**KHAZAR UNIVERSITY GUIDELINES FOR A PROPOSAL SUBMISSION & PROCESS OVERVIEW**

**1. Introduction**

Externally funded research is essential for any research-based university to sustain research activities at the University. Khazar University **Research Support Center (RSC)** encourages and supports faculty to submit proposals to granting and funding agencies to achieve the University’s mission. Such research projects originate mainly from faculty members. The RSC provides services to facilitate proposal submission and also to identify potential opportunities for sponsored programs.

External funding comes to Khazar University through a variety of channels, including specific grants from public, private, and semi-private sectors (both local and international). Such support may come in the form of restricted gifts, competitive grants, contracts and sub-contracts. The requirements for receiving, acknowledging, reporting and accounting for such awards varies accordingly.

**2. General Principles**

**2.1. Purpose**

This document outlines the policies and procedures for a proposal submission and process overview initiated and conducted in collaboration with Khazar University Academic Council members. It sets definitions, policies, and procedures for approval, processing, budgeting, and accounting for research funded from external sources as well as ethical practices.

**2.2. Background**

Eminence in research is crucial to achieving the University's goals of becoming a leading educational institution and a model in the region. Collaboration between Khazar University and individuals, companies, and other universities in the local and international environment is fundamental to conducting research which can be applied to benefit and develop society.

**2.3. Definition**

Statement defined below is to be applied in interpretation of these regulations:

A Proposal : various types of proposal, including Grant Proposals, Project Proposals, Development Proposals, Training Proposals, Business Proposals, Technical Proposal, etc.

**2.4. Eligibility·**

Each faculty are eligible to initiate an application for sponsored projects on behalf of Khazar University.

 **3. Research Support Center (RSC)**

3.1. Research Support Center (RSC)is responsible for assuring adherence to the University’s and sponsor’s policies and procedures, and for following ethical standards in conducting research. It provides direction and guidance in the development, identification, and securing of funding sources as well as proposal development, submission, administering and closure of awards.

3.2. Services will be provided to University faculty and staff through administrative support services for grants and research projects. In addition, the RSC will provide an important interface with public and private members of the external community that have a vested interest in research. It is responsible for management and promotion of research activities that are carried out by the academic departments through external funding.

**4. General Procedures for Proposal Submission and Post – Award Process**

**4.1. Proposal Submission**

4.1.1. RSC with the faculty would identify areas of research and opportunities for potential grant or funding.

4.1.2.· Faculty would develop a proposal according to the requirements and forms of the funding agency.

4.1.3. All correspondence between the faculty and the funding agency must occur through RSC.

4.1.4. Only applications submitted on the correct form, duly completed (with information provided in all relevant sections), dated, showing a balanced budget (project costs are balanced with the project finances) and using the submission procedure indicated in these Guidelines will be accepted.

4.1.5. Final draft of the proposal, including all attachments and the required forms, must be signed by the Khazar University School dean, and then submitted to RSC, 7 working days prior to funding agency deadline, to be reviewed, backed by senior vice-president and signed by the president of Khazar University.

4.1.6. RSC is responsible as well for supplying documents and information to the funding agency which may be required under the agreement or in the event of audits, and for the administration and financial management of the grant or proposed project, including financial guarantees, payment requests, and timely payments to the partners.

4.1.7. Partners must submit RSC mandates signed between Khazar University and each partner, confirming that they grant power of attorney to the Khazar University, to act in their name in signing the eventual agreement.

4.1.8. RSC will submit the proposal to the funding agency, and keep a copy (print and electronic version) of the final proposal in a central file. ·Submission of full proposal bypassing the RSC is not allowed.

4.1.9. The RSC should notify the Project Director/principal investigator and the School dean immediately upon receiving notice of funding or denial from the funding organization.

