ORSP Town Hall Meeting

Process and Procedures
Who is the Office of Research and Sponsored Programs (ORSP)?

- The mission of ORSP is to facilitate the grant submission process under Federal and State programs, county and municipalities, and Not-For-Profit entities such as universities, foundations, etc.

- ORSP also provides guidance to researchers navigating the various departments that support research at Rutgers.

- ORSP reports administratively under the Office of the Vice President for Research and Educational Development (OVPR&ED).
What is ORSP Responsible for?

• Providing pre-award advice to faculty and departments
• Assisting with budget development aspects of proposal development
• Conducting Negotiations for a wide variety of grant/contract-related agreements
• Providing guidance to researchers navigating the various departments that support research at Rutgers
• Ensuring that the proposal application conform to both the University’s policies and procedures as well as the sponsor’s specific proposal requirements
• Formal Submission of the proposal to the sponsor either through multiple electronic and hardcopy means (i.e. NSF Fastlane, Grants.gov, email submission)
What is ORSP Responsible for? (Con’t)

• Issuance of a Subcontract/Subaward
• Submission of NIH Just in Time (JIT) information
• Submission of No Cost Extension Requests to Other Federal, State, Municipality and Not-for-Profit Entities
• Request for Carry-forward of Unobligated Funds/Carry-over of Unobligated Funds (in collaboration with DGCA)
• Request for Transfer of Principal Investigator or Award (in collaboration with DGCA)
PROPOSAL DEVELOPMENT PROCESS

Each academic unit is assigned a GS.

Develop Project Idea
- Problem/Need/Gap in Service
- Goals
- Objectives
- Approach
- Outcomes/Impact
- Resources Available/Needed
- Time Frame

Find Funding Sources.
- Check Qualifications
- RFP/Announcement
- Guidelines
- Limitations
- Feasibility
- Required Expertise

PI begins to develop proposal with GS, addressing issues such as budget, allowable costs and F&A.

Prepare for Submission

Compliance Review
- Human Subjects: Institutional Review Board (IRB)
- Animal Use: Institutional Animal Care & Use Committee (IACUC)
- Environmental Health & Safety
- Conflict of Interest
- Intellectual Property
- Technology Transfer

PI develops technical conduct of the project. GS reviews application.

Administrative pre-review of the proposal by GS takes place, including budget and regulatory reviews.

GS provides expert advice on federal, state, and sponsor regulations, as well as guidance on issues such as mandatory cost-sharing.

GS reviews endorsement form for accuracy and compliance; reviews administrative aspects of proposal.

PI submits electronic proposals to ORSP. GS submits the electronic proposal to sponsor.

Establish Grant Account
- Temporary restricted account creation
- Abstract Awards for Transmitting

Submit Award for Signature
- Legal review (if needed)

Award Negotiated if Necessary
- Review final award budget
- Route for investigator acknowledgement

Award Notice Received / Initiate Contract Execution
- Award documents received and evaluated for completeness.
- Information verified
- Compliance verified
What is the process for submitting a proposal?

Find Funding

Research funding is available from a wide variety of sponsors.

- **COS Pivot (external funding opportunities)**
  - Research funding opportunities database which provide ability to identify research opportunities and funding from a wide variety of sponsor

- **Internal Funding Sources**
  - Research Council Grants
  - Busch Biomedical Grants
  - The Proof of Concept Fund
  - J&J/Rutgers Proof of Concept Fund
  - Limited Submission Programs Requiring Internal Coordination of Proposals
What is the process for submitting a proposal? (continued)

Notification of Intent to Submit a Proposal

As soon as the determination is made to submit a proposal, contact your ORSP Grant Specialist with the necessary details for your submission.

These details are:

- Link to RFP
- Guidelines for the opportunity (if an RFP is not available)
- Agency name
- Opportunity name
- Opportunity number
- Due date of submission
What is the process for submitting a proposal? (continued)

Budget Preparation

- ORSP is responsible for the approval of the budget(s) of all proposals to outside granting agencies
- Budget Development should be detailed, realistic and as comprehensive as possible
- Budget templates are available for use by faculty and staff (includes most current approved fringe rate benefits and Facilities & Administration (F&A) costs)
What is the process for submitting a proposal? (continued)

Budget Preparation (continued)

• To accommodate the two separate rate agreements of the impending integration of Rutgers and University of Medicine and Dentistry (UMD) until a joint proposal has been approved by the Cognizant Audit Agency, separate Budget Templates are available for utilization:
  – **Budget Template** (reflects the current Rutgers rate agreement)
  – **LUMD Budget Template** (reflects the Legacy UMD rate agreement)
  – **Combined Budget Template** (for use only on LUMD and RU Proposals)

✓ Please Note: Utilization of which budget template to use will be determined by the Prime Investigator’s institution.
What is the process for submitting a proposal? (continued)

Budget Preparation (continued)

• To accommodate the written requirement of cost-sharing or matching funds as a result of receiving sponsor funding, the **Cost-Share Budget Template** is available for utilization.

• Requires a signature of the Chair/Dean approving the funds selected for the cost-share offered.

  ✓ **Please Note**: No proposal will be submitted or award processed without a signed cost-share template being received and validated by ORSP.
What is the process for submitting a proposal? (continued)

Internal Endorsement Form Preparation

- The Endorsement Form is:
  - an internal, detailed, binding document between the department and ORSP
  - Outlines all applicable proposal information
  - Provides information utilized for reporting requests from Departments, Schools, the President’s Office and/or the Governor’s Office.
  - Requires execution from the Principal Investigator (PI), Director, Chair, and Dean before submission to ORSP for review/final execution

✓ A completed and fully executed Endorsement Form is required **5 days prior to the submission deadline date** of any proposal for sponsored funding.

