy is to establish sound and consistent management practices with respect to transferring costs to and from sponsored project accounts, especially in connection with federal or state grants and contracts.

   a. *Scope:* A cost transfer is an after-the-fact reallocation of costs associated with a transaction from one account to another account. Costs should be charged to the proper account for the benefitting sponsored project when first incurred. However, at times it may be necessary to transfer a cost to a sponsored project subsequent to the initial recording of that cost.

   Montclair State University is required to carefully monitor these transfers for compliance with federal regulations and policies, and federal cost principles that underlie all fiscal activities of sponsored projects. It is also required to maintain documentation of cost transfers and to make these documents available for audit or other review.

   b. *Procedure:* Cost transfers to sponsored projects which represent corrections of clerical or bookkeeping errors should be accomplished within 90 days of the original entry, or fewer days if the original entry is closer to the closing date of a grant or contract. Cost transfers should never take place more than 60 days past the project end date.

   All cost transfer requests must be supported by documentation that fully explains how the error occurred and approved for correctness by Grant Accounting. An explanation merely stating that the transfer was made "to correct an error" or "to transfer to a correct project" is not sufficient. Transfers of costs from one project to another or from one competitive segment to the next solely to cover cost overruns are not allowable.

   Transfers and their accompanying justifications must be reasonable, equitable, and in realistic proportion to the benefit provided. Cost transfers should be made within 90 days of the original transaction or less if applicable. Any transfer made after this period raises serious questions regarding the propriety of the transfer. If a Principal Investigator or Project Director desires to request a transfer after this time period, they should complete the Cost Transfer Explanation Form to provide adequate explanation of why the transfer is late, provide justification for the transfer and certify the propriety of the transfer. All transfer requests after the 90-day period must also be certified by the appropriate Dean or Dean Designee. Cost transfers are subject to review and approval by Grant Accounting.

II. **Montclair Policy on Distribution of Indirect Costs:** Indirect cost funds recovered from all sponsored research programs will be distributed according to the following schedule:

|   |   |   |
|---|---|---|
| a. | General University Fund (Research Programs) | 30% |
| b. | General University Fund (Special Instruct./Training) | 30% |
| c. | School/College Dean's Office | 15% |
| d. | Academic Department | 25% |
| e. | Principal Investigator (minimum share) | 10% |
| f. | Office of Sponsored Programs | 20% |

For more information on how these funds may be used, see Montclair's Policy on Indirect Cost Distribution and Expenditures.

**Working with the Office of Sponsored Programs (Non-Financial Post-Award Management)**

I. **Prior Approvals:** During the course of a sponsored project, unexpected circumstances may arise that may not have been previously anticipated. As a result, the PI/PD may need to request changes to his/her project. In some cases, the sponsor's approval may be required. There may be instances where sponsor approval is not required (see below). The most common examples of when a sponsor's prior approval might be necessary are:

a. *No-Cost Extension:* The PI/PD may need more time to finish his/her project due to unanticipated circumstances. OSP will work with the PI/PD and the sponsoring agency to request a no-cost extension.

b. *Rebudget:* During the performance of the project, a PI/PD may discover that he/she needs to allocate funds approved for one purpose to another purpose. In some cases, this can be done without sponsor approval.

c. *Change in Senior/Key Personnel:* Changes in key personnel, to include the PI and Co-PI, almost always require sponsor approval.

Each agency has specific requirements for obtaining prior approval. All prior approval requests will be made to the funder via OSP Post-Award. If sponsor prior approval is required, the PI will provide OSP Post-Award staff with a written explanation and rationale for the request. OSP is responsible for reviewing the request, editing as appropriate, and officially submitting to the sponsor.

Where federally sponsored projects are concerned, the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards sets forth standards for obtaining consistency

and uniformity among federal agencies in the administration of grants to, and agreements with institutions of higher education.  Under "expanded authorities," many federal agencies have transferred the authority to unilaterally approve a number of post-award actions.

Where non-federal awards are concerned, sponsors will typically provide prior approval language in the agreement, contract, memorandum of understanding, or other binding document.  PIs should review their award documents to determine when prior approval is necessary and contact OSP for assistance.

II. **Modifications of Subawards and Subcontracts:** A subaward/subcontract to another organization or institution may need to be modified during the period of performance.  For example, modifications/ amendments may be needed to extend the period of performance, increase or reduce the amount to the subrecipient, revise the scope of work, or modify other terms and conditions.