**4.2. Post-Award Processing**

4.2.1. In case of funding approval, RSC will work with the Project Director on post-award account management.

4.2.2. In accepting a research project or contract, the Khazar University assumes legal and financial responsibilities; both to make certain the funds are used in accordance with the terms specified, and to ensure the performance of the grant or contract-supported project. According to the university administration order this responsibility is shared by the Project Director as the individual designated to direct the project.

4.2.3. Project Director Responsibilities:

4.2.3.1. Overall implementation of the project, including ensuring the work is accomplished in a timely manner in compliance with a project work plan.

4.2.3.2. Timely submission of all reports, deliverables or other information needed by the funding agency and copy to the RSC.

4.2.3.3. Developing either an Independent Contractor agreement or a subcontract, depending on the circumstances.

4.2.3.4. Providing financial reports to Khazar University Accounting department and funding agency in time.

4.2.3.5. Reconcile all expenses in order to be accurate and compliant according to the timeline and the budget.

4.2.3.5. Guarantee that all necessary approvals are obtained from the sponsor and documented in the file before making any restricted purchases, such as foreign travel or equipment purchases.

4.2.3.6. Guarantee that travel expenditures are properly approved, appropriate, and allowable.

4.2.3.6.1. Complex travel arrangements, particularly international travel, may be arranged through a travel agency. First class travel is not authorized unless other seats are not available. Reservations should be made far enough in advance to assure coach rates.

4.2.3.6.2. Living Expenses - Room accommodations should be appropriate for the occasion and not luxurious.

4.2.3.6.3. Personal meals during authorized travel (those not included in the meeting registration fee or as part of an airline trip) are also considered part of living expenses. For employee overnight business travel, the University provides a per diem meal allowance. The allowance is $50 for each whole day of travel. The per diem allowance covers meal costs and tips.

4.2.3.6.4. Automobile travel is reimbursable on the basis of actual mileage/km.

4.2.3.6.5. Khazar University will not reimburse for travel expenses or conference registration prior to the trip/conference. If the individual pays for travel expenses prior to the trip, he/she will only be reimbursed with appropriate documentation after a Travel/Entertainment Expense Report and General Travel Report.

4.2.3.6.6. General Travel Report has been filed following the trip. General Travel Report should be sent to the **RSC** and published through university website and Journal “Khazar View” **during five days** after travel**.**

4.2.3.7. Meeting with the University Administration toward the end of the project period, preferably not later than 90 days prior to the project end date, to review the budget and expenditures posted. If there are any changes needed, they can then be addressed and processed before the end of the grant.

In case of continuing the project director should inform the **RSC** and the University Administration before the end of the grant not later than one month.

4.2.3.8. Facilitate good award management techniques by disseminating information on a wide range of topics related to sponsored research via website, Institutional repository, Khazar University and foreign periodicals.

4.2.3.9. Submitting interim and final program/progress reports to the sponsor within the specified time frame and format indicated by the sponsor in the award document. The format of progress reports is usually determined by the sponsor. If a sponsor does not indicate a format, the

Project Director is advised to use a standard format that addresses the following project management concerns:

* A review of the accomplishments to-date as compared with schedule and objectives as outlined in the original proposal.
* A review of the challenges faced by the award in attempting to meet the schedule and objectives as outlined in the original proposal.
* Supporting statistical data or documentation.
* Management activities, such as documentation or training materials produced, staffing issues, etc.

**5. General Guidelines for Writing a Funding Proposal**

Applicants should use and follow research proposal format and guidelines of the funding agency.

However, most of the applications normally include the following components:

**5.1. Title Page**

The title should be as concise and informative as possible, stating the essence of the research.

**5.2. Executive Summary**

The summary should explain the context of the research, the objectives, the significance of the proposed research, its potential outcomes, applications and benefits, the techniques and methods to be used, its anticipated accomplishments, and its time duration.

**5.3. Introduction and Statement of the Problem/Project**

This is an overview which should briefly describe background information on the proposed research such as why the research is conducted, what the main needs are, and what the benefits are to the community.

