
THE STATE UNIVERSITY OF NEW JERSEY

RUTGERS

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ORSP

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# Strategies

- To build a sustainable research program.
- Build physical lab infrastructure.
- Maintain intellectual continuity within lab.
- Maintain momentum (avoid episodic activity)
  - Not moving forward?
- Do not over commit yourself.
  - Balance teaching, service & scholarly activity.
  - Build a reputation of getting things done.
- Don't sell yourself cheap (i.e., use budget as a selling tool).
- Don't be everybody's collaborator.
- Present at meetings (i.e., exposure)
- Within and OUTSIDE your field.
- Show your capabilities (i.e., let them know that you can get the job done if given the funding).

# Early Stage Planning

(6 months or more)

- Write down your goals, aims, thoughts and plans.
- Get preliminary data: have something to show in your proposal
  - Get papers, read papers
  - Consult other faculty
    - Seek out faculty who've served on review panels
    - Obtain critiques of proposed project
- Seek out other successful proposals, examine them and use for guidance
- Establish if project has been done/funded elsewhere

# Proposal Application

## What constitutes an application?

- Any document ( electronic or hard copy ) requesting funds or payment for a project or services from a 3<sup>rd</sup> party
  - A formal application kit
  - A proposal narrative with a budget
  - A letter of request

## What is a preproposal?

- An application that is for agency pre-review purposes
- Does not require institutional authorization
- Allows for budget and narrative revisions before final submission
- Generally does not include acceptance of terms and conditions

# Resources

- ORSP Web site
  - Proposal Preparation Data & Forms
  - Sponsor Link
  - Policies of Rutgers and sponsors
  - Electronic Submission Guidance
- Contacts
  - Grant/Contract Specialists
- Deadline reminder
  - Application submission due at least 1 week prior to deadline
  - Policy Memorandum dated Sept. 3, 2002
    - <http://orsp.rutgers.edu/downloads/Documents/orspendpolicy0209.pdf>

# Proposal Preparation

(6 weeks or more heads-up)

- Contact Grant Specialist at ORSP
  - <http://orsp.rutgers.edu/alphabetical.php>
- Read, re-read and read again
  - Sponsor instructions and guidelines
  - RFA/PA
  - Forms
  - Review submission rules
    - Electronic
    - Hard copy

# NIH Grant Deadline Reminder

## R01 Applications Go Electronic for the February 2007 Submission Deadline

- \* No paper applications will be allowed
- \* Applicants and grants offices should prepare Now!
- \* BIG process change
  - Involves change in application form
  - Must use application form from specific Funding Opportunity Announcement in the NIH Guide
- \* Grants offices must submit applications

Get more info at <http://era.nih.gov/ElectronicReceipt>

# Proposal Preparation

(Cont'd)

- Establish a direct cost budget

For example, \$160K per year

Direct Costs Buys:

- 1 Post doc or one student (GA)
- OR, 1 Research Associate plus one GA
- Summer salary for faculty (2 months)
- Supplies (computer supplies, lab supplies)
- Travel
- Equipment
- Subcontractor
- Other (consultants, publication fees, animals per diem)

# Electronic Submissions

**NSF Fastlane –**

**Cadillac, Mercedes,**

**Jaguar, BMW**

**Grants.gov – THE YUGO**

# Grants.gov

- ORSP is the registered applicant, **NOT** the faculty member
- Notify grant specialist of intent to submit
- PI Responsibilities
  - Download, Read and Follow instructions in RFA/FA and Application kit
  - Download and complete PureEdge Application kit
  - Fill out and upload .pdf files (per instructions) to the application forms
  - Check for compliance with sponsor instructions
    - Font sizes, page limits, margins, etc.
    - Check instructions for file format type
    - Inclusion of all required forms
    - In order for the application to be submission ready, all required forms must be moved to right side of SF424
  - Insure the application is final when submitted to ORSP
    - Prints out in proper format
    - Error free per grants.gov error check
  - Save application file according to standard naming convention
    - Last name, first initial.sponsor.keyword.deadline date(yymondd)
      - Example: SmithR.NIH.R01geneBRAC1.070201

