

**INSTRUCTIONS FOR COMPLETING THE ABSTRACT AND ENDORSEMENT  
FORM FOR AN APPLICATION FOR EXTERNAL FUNDING  
(Revised 05/30/2007)**

The endorsement procedure must be completed before a proposal is submitted to an external sponsor. It is recommended that this procedure be started at least ten days before the sponsor's deadline. **THE ENDORSEMENT FORM MUST BE TYPED.** Applications for external funding include, an original and two copies of the complete proposal along with three, original signed endorsement forms. The entire package must be submitted to the Office of Research and Sponsored Programs (ORSP) or the Office of Corporate Liaison and Technology Transfer (OCLTT) for review and signoff. **ALL SUBMISSIONS MUST BE RECEIVED AT ORSP NOT LESS THAN FIVE BUSINESS DAYS PRIOR TO THE SPONSOR'S DEADLINE.**

ORSP/OCLTT will provide guidance for completing the Endorsement Form if necessary, but it is crucial that proposal developers allow sufficient time for consultation and provide the most accurate information possible. **ORSP/OCLTT RESERVES THE RIGHT TO DELAY OR WITHDRAW SUBMISSION OF ANY PROPOSAL THAT IS NOT IN CONFORMANCE WITH UNIVERSITY POLICY OR PROCEDURE.**

**A. ABSTRACT OF PROPOSAL**

The attached Abstract of Proposal should be submitted to ORSP/OCLTT **at the same time the endorsement form is processed.** The abstract should not include information that may be subject to copyright or patent protection, that reveals proprietary information from the sponsor, or that discloses budgetary or personal data.

**B. ENDORSEMENT FORM**

**1. Proposal Type – Drop Down:**

- New
- Competing Continuation
- Non-competing Continuation
- Renewal
- Supplement

**Definitions:** A project is considered **NEW** if it is (a) the initial submission (or unfunded resubmission) of an application to a sponsor; (b) a request for support of an ongoing project by a new sponsor; (c) an application being submitted in response to a sponsor's program offering special "supplements" for very specific purposes (such as the NSF Research Experiences for Undergraduates-Supplements [REUs]). A **NON-COMPETING CONTINUATION** proposal represents a re-funding of a project within the originally approved project/budget period. A **RENEWAL** or a **COMPETING CONTINUATION** proposal represents new funding for an existing project by the same sponsor for the next sequential project period. A **SUPPLEMENT** represents additional funding from the original sponsor for a current project, and may or may not extend the project end date.

**2. Type of Activity – Drop Down:**

- Organized Research
- Instruction
- Research Training (i.e. T32)
- Fellowship
- Conference
- Equipment
- Construction/Renovation
- Public Service
- Other

**3. Current Rutgers Account Number.** Complete if this application is associated with an

existing Rutgers account.

- 4. Science Codes:** (drop down) Choose the field that best describes the project.
- 5. Receipt and Deadline Dates**
  - a. Proposal deadline. Enter the date that the proposal is due to the sponsor.
  - b. Proposal submission format: (drop down): Paper, Electronic
  - c. Date application received in ORSP (FOR ORSP USE ONLY)
- 6. Proposal Title:** Abbreviate as necessary, using no more than 100 characters (including spaces and punctuation). ***Proposal title must be unique to the proposal and match the application cover page submitted to the sponsor.***
- 7. Investigator Data (PI and co-PI information):**  
The name recorded on this line must be that of a Rutgers employee or allowable affiliate. See list of eligible categories below. If this is an application by, or on behalf of, a graduate student, the name of the faculty member under whose supervision the student is working must be recorded as the PI. The graduate student's name is to be recorded as Co-PI. According to University policy (ref. January 27, 1992, memorandum from Dr. Joseph J. Seneca), a Principal Investigator (PI) must be from one of the following categories: (1) a full-time faculty or staff member; (2) a full-time faculty equivalent appointment—non-tenure track (i.e. Lecturer, Research Assistant Professor, Research Associate Professor, Research Professor, Visiting Professor); (3) Research Associate; (4) a Post-Doctoral Fellow or Associate; or (5) an individual hired by a faculty member using grant funds. **A letter from the department chair must accompany external funding applications from individuals in categories (2)-(5). The letter must indicate the nature of the appointment and assure that the conditions described in the policy memo have been met.**  
List PI email, phone, salary account number, department/unit name, and organization ID for where PI's salary is charged. Identify % effort/year budgeted on the project.  
List all co-investigators, salary account number, department/unit name, and organization ID for where PI salary is charged. Identify % effort/year budgeted on the project.
- 8. Administrative unit information:** A project may be administered in a unit other than the tenure department of the project director/principal investigator. Identify the department/unit name, organizational ID and affiliated state account number (2-xxxxx) on the lines listed. List administrative contact name and email (the person listed herein will be the central point of contact for fiscal/administrative issues).