To begin the process of modifying an existing subaward/subcontract, the PI will first need to contact OSP Post-Award (no-cost extension, additional tasks, etc.).  Relevant documentation, such as a revised scope of work or revised budget from the external subcontractor, should be included.  OSP Post-Award will prepare the subaward modification and obtain the appropriate signatures from both the prime awarding institution and the subrecipients.

# Chapter 7:
# Award Close-Out

As a sponsored project nears its end date, the Office of Sponsored Programs Post-Award staff and the [Office of Grant Accounting](#) will work with the PI/PD to ensure that the award is closed out properly.  The sponsored award terms and conditions generally provide specific details of what will be required at award closeout as well as the timeframe in which documentation must be submitted.  Typically, this amounts to final technical and financial reports, but may also include property and invention reports and/or other documentation.  Federal sponsors typically require that closeout documents be filed and received within 90 days of the end date of the project.

V

Once a proposal has been awarded, it is the PI's/PD's responsibility to comply with all technical and financial reporting requirements for the award.  As in previous stages of the sponsored projects lifecycle, the PI/PD will work closely with Grant Accounting and OSP to ensure the project is closed out properly, in accordance with University policies and procedures, and state and federal guidelines.  As the award nears its end date, the Office of Grant Accounting will notify the PI/PD by e-mail three months prior to the end date of the award and then monthly up to the date that the grant is scheduled to expire, and will provide specific instructions on reviewing open encumbrances, award providing guidance on final purchases, and invoicing.  Grant Accounting will review the award for outstanding invoices and collect unpaid invoices/outstanding funds from the sponsor.

Questions about the financial aspects of the award close-out should be addressed directly to Grant Accounting (e.g., balances, encumbrances, final purchases, specific expense transactions, allowable and unallowable costs).  If the PI is considering a no-cost extension (an extension in the period of performance needed to complete the project, at no additional cost to the sponsor), he or she should contact OSP Post-Award.

**Close-out Reporting Requirements**

I. **Financial Reports/Invoices:** Financial reports, whether they are interim or final, will be prepared by Grant Accounting and sent to the PI for review and approval.  Grant Accounting will review the award for outstanding invoices and collect unpaid invoices/outstanding funds from the sponsor.  Grant Accounting will then submit the financial report to the appropriate sponsor.

*Be sure to file all annual and final technical reports on time! In some cases, failure to submit timely reports may delay processing of future funding!*

II. **Technical/Programmatic Reports:** PIs are responsible for the completion and submission of all programmatic reports required by the terms and conditions of the award.  Where questions arise, OSP Post-Award can assist in this process.  In some cases, the PI will send the final technical report to OSP to be reviewed, signed, and submitted.  Some instances will allow for the PI to submit the final technical report directly, e.g., NSF Research.gov.  In either scenario, a copy of the final technical report should be sent to OSP to remain on file under the State of New Jersey's record retention policy.

    a. *NSF Reporting:* All NSF awardees are required to submit annual, final, and project outcomes reports via Research.gov.  PIs should use their NSF FastLane login information and log on to Research.gov.  NSF will send PIs e-mail reminders of what reports are due and when.  Unless otherwise specified in the notice of award, Annual Project Reports shall be submitted at least three months prior to the end of the current reporting period.  NSF awards require that the PI submit a Final Project Report within 90 days after the expiration of the award.  Delays in the submission may result in funding and other delays in the administration of other awards to fellow PIs at Montclair.

        i. Project Outcomes Report: Unless otherwise specified in the conditions of the award, project outcomes reports must be submitted electronically via Research.gov within 90 days of the expiration date of the grant.  This report will be posted in the Research Spending and Results section of the Research.gov website exactly as it is submitted.

        PIs will ensure that the report does not contain any confidential, proprietary business information; unpublished conclusions, or data that might compromise the ability to publish

results in the research literature; or invention disclosures that might adversely affect the patent rights or those of the organization, in a subject invention under the award.  Reports should not contain any private, personally identifiable information such as home contact information, individual demographic data, or individually identifiable information collected from human research participants.

II.   **Property Reports:** Grant Accounting will work in conjunction with PIs to complete any property reports required as per the terms and conditions of the award.

III.  **Invention Reports:** Rights to inventions made under a federally sponsored grant or contract are governed by [37 CFR Part 401](#), "Rights to Inventions Made by Nonprofit Organizations and Small Business Firm," more commonly known as the "Bayh-Dole Act."  The provisions apply to all inventions conceived or first actually reduced to practice in the performance of a federal grant, contract, or cooperative agreement.  Universities are obligated under 37 CFR Part 401 to disclose each new invention to the federal funding agency within two months after the inventor discloses it in writing to the University.  Under this act, the PI/PD and University must provide a final invention statement and certification prior to award close-out, listing all subject inventions or, alternatively, stating that no inventions were created in the performance of the project.  (See Chapter 5 and the section on Compliance for more detailed information on invention reporting at Montclair.)