# Grants.gov cont'd

- ORSP/Grant Specialist Responsibilities
  - Consultation and Guidance
  - Be familiar with Program Announcement/RFA
    - Advance notice required
  - Budget
    - Review and Approve PI-prepared budget
      - Compliance with RU and sponsor guidelines and regulations
      - Inclusion and correction application of F&A
        - » Documents supporting F&A exceptions
  - Administrative Info
    - Check administrative pages for correct information
      - Applicant name, address, contact info
      - Representation and Certification pages
  - Application Submission
    - Authorized Officials for Electronic Submission
    - Authorized Officials for Hard Copy/Paper Submissions

# ORSP PDS (Proposal Delivery System)

## **DO NOT send proposal applications to ORSP or Grant Specialists via Email**

- Size of applications packages prevent consistent transmission
- Transmission is not obvious to the sender or ORSP as recipient

## **Before you upload your proposal for submission by ORSP:**

- Name your application file accordingly:
  - P|lastname|firstinitial.sponsorabbreviation.keyword.deadlinedate(yy/mm/dd)
  - Example: SmithJ.NIH.geneticslink.061117
- Print out the entire proposal and all attachments
  - Check compliance with page limits, font size and margins
  - Insure that all mandatory and supplementary documents are there
  - Insure that all text and graphics print out as expected
- Verify that all attachments are in PDF format
- Make sure that all completed documents to be submitted as part of this application are complete and have been moved from the left side to the right side of the form
- Run the “error check” function and correct all errors. DO NOT upload to PDS with any errors.

# Budget Development

- Two Budget Templates (Excel spreadsheets)
  - Cost Sharing
    - DGCA Workshops  
[http://postaward.rutgers.edu/new\\_shop.htm](http://postaward.rutgers.edu/new_shop.htm)
  - Non-Cost Sharing
    - Download template from ORSP website  
<http://orsp.rutgers.edu/CostShare/default.php> ( updated on 9/7/2006 )
    - Read Instructions
    - Only enter data in “blue” areas
    - Template provides a framework for budget development

# Budget Development

(cont'd)

- It does the math !
  - Creates a summary budget for up to five years of funding
  - **Red triangles** are hints and tips
  - Calculates fringe benefits
    - Incorporates escalation for future years
  - Computes MTDC, including future year charges
  - Calculates F&A

# Budget Items

Not allowed as expenses against federal funds

OMB Circular A-110 (<http://www.whitehouse.gov/omb/circulars/a110/a110.html>) prohibits:

- Administrative and Clerical Support
- Office supplies
  - Copying
- Phone charges
- No fees or taxes applied by the department

Rules apply to all grants with federal funds at the source

# Sample Budget

(Direct Costs)

- Faculty summer salary (\$10,103)
  - maximum two months with no fringe
- Post doc \$32K plus fringe (\$8,600)
- Supplies \$15K
- Equipment Must be over \$5K, otherwise it's supplies
- Travel \$1.5K
- Other \$6K (publication, equipment, maintenance, service fees)
- Subcontractor \$79,986

# Budget Development

(cont'd)

- **Grad students**
  - Include tuition & fees
  - Advice on tuition (rates on ORSP website)
- **Consultant versus Subcontractor**
  - Consultants are independent contractors not utilizing the resources of another entity (not RU faculty)
  - Subcontractors perform a scope of work as part of a larger unit
  - Consult RU Policy Manual 40.2.5
- **Subawards/Subcontracts**
  - Need authorized budgets from subgrantee's ORSP
- **Participant Support**
  - Definition
  - Restricted Category
  - Rebudgets not allowed unless approved in writing from Sponsor

# Facilities & Administrative Costs (F&A) (aka indirect costs)

- **Rutgers F&A Policy (9/8/06)** <http://orsp.rutgers.edu/policies.php>
- **What are F&A costs?**

F&A costs are those costs associated with the infrastructure that supports the research enterprise (buildings and their maintenance, libraries, etc.) and which cannot easily be determined for each project. The University requires that F&A costs be included in all proposal budgets and that F&A costs be recovered to the maximum extent possible. F&A rates are negotiated with the U.S. Department of Health and Human Services.