**5.4. Analysis of Related Work and Literature Review**

This should include the analysis of related work and **a** review of the literature, and indicate how the proposed research relates to it. It should show how the past activities relate to the research. Critically analyze the relevant and recent literature with a point of view of defining what has been done and what is needed, establishing the need for this project, defining the problem, and establishing the significance and potential contributions of this project.

**5.5. Objectives**

The objectives of the proposed research should be clearly described. For a better understanding, the

objectives should be classified to identify those that are related to basic and applied research whenever applicable. The objectives should be listed in order of priority.

**5.6. Methodology**

***a. Description of the Proposed Research***

The technical approach should be described clearly and in sufficient detail so that the reviewers

will have a firm basis for judgment as to the merit of the proposal. Specifically, what is to be

accomplished and how it will be done. It is essential to clearly indicate whether the work is

theoretical, experimental, or both; pure, applied and whether the necessary facilities are in-house,

etc.

***b. Experimental Design and Procedure***

This section can be written as a narrative detailing the major pieces of capital equipment and

laboratory space requirements, giving justification where purchase is required, or mentoring their

availability in-house. Alternatively, the items can be presented in a list with their justification.

These items would also appear as line items in the budget. Furthermore, detailed information on

the experimental design and procedure should be provided, if applicable.

**5.7. Significance of Proposed Research**

***a. Project Outcomes***

Provide specific, measurable outcomes. Particularly, clarify whether the results are likely to lead

to scientific innovation or commercial outcomes and products.

***b. Beneficiaries and How They Would Benefit***

Here list those who are likely to directly or indirectly benefit from the results of the project. Also,

explain how the results from the project will be disseminated.

***c. Prospects for a Commercial Product***

Describe any prospective opportunities to commercialize the findings of the proposed project.

**5.8. Project Schedule**

In this section, the scheduling of tasks, or milestones, should be discussed. It is understood that some research is highly speculative, and hence difficult to schedule. On the other hand, there should be clear milestones and a reasonable probability of success. The research phases should be broken down and described briefly with the expected outcomes. This section may also include charts for illustrating the schedule for the accomplishment of the tasks, and/or the scheduling of personnel assignments.

**5.9. List of References**

List of references cited in the proposal.

**5.10. Project Budget**

The budget may include the research expenses such as equipment, travel expenses, computer and it’s accessories, software, electronic components, consumables, etc. Modest salaries for the investigators depend of the funding agency policy. Requests for equipment should include a statement of support from host institution. The applicant should clearly show that such equipment is essential to the project.

Provide an overall budget, and few items require full details as follows:

***a. Labor***

Include details of the payroll costs, technical and support staff (full or part-time) who will work on

the project.

***b. Travel***

Provide details of funds required for travel by investigators and staff working on the project.

Particularly, justify the need for travel and whether it is required by the nature of the work.

***c. Consumables***

Provide brief description of consumables and current prices. The need for consumables should

be justified in terms of requirement for the research proposed.

***d. Equipment***

List all equipments that are needed for the project.

***e. Services/Facilities***

List available facilities that are needed in the project.

***f. Other Items***

Describe and justify the need for other budget items in the allocated spaces.

**5.11. Partner Organizations**

Provide the details of project partners and list their cash and non-cash (in-kind) contributions. Partners should confirm their support of the project in its various forms, confirm their contributions and indicate the benefits they are gaining in return.

**5.12. Nominated Referees**

RSC should assign at least one internal referee appropriate to the topic for evaluating the project along with their email address, telephone/fax number etc.

**5.13. Certification**

The signatures of project director, the principal investigator and co-investigators, the signature of the president of the Khazar University, signature of the person in charge of authorizing involvement of the host organization, and the signatures of persons in charge of authorizing partnership in partner organizations should be provided in this certification section. The project director, principal investigator and co-investigators are responsible for getting all the necessary approvals that are needed for them to conduct the proposed project.