



OFFICE OF GRADUATE STUDIES AND RESEARCH

Research & Grants Center

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Plan Ahead – Proposal Review Process Takes Time

The process of submitting grant proposals for internal approval prior to submitting them to an external agency continues to be a source of frustration for all parties. We have been pleased with the increase in grant activity and appreciate the faculty's efforts to seek external funding; however, the increase in submissions of proposals has magnified the problem of principal investigators not submitting grant proposals for consideration in a timely fashion. At the request of President Schallenkamp and Vice President Schwenn, the proposal review process was discussed, with input from Diana Kuhlmann, Budget Director, Tim Downs, Pam Fillmore, and the school/college Deans.

Effective immediately, proposals must be submitted to the Research and Grants Center at least 7 business days prior to the submission deadline and must be in final draft form with all of the necessary information included.

Assistance with proposal preparation, including budgets, will continue to be provided, but the above deadline must be adhered to. You are *strongly encouraged* to submit a draft of your proposal and budget to the Research and Grants Center well in advance of the 7-day deadline so adequate assistance can be provided and necessary revisions made before the final document is submitted for review.

The rationale for this protocol is to allow sufficient time for review of each proposal and to assure that it receives sufficient editorial time by each party involved in the process. Remember, not all parties required to review proposals are on campus every day due to travel and professional commitments. Requiring this lead time should increase the quality of each proposal, equally increasing the probability of funding, and confirm the university's commitment of resources.

If circumstances beyond your control cause you to miss this deadline, every effort will be made to review your proposal

Information for proposal budgets

The following rates/figures should be used for all proposal budgets, assuming funds are being requested for these items. Contact the Research and Grants Center in advance if you have a compelling reason to use different rates or figures (such as limitations imposed by the granting agency).

Salary: If partial salary reimbursement is being requested for either the academic year or summer, the individual's base salary should be used to determine the amount of salary to request. The academic year contains 20 biweekly pay periods and the summer includes six biweekly pay periods. *Proposal budgets using monthly salary figures will be returned.*

Example 1: an individual with a 9-month appointment at a salary of \$55,000 requesting six weeks of summer salary would use $55,000/20*3$ for \$8,250 compensation in the summer, or \$2,750 for each of three biweekly pay periods.

Example 2: an individual with a 9-month appointment at a salary of \$55,000 requesting 10% release time during the academic year would use $55,000 * .10$ for \$5,500, or \$275/biweekly pay period.

Graduate assistantship stipends: At a minimum, current assistantship stipend rates should be used. You may, however, request a higher stipend in your proposal budget. You should refer to application guidelines for limitations imposed by the granting agency. Current stipend rates are available at <http://www.emporia.edu/grad/research/other>.

Fringe benefits: Fringe benefits must be calculated for all university faculty, staff, and student salaries included in grant proposals. It is acceptable to use a lump sum rate for fringe benefits. If you choose to do this, 29% should be used for all unclassified and classified personnel and 1.5% for hourly students and graduate assistants. If you choose to break down fringe benefits into FICA, retirement, health insurance, etc., you should use the rates for the following fiscal year provided at O:\common\budget\fringes.wpd, or at <http://www.emporia.edu/grad/research/other>. For example, if you are submitting a proposal this fiscal year that will not be awarded or active until next fiscal year, you should use the fringe benefit rates for FY 2003.

as quickly as possible; *however, faculty should be aware*

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Proposal Review, continued

that internal approval is by no means guaranteed and if a proposal appears to be faulty in any manner, it may not be approved for submission to the granting agency.

Each School/College Dean has agreed to assist the research office by demanding that their respective faculty members follow the aforementioned proposal submission guidelines. This process is not designed to cause undue hardship, but rather to ensure that each proposal receives the necessary review by all parties, with time to make revisions, if necessary. Following the above process will allow you time to submit your proposal without the accompanying panic and frustration that results from not having enough time to submit a quality product.

As soon as you know you will be submitting a proposal, you should contact Pam Fillmore in the Research and Grants Center. We will do everything we can to assist you in the proposal development stage and to facilitate the

Where to find our forms

The following forms are available in PDF format at <http://www.emporia.edu/grad/research/link.htm>

- Application for Approval to Use Human Subjects
- Informed Consent Document (to be used with item above)
- Application for Approval to Use Vertebrate Animals in Research and Training
- Application for Travel Assistance
- Proposal Transmittal Form
- Faculty Research and Creativity Committee proposal cover sheet

Student Research Grant application guidelines and form are available at <http://www.emporia.edu/grad/research/stugrant.html>.

The following forms are available on Informs:

proposal – Proposal Transmittal Form
ogsrtrav – Application for Travel Assistance

Where to find other information

Fringe benefit rates, graduate stipend information, and the indirect cost rate is available at: <http://www.emporia.edu/grad/research/other.htm>

Past issues of the *Research & Grants Center Bulletin* can be accessed at: <http://www.emporia.edu/grad/research/bulletin.htm>

Announcements and the Good Morning Discussion schedule

Proposal budgets, continued

Travel: Unless the granting agency imposes certain limitations on travel reimbursement, current state of Kansas travel reimbursement rates should be used.

Indirect Costs: When allowed by the granting agency, the university's full audited indirect cost rate should be used. ESU's current rate is 49.3% of salaries, wages, and fringe benefits. This means that if the proposal is requesting a total of \$33,000 in salaries and fringe benefits, indirect costs should be included at \$16,269. This rate changes yearly, so be sure to contact Pam Fillmore or check the current rate at <http://www.emporia.edu/grad/research/other>. Often times, the granting agency will limit indirect costs to a certain percentage of direct costs – their rate should always be used when given. For example, the U.S. Department of Education normally allows indirect costs at only 8% of direct costs. If the total direct costs (including salaries, fringe benefits, travel, supplies, equipment, other) total \$70,000, then indirect costs should be included at \$5,600, for a total project budget of \$75,600. **Please note: Unless prohibited by the granting agency, indirect costs must be requested. If they are not allowable under the application guidelines, you must attach documentation. Any negotiation of indirect costs must be approved by the Dean of Graduate Studies and Lifelong Learning.** Questions regarding indirect costs should be directed to Pam Fillmore.

You are encouraged to contact Pam Fillmore when you begin to develop your proposal budget. There may be many questions that the above does not address. The Research and Grants Center is here to help you – please contact us early in the budget development process.

Reminder

The deadline for proposals to the Faculty Research and Creativity Committee is 5:00 pm on **Tuesday, December 11**. The Committee will be hosting proposal development workshops on Thursday, November 8 and Wednesday, November 14 at 3:30 pm in the Greek Room of the Memorial Union. Additional information about these workshops will be provided in a separate mailing.

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