**Record Retention**

On federal awards, record retention requirements are governed under the Uniform Guidance [Subpart D Record Retention and Access (§200.333-§337](#)).  However, as a state agent/entity, Montclair is guided by the [State of New Jersey's Record Retention Schedule](#) S510204, schedule number 001, record series number 0001-0002, which requires that records of awarded state, federal, and private grants files be kept on record for a period of seven years after termination of the grant.  (Unless the sponsored project in question is the subject of any litigation, claims, or audit finding.)

"Not-funded" proposals must be kept on record for a period of three years, after which they may be destroyed.

**Disposition of Equipment**

Under Uniform Guidance, title to equipment purchased with federal funds "shall vest in the recipient," (the University, as the legal recipient of the award) subject to the conditions set forth in Uniform Guidance Subpart D (§200.313).

# Sponsored Programs Glossary

˚ ˙A generic name for a grant, contract, or other sponsored agreement.

˚ ˙ ˙Allowable costs that directly benefit the grant or contract to which they are charged.

˚ ʼk : Systematic study to gain knowledge or understanding necessary to determine how a recognized and specific need may be met.

˚ ˙A formal examination of an organization or individual's accounts or financial situation.  An audit may also include an examination of compliance with applicable award terms, laws, regulations, and policies.

˚ ˋ The individual(s) authorized to bind the institution to grants, contracts, cooperative agreements, and other agreements.

˚ The provision of funds by a sponsor, based on an approved proposal and budget, to an organizational entity or individual to carry out an activity or project.

" ʼk : Systematic study directed toward fuller knowledge or understanding of the fundamental aspects of phenomena and observable facts without specific applications towards processes or products in mind.

" ˙ ˙ ˙ " ˚ ˚ ˙An announcement of a federal agency's general research interests that invites proposals and specifies the general terms and conditions under which an award can be made (e.g., Department of Defense agencies such as ONR, AFOSR, and ARL issue BAA's).

" ˙A detailed financial statement of project costs that are needed to support work described in a grant or contract proposal.  The proposal budget is often called the "fiscal expression" of a sponsored project.

" ʼh ˙A period of funding, usually expressed incrementally, e.g., Year 1 of an incrementally sponsored project, or the first 12 months.

# ˙A statement, signed by an applicant or recipient as a prerequisite for receiving federal funds, that (1) meets or will adhere to certain conditions and/or (2) will undertake or not undertake certain actions.

# The programmatic and administrative process during which the PI/PD, OSP, and the Office of

Grant Accounting complete all required work of a sponsored project and undertake all necessary administrative to complete the project per university policy, sponsor's requirements, and federal and state rules and regulations.

**Co-Investigator:** The individual involved with the PD/PI in the development or execution of a project. The co-investigator (collaborator) may be employed by, or be affiliated with, the applicant/grantee organization or another organization participating in the project under a consortium agreement. A co-investigator typically devotes a specified percentage of time to the project and is considered senior/key personnel.

**Consultant:** An individual independently hired to provide routine professional services on a sponsored project for a fee, but generally not as a university employee. Consultants are typically not involved in the programmatic direction or management of a project.

**Contract:** A binding agreement between the sponsor and contractor for the provision or purchase of a product or service of direct benefit to the sponsor. The administration of federal contracts is governed by Federal Acquisition Regulation (FAR).

**Cooperative agreement:** An award similar to a grant, but in which the sponsor's staff may be actively involved in proposal preparation, and anticipates having substantial involvement in research activities once the award has been made.

**Cost-sharing or matching:** Costs of a sponsored project not borne directly by the sponsor. Cost-sharing, or matching, are either "in-kind" or "cash" contributions by the recipient of the sponsored project or by a third party.

**Developmental Research:** Systematic application of knowledge or understanding, directed toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

**Direct Costs:** Costs that can be specifically identified with a particular project, program, or activity.

**Effort:** The time devoted to a particular sponsored activity, expressed as a percentage of the total time spent on Montclair teaching, research, and service activities.

**Effort Certification:** A self-attestation of an employee's University activities for a stated period. Appropriately certified effort provides auditable documentation to demonstrate to the University's sponsoring partners that the sponsor did receive the level of effort committed through the award process.

**Effort Reporting:** Proportional distribution of 100% of an employee's University effort across categories of activity for a stated period. Certification of reported effort is required by the federal government's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

**Encumbrance:** Those funds that have been set aside or "claimed" for projected expenses pending the actual expenditure of the funds.