**INVESTIGATOR CERTIFICATIONS AND QUESTIONS**

- 9. Debarment, suspension and lobbying certifications**
- 10. Conflict of Interest:**  
Contact Mary Feldenkneiss at 732-932-0150 x 3015 for discussion related to conflict of interest.  
Refer to the University's current conflict of interest statement for further information. Investigators need to disclose; 1) significant financial interests which would reasonably appear to be directly and significantly affected by research and educational activities proposed for funding; or 2) significant financial interests in entities whose financial interest would reasonably appear to be directly and significantly affected by such activities. Please file the form "Disclosure of Significant Financial Interest" (effective October 1, 1995).
- 11. Space and Facilities Resources**  
Please explain additional space and facilities needs on a separate sheet of paper.

## REQUIRED CERTIFICATIONS/SIGNATURES

**Principal Investigator:** Self-explanatory.

**Department Chair:** Endorsement by the Chairperson certifies that the project is consistent with the academic programs of the unit.

**Dean/Center Director/Provost:** Endorsement by the Dean/Center Director/Provost certifies that the project is consistent with University policies and mission. Dean/Center Director/Provost for the administering unit identified in box # 8 should sign the endorsement form.

**Rutgers University Foundation:** Proposals to private sources (e.g. corporate grants-in-aid and corporate foundations, philanthropic foundations, individuals, trade unions, and other non-profit organizations) must be endorsed prior to receipt in ORSP. Signature of a RUF Official Certifies that the proposal is in compliance with the RUFGA Assessment Policy.

**Office of Research and Sponsored Programs (ORSP)/Office of Corporate Liaison and Technology Transfer (OCLTT):** ORSP or OCLTT will review all proposals for conformance with University policies and compliance with sponsor or government guidelines. ORSP (or OCLTT) will provide consultation in advance on budget development and University fiscal policies and represents the University as the authorized negotiator in subsequent discussions with funding agencies.

## INSTRUCTIONS COMPLIANCE page 3

### Animal Welfare Compliance

1. Research involving animal subjects must comply with the Health and Human Services regulations for the Public Health Service Policy on Humane Care and Use of Laboratory Animals and the Rutgers Animal Welfare Assurance. The Rutgers Animal Welfare number is A 3262-01. The Institutional Animal Care and Use Committee (IACUC), known at Rutgers as the Animal Care and Facilities Committee (ACFC), must review projects involving the use of live vertebrate animals prior to the submission of the grant application. However, NIH no longer requires protocols be reviewed within 60 days following the date of grant submission, but must be reviewed and approved prior to the date of award. If you feel that your project may take additional time for the ACFC to review and approve due to the complexity of the project or the use of hazards, you may wish to submit the protocol that relates to the NIH grant earlier to the ACFC.

Requests for review must be received by the ACFC no later than the 10<sup>th</sup> of the month in order to be considered at the next meeting. There are no meetings in August or November. Please check the Office of Research and Sponsored Programs (ORSP) website for any modifications to this schedule.