# Facilities and Administrative Costs (F&A)

- F&A is a Percentage of Modified Total Direct Costs (MTDC).
- **MTDC** is total direct costs **minus**
  - Equipment over \$5000
  - Capital expenditures (alterations & renovations)
  - Tuition remission & fees
  - Rental costs
  - The portion of each subgrant or subcontract in excess of \$25,000
  - Participant support (restricted spending)

# F&A (cont'd)

- Some government agencies and non-profit organizations do not pay the university's F&A cost rate; this should be stated clearly in their guidelines. The university may accept a lower F&A cost rate under the following conditions:
  - 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.
  - The sponsor is a private, not-for-profit organization that has an official written policy of paying an F&A cost rate lower than the university's rate, and the rate is applied uniformly to all award recipients.

## F&A (cont'd)

- When a sponsor's F&A rate is lower than the University's approved rate is used, the rate is usually applied to **ALL** costs (Total Direct Costs, **NOT** Modified Total Direct Costs), unless the sponsor specifically excludes certain categories.
- [http://orsp.rutgers.edu/current\\_rates.php](http://orsp.rutgers.edu/current_rates.php)

# F&A (cont'd)

## What is Rutgers negotiated F&A rate for FY07?

- F&A agreement approved 8/29/06
- MTDC on-campus research
  - 54.0% from 7/1/06 – 6/30/07 ( FY 07 )
  - 54.5% from 7/1/06-6/30/08 ( FT 07 – FY 08 )
- 26.0% MTDC off-campus research
- 51.9% MTDC on-campus training or other sponsored program
- \*26.0% MTDC off-campus training or other sponsored program

Rates are posted on the ORSP website

\*OMB/Congress limits all off-campus rates to a maximum of 26.0%

# F&A Off-Campus Rate

- When do I use an off-campus rate?
  - When more than 50% of the costs in MTDC base are off-campus
  - Tutorial on ORSP website  
[http://orsp.rutgers.edu/downloads/BM\\_presentation060704\\_files/frame.htm](http://orsp.rutgers.edu/downloads/BM_presentation060704_files/frame.htm)

# Reality Check

- Now, within this framework, start to think about the project.
  - Establish your aims and time frame based on your budget.
  - Fill in all other details later.
  - Overambitious!
  - Adjust workload/projected studies to fit budget and TIME FRAME of studies.
- Typical time frame (3-4 years).
- Budget should match workload and time frame.
- Don't pad the budget.
- Upfront efforts pay multiple benefits in the long run.

# Purpose of Endorsement

- Provides a written record of institutional endorsement of the project
- Principal Investigator, Department Chair, Dean/Center Director and RU Foundation signatures
- Tracks compliance-related information
  - Conflict of Interest
  - Animal in research
  - Humans subjects in research
  - Cost sharing
  - Export Controls
  - Hazardous substances
  - Controlled substances
  - Other Rutgers requirements
- Pre-proposals are exempt from endorsement

# Rutgers

## Endorsement Process

- Completed, fully-signed and submitted to ORSP with completed grants application 1 week **PRIOR** to agency submission
- Accepted via email (scanned pdf file), fax or hard copy
- Web-based only
- Provides a record for all applications sent to external sponsors
- Information entered into ORSP database
  - Information tracked for reporting and forecasting
  - Info processed to DGCA with award documents for account set-up

# Endorsement Policy

- **As of September, 2004, an ORSP Endorsement Form must be completed and submitted for all sponsored programs and/or applications for external funds.**
  - This includes applications to: federal agencies, corporate, private, foundation, not for profit, state, county or municipalities, other universities, and requests for any supplemental funding.
  - Fully executed and signed endorsement forms may be faxed or scanned and sent via email to ORSP. ORSP will complete the endorsement and return a copy to the P.I. or Departmental Administrator. The original endorsement form (including those faxed or emailed to ORSP and completed in ORSP) is retained in the master file at ORSP and transmitted to DGCA with awards.
  - Award documents cannot be transmitted to DGCA for account set-up until all proposal documents, award documentation, compliance approvals and a fully executed endorsement form are received by ORSP
- It is recommended that the initial endorsement form be saved electronically which will make for quick and easy corrections or updating in future years

# Endorsement Policy

Cont'd

- **NEW** Endorsement forms and signature authority
- Fully signed endorsements must be submitted for each new or competing, multi-year project period or contract.
- Endorsement forms for new and/or competing applications must be signed by the Principal Investigator, Department Chair, and either their Dean/Program Director/Provost. Principal Investigators can not sign for themselves as both PI and as an additional authority.
- Applications to private foundations must be signed by the RU Foundation prior to deliver to ORSP.