**End Date:** The date signifying the end of the period of performance, typically indicated on the notice of award; may also be called "Expiration Date."

**Equipment**: A tangible article that has a useful life of more than one year and an acquisition cost of $5,000 or more.  Each piece of equipment requested should be described and justified fully in the budget justification section of a proposal.  Quotes may be required.

**Expanded Authorities:** The delegation of prior approval directly to the institution.  Many federal agencies allow universities to exercise expanded authorities for specific actions, e.g., an initial request for a no-cost extension provided sufficient programmatic justification.

**Federal Acquisition Regulation (FAR):**  The system of federal rules and regulations that govern the administration of government procurement contracts.

**Financial Conflict of Interest (FCOI):** A significant financial interest that could directly and significantly impact the design, conduct, and reporting of the research.

**Financial Report:** Periodic, scheduled financial reports required by the sponsor showing the financial status of awarded funds for a specific period.  PIs/PDs will work directly with the Office of Grant Accounting to ensure that periodic and final financial reports are submitted on time and in compliance with the sponsor's guidelines.

**Financial Status Report (FSR)**: A standard, government-wide report that recipients must submit to the federal funding agency that identities the status of funds for a specific grant or cooperative agreement (40 CFR Part 31).

**Fringe Benefits**: Employee benefits paid by the employer, e.g., health insurance, F.I.C.A., Worker's Compensation.  Fringe benefit rates are calculated using fixed percentages that vary depending on the employee's classification and may change from year to year.

**Grant:** Financial assistance provided to complete a project, generally with a public purpose, need, or "public good" in mind.  There is usually limited involvement from the federal government in the project except to convey the funds.  Policies governing the management of grants from federal sponsors are covered in the [Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#).

**Indirect Costs**: Synonymous with "Facilities and Administrative Costs," or "F&A." Costs an organization incurs in the conduct of research or other externally sponsored activity which cannot readily and specifically be identified with a particular sponsored project or other institutional activity (e.g., facilities maintenance, plant operation, library services, utilities, general administration, sponsored projects administration).

**Institutional Animal Care and Use Committee (IACUC):** Oversees the institution's animal research program, facilities, and projects involving the use of animals.  Every research, testing, and teaching project involving the use of a live vertebrate animal must be reviewed and approved by the IACUC before initiation.

**Institutional Biosafety Committee (IBC):** A resource for information, guidelines, policies, and procedures that will enable and encourage those working in the laboratory environment to work safely and reduce or eliminate the potential for exposure to biological hazards.  For all research involving biological materials or agents, the IBC reviews research protocols to ensure compliance.  If allegations of protocol non-compliance are verified, the IBC can apply sanctions, as necessary.

**Institutional Review Board (IRB):** An administrative body established to protect the rights and welfare of human research subjects recruited to participate in research activities conducted under the auspices of the organization with which it is affiliated. The Institutional Review Board has the authority to approve, require modifications in, or disapprove all research activities that fall within its jurisdiction.

**Key Personnel:** Personnel of primary importance in carrying out a research or other sponsored project; typically senior personnel (e.g., Co-Investigator).

**Mandatory Cost-Sharing:** Cost-Sharing that is required or mandated by the sponsor as a condition of receiving a sponsored award.

**Modified Total Direct Costs (MTDC):** The cost-base for calculating F&A costs (Indirect Costs) incurred on a sponsored project. MTDC is a subset of direct costs and typically excludes equipment, tuition, scholarships/fellowships, renovations, space rental, and subawards over $25K from being charged F&A.

**No-Cost Extension:** An additional period authorized by the sponsor to complete work on an approved grant or contract at no additional cost to the sponsor. An extension allows previously allocated, remaining funds to be spent during the extension period, provided sufficient programmatic justification. On many federal awards, the University may authorize an extension unilaterally without sponsor prior approval for a one-time period of up to twelve months if the award terms allow for this action under "Expanded Authorities."

**Notice of Grant Award/Notice of Award:** The official, legally binding document, signed (or the electronic equivalent of signature) by a Grants Officer and/or Program Officer that: (1) notifies the recipient of the award of a grant; (2) contains or references all the terms and conditions of the grant and funding limits and obligations; and (3) provides the documentary basis for recording the obligation of funds.

**Period of Performance:** Time interval between the approved start date and the end date of a project. This is the period in which the sponsor has authorized the award recipient to conduct the scope of work. The period of performance may be made of one or more budget periods, typically of uniform length (e.g., twelve months).