If a Rutgers employee intends to conduct animal work at a different institution, under that institution's animal protocol, they must also seek protocol approval from the Rutgers ACFC. To be a principal investigator for a protocol, you must also be a Rutgers faculty member. However, the protocol may be used by others on grant applications, as long as the principal investigator for the protocol has listed the person using the protocol number within the protocol.

Copies of the animal protocol review form are available from ORSP or their website at: <http://orsp.rutgers.edu> or from Laboratory Animal Services.

A representative of ORSP must sign any specific funding agency forms addressing the use of live vertebrate animals in research. **Failure to follow these procedures can delay consideration of the proposal by the funding agency.**

## INSTRUCTIONS page 2

### 12. Sponsor Information:

Enter the name of the agency/organization from which Rutgers University will receive payment if the proposal is funded.

If the proposal is being submitted through another University or organization (i.e., as a sub-award), this is the source of funding to Rutgers and should be named on this line. Also identify the prime sponsor, i.e. the primary source of funds to the lead institution.

If the proposal is in response to a program announcement, list the program name and number here as well.

### 13. Budget Data:

Please list the number of graduate students (research assistants), converted as FTE (full time equivalent) and person months charged to the proposal.

Provide initial budget period (Year 1) dates, direct costs, F&A costs and total costs. Provide the same information for the entire project, e.g. five years combined.

### 14. Cost Sharing-Drop down:

Mandatory

Voluntary

According to University Policy if the project involves cost sharing, the PI must provide ORSP with an approved Cost Sharing Budget Template including associated account numbers and approvals (<http://orsp.rutgers.edu/costshare/>)

### 15. Applicable F & A Costs:

Identify the F&A Rate, select the base (drop down fields) and select for on- or off-campus. Contact Grants Specialist for assistance in determining the eligibility of your proposal to qualify for an "on" or "off" campus rate.

### 16. F&A Exceptions:

The University might accept a lower F&A cost rate under the following conditions:

a. The sponsor is a Federal, state or local government agency that, by agency policy or legislation, will not pay the University's F&A rate, and this policy is published in agency guidelines and is applied uniformly to all award recipients.

b. The sponsor is a private, not-for-profit organization that has an official written policy of paying a F&A cost rate lower than the University's rate, and the rate is applied uniformly to all award recipients.

c. When a sponsor's F&A rate is lower than the University's approved rate is used, the rate is applied to **ALL** costs (Total Direct Costs, **NOT** Modified Total Direct Costs), unless the sponsor specifically excludes certain categories.

Requests for any other exceptions to these conditions must be approved by the Dept. Chair and Dean before submission to ORSP well in advance of the application deadline date to obtain Vice-President approval. **Applications submitted to sponsors without such approval are submitted as "provisional" and not in final form, and may not be acceptable to the University.**

### 17. F&A Special Return

A "Special F&A Cost Return" refers to a pre-established arrangement whereby a portion of the F&A generated by an award is returned to the PI or Dean or Department.

### 18. Subcontracts/Subawards:

If the application includes subcontracts/subawards to other organization(s) or institution(s), list each proposed subawardee's name and total budget. A separate budget and statement of work for each subaward along with endorsement/approval from each subawardee's authorized official must be included. For assistance, call ORSP at 732-932-0150.

### 19. Special Reviews

Please complete questions a-l. If answering "yes" to questions a-l, please complete page 3. If hazardous materials (f) is selected, the completion and submission of the REHS form is required ([http://rehs.rutgers.edu/lbio\\_forms.htm](http://rehs.rutgers.edu/lbio_forms.htm)).

For items h-l attach an explanation on a separate sheet of paper.

### 20. Additional Information: If further information or special conditions should be provided, please complete this section.