# Endorsement Policy

## Cont'd

- **CONTINUATION Endorsement forms and signature authority**
  - An **updated**, continuation endorsement form must be completed for each non-competing continuation year of a multi-award.
  - If there are **NO MATERIAL CHANGES** to an ongoing award (e.g., no change in PI, administering unit, F&A, cost sharing, scope of work), then the P.I. or his delegate **ONLY** need sign the continuation year's endorsement. Principal Investigators are responsible for determining if the continuation endorsement should have the additional signatures of the Dept. Chair and Dean. It is recommended that the additional signatures be sought if there is any doubt as to the materiality of the changes in the continuation award.
  - Continuation endorsements must reflect any additions/changes that have occurred since the previous endorsement period. Minimum updates will include:
    - Proposal type (1)
    - Account number (2)
    - Budget Data (13): enter the continuation budget amounts
    - Special Reviews (19) and Compliance Information (page 3)

# The Endorsement Form

- Endorsement process (Web .pdf download)
  - <http://orsp.rutgers.edu/endorsement.php>
- Must have full version of Adobe Acrobat 7.0 or higher to save and print endorsement form
- Identify RU Principal Investigator (1)
- Choose Science Code (4)
- Identify salary admin unit and Dept. Administrator (8)
- Investigator Certifications(9,10,11)
  - Debarment
  - Conflict of Interest
  - Additional RU Resources
- Compliance and Special Reviews (19 and page 3)
  - Animals
    - Karen Janes: 732-932-0150 x2105 or [janes@orsp.rutgers.edu](mailto:janes@orsp.rutgers.edu)
  - Human Subjects
    - Jim Cavazzoni: 732-932-0150 x2104 or [cavazzoni@orsp.rutgers.edu](mailto:cavazzoni@orsp.rutgers.edu)

# The Endorsement Form

(cont'd)

- Identify Sponsor (12)
- Budget Information (13)
- Cost Sharing (14)
- F&A Rates and Exceptions (15,16,17)
- Identify Subcontractors (18)

Obtain the endorsing signatures

- Principal Investigator
- Department Chairperson
- Dean
- RU Foundation

# The Endorsement Form

(cont'd)

- Submit endorsement form, abstract, original and one copy full proposal to ORSP
  - Final review
  - ORSP sign off on the endorsement
  - ORSP approval for the grant to be signed by University official

**Yippee!**  
**I'm Funded**

# What Happens Now?

- Original award documents to ORSP and copy to PI
- Award and complete endorsement file package to DGCA (Division of Grant and Contract Accounting)
  - Complete package includes fully signed endorsement form, budget, copy of proposal.
- DGCA Account Set-up
  - Issue internal notice of award with RU 4-2 account number

# RU Signature Authorities

- Contracts, Agreements, Letters and Award Documents are LEGAL documents
  - Valid only when signed by proper RU Board of Governors Designees:  
**Michael Pazzani or Maryellen O'Brien**  
**NOT Deans, Chairs, PIs, etc.**
  - Invalid if not signed by RU BOG designee
- Authorized signatures on Grant Proposals
  - ORSP Contract/Grant Specialists, ORSP Acting Director (Maryellen O'Brien) and VP for Research and Graduate and Professional Education (Michael Pazzani)

# General Advice

- Carefully evaluate the offers.
- Sweat Equity (means to an end?)
- Publication issues
- Corporate sponsors are not “broke”.
- Upfront bucks from Start-ups
- PI is the bond.