**Preliminary Proposal**: A brief presentation by the PI of goals, methods, personnel, and overall budget submitted to a funding agency. Pre-proposals are used by funding agencies to determine the eligibility of the applicant and the suitability of the proposed project for support.

**Prime Award:** In the context of sub-awards or subcontracts, the prime award is the award made directly from the sponsor to the recipient institution. When a recipient institution makes a sub-award or subcontract under the terms and conditions of the award to a second organization, the sponsor's award is labeled the prime award and the terms and conditions are generally included as part of the agreement to the subaward or subcontract site.

**Principal Investigator (PI)/Project Director (PD)**: The PI/PD is the person primarily responsible for the technical and fiscal management of a sponsored project.

**Prior Approval:** Written approval from the sponsor's designated Grants Officer. Sponsor approval may be required for specified post-award changes in the approved project or budget. Such approval must be obtained before undertaking the proposed activity or spending funds.

**Program Announcement:** Describes the existence of a funding opportunity.  A formal statement about a new or ongoing activity or program.  It may serve as a reminder of continuing interest in a research area, describe modification in an activity or program, and/or invite applications for grant support.

**Program Officer:** Program office staff person responsible for (1) developing program regulations, application notices, and application packages; (2) overseeing the review and ranking of applications submitted under their programs; (3) providing detailed funding recommendations to the Grants Division for applications; (4) participating in negotiations, as necessary; (5) providing technical assistance to applicants and recipients; (6) monitoring funded projects; and (7) making recommendations to the Grants Division about recipients' requests for revisions to project activities and budgets.

**Progress Report:**  Periodic, scheduled reports required by the sponsor summarizing research or project progress to date.

**Proposal:** A set of documents containing a descriptive narrative of an idea and a budget to be submitted to a funding agency for sponsored support.  Some agencies require that proposals be submitted on preprinted forms, while others have no specific format.

**Institutional Processing Form (IPF):** The Institutional Processing Form is an internal Montclair document that is used to record, track, and report on the proposed project.  In addition, the IPF is also used to obtain both the PI and Co-I's certifications and signatures, and the endorsement of the appropriate College Dean(s) and Department Chair(s).  The IPF is completed in CAYUSE SP.

**Research.gov:** The NSF's new proposal and award management portal, replacing NSF FastLane.

**Re-budget:** Refers to the process of transferring sponsor-approved budgeted funds from one line item to another, e.g., for a different purpose than originally intended.  Re-budget requests are reviewed by the Office of Grant Accounting and, in some cases, sponsor prior approval may be necessary.

**Recipient:** Organizational entity or individual receiving a grant or cooperative agreement.  Typically the organizational entity is the legal recipient of a grant, contract, or cooperative agreement.

**Request for Applications (RFA)**: An RFA is a formal statement that solicits grant or cooperative agreement applications in a well-defined scientific area to accomplish specific program objectives.  An RFA indicates the estimated amount of funds set aside for the competition, the estimated number of awards to be made, whether cost-sharing is required, and the application submission date(s).

**Request for Proposal (RFP):** Announcements that specify a topic of research, methods to be used, product to be delivered, and appropriate applicants sought.  Proposals submitted in response to RFPs generally result in a contract award.

**Request for Quotation (RFQ):** A formal request from a sponsor for solicitation of a proposal to provide the sponsor a good, or service of direct benefit to the sponsor (e.g., a corporate or industry sponsor typically will issue an RFQ).

**Sponsor:** An external funding agency that enters into an agreement with the University to support research, instruction, public service, or other sponsored activities.  Sponsors include private businesses,

corporations, foundations and other not-for-profit organizations, other universities, and federal, state, and local governments.

**Statement of Work/Scope of Work:** A summary description of the work to be performed and completed on a project or sponsored activity.

**Subaward/Subcontract:** A document written under the authority of, and consistent with, the terms and conditions of an award (e.g., a grant, contract, or cooperative agreement), that transfers a portion of the research or substantive effort of the prime award to another institution or organization.

**Uniform Guidance:** Established in 2013 (effective 12/26/2014), the Office of Management and Budget [Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#) establishes uniform administrative requirements, cost principles, and audit requirements for Federal awards to non-Federal entities.

**Unsolicited Proposal:** A proposal submitted to a sponsor that is not in response to an RFP, RFA, or program announcement.

**Vendor:** A dealer, distributor, merchant, or other seller providing goods or services that are required for the conduct of a Federal/State program. These goods or services may be for an organization's own use or for the use of beneficiaries of the Federal/State program. (*see checklist above for further clarification between the two types)