For **administrative** aspects regarding protocol review, contact:  
Associate Director Research Integrity and Compliance  
Office of Research and Sponsored Programs  
ASB 3, Cook Campus, 3 Rutgers Plaza, New Brunswick, NJ 08901  
Phone: 732-932-0150 ext. 2105; Fax: 732-932-0163

For **clinical** aspects in preparing the animal protocol review form, contact:  
Director of Laboratory Animal Services  
Nelson Biological Labs, Room D108, Busch Campus  
604 Allison Road, Piscataway, NJ 08854  
Phone: 732-445-4168; Fax: 732-445-4148

2. Animal work being conducted in a foreign country must be done at an institution with a Foreign Assurance of Compliance on file with the Office of Laboratory Animal Welfare (OLAW). Institutions without an applicable Assurance of Compliance must provide an appropriate Assurance prior to funding. For additional information and guidance, please visit the Office of Laboratory Animal Welfare web site at: <<http://grants.nih.gov/grants/olaw/olaw.htm>>.

3. Animal work being done under a subcontract must be conducted under an approved protocol at an institution with a federal Assurance of Compliance on file with OLAW.

### **Human Subjects Compliance**

1. In accordance with federal regulations (45 CFR 46) and the Federalwide Assurance that Rutgers maintains with the Office for Human Research Protections (OHRP), research projects involving human beings as subjects, or data previously collected about human beings, must be reviewed by the University's **Institutional Review Board for the Protection of Human Subjects in Research (IRB)**. The Rutgers Federalwide Assurance number is: FWA00003913.

NIH no longer requires that protocols be reviewed within 60 days of the date of grant submission, but must be reviewed and approved prior to the date of award.

Requests for review must be received no later than the 12<sup>th</sup> of the month, in order to be considered for review at the next meeting of the IRB. There is no IRB meeting in August. In some cases, research projects may qualify as exempt from IRB review under one of the six allowable categories of research conduct as defined in 45 CFR 46. Investigators must submit such requests for exemption from IRB review, as such projects still require internal review in order to determine exempt status.

**Failure to follow these procedures can delay consideration of the proposal by the funding agency.** Copies of the protocol and exemption application forms are available from the ORSP website at: <<http://orsp.rutgers.edu/Human.asp>>.

2. If research involving human subjects is being conducted in a foreign country in collaboration with an institute or foreign entity that is engaged in research, a foreign assurance is required. If one does not exist, such a foreign assurance may be obtained through the Office for Human Research Protections: <<http://ohrp.osophs.dhhs.gov/>>. Please note that if the research is being carried out in a foreign country, but does not involve collaboration with a foreign institute or entity, an assurance number is not necessary.

3. If the research involving human subjects is being carried out at another university through a subcontractor, the Rutgers IRB is to be notified of the review status of the protocol at the subcontracting university. Funds may not be released to the subcontractor prior to review and approval of the protocol by the subcontracted institution. A copy of the notice of review of approval must be sent to the Rutgers IRB.

4. All individuals involved in the design or conduct of the research must complete the Human Subjects Certification Program prior to taking part in the conduct of the research.

For subcontracted research, Rutgers will accept copies of a human subjects compliance training program certificate from the subcontracting institute. An authorized representative from ORSP must sign specific funding agency forms (such as NIH requests for proof of training) certifying the review of projects using human subjects in research.

For **clarification** regarding these requirements, please contact:  
Sponsored Programs Administrator  
Office of Research and Sponsored Programs  
ASB III, Cook Campus  
3 Rutgers Plaza, New Brunswick, NJ 08901  
Phone: (732) 932-0150 ext. 2104; Fax: (732) 932-0163

### **Controlled Substances**

1. Principal investigators wishing to conduct research with controlled substances must provide proof of registration with the federal Drug Enforcement Agency (DEA). If applicable, a New Jersey Controlled Dangerous Substances (CDS) registration number should also be provided. If they have not already done so, investigators using controlled substances must complete the controlled substance form found at <<http://orsp.rutgers.edu/cs>>.