# Industrial Strategies

- Collaboration or Service?
  - Generation of Intellectual Property
  - Both need agreement/contract written by OCLTT
- Fee-for-Service
  - Typically, no IP
  - Good “hook”, lead to long term collaborations
- Recover all expenses
  - What will the market allow?
  - Don’t be afraid to test the waters, they won’t go away.
- Contact OCLTT early

# Fee-for-Service

- Sweat Equity
- You are a small business.
  - “Profits” can be transferred to your gift account.
  - Gift account = rainy day
  - You can’t lose money.
- A “risk-free” avenue to prove yourself
  - Build relationships & long term collaborations

# The Gift Game

- Appropriate for exploratory studies
- Rutgers retains IP
- Don't Sell Yourself into "Gift Slavery"

# What is a Gift?

- Voluntary and Irrevocable transfer of assets
  - An asset is a resource for use to the benefit of the organization - Examples - Cash, Equipment
- No obligation to the sponsor in return for funds other than recognition
- Expended in accordance with donor imposed restrictions

# 5%-10% Gift Assessment Fee Policy

- RU Foundation Policy (effective 10/1/2006)  
<http://orsp.rutgers.edu/policies.php>
- Applies to all gift, non-governmental grants
- Work directly with RU Foundation on application of fee
  - Obtain RU Foundation approval on endorsement

**“CONTACT”  
POINTS FOR NIH  
AND  
HELPFUL ELECTRONIC  
RESOURCES**

**“You’ve Got Mail!”**  
**Office of Extramural Research (OER)**  
**Listservs to Keep You In the Loop!**

The following provides links to NIH OER listserv addresses and instructions:

- **Office of Biotechnology Activities (OBA):**
  - [https://list.nih.gov/archives/oba\\_news.html](https://list.nih.gov/archives/oba_news.html)
  - Subscribe or browse archives for updates on current initiatives, policies, and news from the OBA.
- **Office of Human Research Protections (OHRP):**
  - <http://www.hhs.gov/ohrp/news/distributionlist.html>
  - Join OHRP's News distribution list for the latest information.
- **Office of Laboratory Animal Welfare (OLAW):**
  - <http://grants2.nih.gov/grants/olaw/references/list.htm>
  - Provides information regarding implementation of the PHS Policy on Humane Care and Use of Laboratory Animals, and upcoming educational workshops and other programs designed to foster compliance with the PHS Policy.
- **eSubmission:**
  - <http://era.nih.gov/ElectronicReceipt/listserv.htm>
  - Provides periodic updates on its electronic grant application program to scientists and administrators in the biomedical research community.

# Updated Contact Sources

- “Grants Administration Information Sources” is available at:  
[http://grants.nih.gov/grants/policy/grants\\_info.pdf](http://grants.nih.gov/grants/policy/grants_info.pdf)
  - Provides updated contact information for Grants Administration individuals at all NIH ICs
- Contact list for NIH Chief Grants Management Officers posted at:  
[http://grants.nih.gov/grants/stafflist\\_gmos.htm](http://grants.nih.gov/grants/stafflist_gmos.htm)

# Grants Information: Who to Contact!

- **General Application Questions:** (Including e-Submission guidelines, resources & referrals, application review & award process, etc.)  
E-Mail: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov)  
Phone: 301-435-0714
- **Customer Support for Grants.gov:** (Including navigating PureEdge forms, aspects of submitting through the system, resources available, etc.)  
E-Mail: [support@grants.gov](mailto:support@grants.gov)  
Webpage: <http://grants.gov/>  
Phone: 1-800-518-4726
- **eRA Commons Help Desk:** (Including Commons registration help, application verification, Commons functionality questions, etc.)  
E-Mail: [commons@od.nih.gov](mailto:commons@od.nih.gov)  
Webpage: <https://commons.era.nih.gov/commons/index.jsp>  
Phone: 301-402-7469 (Toll Free: 866-504-9552)
- **Grants Policy Interpretation & Consultation:**  
E-Mail: [GrantsPolicy@mail.nih.gov](mailto:GrantsPolicy@mail.nih.gov)  
Phone: 301-435-0949 (Toll Free: 800-518-4726)
- **Compliance Issues:**  
E-Mail: [GrantsCompliance@mail.nih.gov](mailto:GrantsCompliance@mail.nih.gov)  
Phone: 301-435-0949