✓ For proposals including Clinical Trials, a completed/fully executed Endorsement Form is required **10 days prior to the submission deadline date** of any proposal for sponsored funding.
## Endorsement Form

**ORSP Processes & Procedures**

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### Endorsement Form

<table>
<thead>
<tr>
<th>Field</th>
<th>Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI, Last Name</td>
<td></td>
</tr>
<tr>
<td>PI, First Name</td>
<td></td>
</tr>
<tr>
<td>Phone</td>
<td></td>
</tr>
<tr>
<td>Employee ID</td>
<td></td>
</tr>
<tr>
<td>Salary Account No</td>
<td></td>
</tr>
<tr>
<td>Committed Effort</td>
<td></td>
</tr>
<tr>
<td>Proposal Type</td>
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<tr>
<td>Please select a Proposal Type</td>
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<td>Activity Type</td>
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<tr>
<td>Please select an Activity Type</td>
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<tr>
<td>Character of Work</td>
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<tr>
<td>Please select</td>
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<tr>
<td>Project Title</td>
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<td>Sponsor Name</td>
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<tr>
<td>RF/AR/PI/Program Number</td>
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</tr>
<tr>
<td>Sponsor/Funding Source</td>
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</tr>
<tr>
<td>(If RUI is sub-award)</td>
<td></td>
</tr>
<tr>
<td>Science Code</td>
<td></td>
</tr>
<tr>
<td>Is this a Clinical Trial?</td>
<td>Yes, indicate please</td>
</tr>
<tr>
<td>Type</td>
<td>Please select</td>
</tr>
<tr>
<td>Clinical Study Site</td>
<td></td>
</tr>
<tr>
<td>Please select a Study Site</td>
<td></td>
</tr>
<tr>
<td>Clinical Budget provided?</td>
<td>No, Yes, indicate please</td>
</tr>
<tr>
<td>Clinical Budget provided?</td>
<td></td>
</tr>
<tr>
<td>Office Performing Review</td>
<td>Yes, Please select</td>
</tr>
<tr>
<td>Approval Date</td>
<td></td>
</tr>
<tr>
<td>Pre-award Administrator Last Name</td>
<td></td>
</tr>
<tr>
<td>Pre-award Administrator First Name</td>
<td></td>
</tr>
<tr>
<td>E-mail</td>
<td></td>
</tr>
<tr>
<td>Phone</td>
<td></td>
</tr>
<tr>
<td>Post-award Administrator Last Name</td>
<td></td>
</tr>
<tr>
<td>Post-award Administrator First Name</td>
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<tr>
<td>E-mail</td>
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<tr>
<td>Phone</td>
<td></td>
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<tr>
<td>Administering Department</td>
<td></td>
</tr>
<tr>
<td>School/Unit</td>
<td></td>
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<tr>
<td>EBRC Admin, Account Unit No.</td>
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<tr>
<td>Organization ID</td>
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<tr>
<td>C warrant Account No</td>
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<tr>
<td>Backup Account No</td>
<td></td>
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</tbody>
</table>

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**Please send additional key personnel below and list all individuals who qualify as “Investigators” under FCOI policy. Attach additional sheets if necessary.**

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
<th>Title</th>
<th>E-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department/Center/Institute</td>
<td>School</td>
<td>Employee ID</td>
<td>Committed Effort</td>
</tr>
<tr>
<td>Last Name</td>
<td>First Name</td>
<td>Title</td>
<td>E-mail</td>
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<tr>
<td>Department/Center/Institute</td>
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<td>Department/Center/Institute</td>
<td>School</td>
<td>Employee ID</td>
<td>Committed Effort</td>
</tr>
</tbody>
</table>
**Endorsement Form (Pg 2)**

<table>
<thead>
<tr>
<th>Sponsor Funding</th>
<th>Initial/Continuation Budget Period</th>
<th>Total Budget Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requested Start Date</td>
<td></td>
<td>Cost Sharing</td>
</tr>
<tr>
<td>Requested End Date</td>
<td></td>
<td>Cost % or Ratio</td>
</tr>
<tr>
<td>Total Direct Costs</td>
<td>Total Direct Costs</td>
<td>Will a project account be needed if awarded?</td>
</tr>
<tr>
<td>Total F&amp;A Costs</td>
<td>Total F&amp;A Costs</td>
<td>No</td>
</tr>
<tr>
<td>Total Costs</td>
<td>Total Costs</td>
<td>On Campus</td>
</tr>
</tbody>
</table>

**BUDGET INFORMATION**

**PROPOSAL LOG NUMBER**

**ENDORSEMENT FORM** (Confidential and Proprietary Information: Advisory, Consultative & Deliberative Materials), DRAFT

Indicate if a pre-established F&A cost return is in place and attach supporting documentation.

If there are any sub-awards budgeted, please list below the names of the Subcontracts and the Total Cost for the Sub-award Budgeted.

<table>
<thead>
<tr>
<th>Name</th>
<th>Total Costs</th>
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</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

**SITES AND LOCATIONS (a)**

<table>
<thead>
<tr>
<th>Name</th>
<th>Primary Performance Site</th>
<th>Performance Site 2</th>
<th>Performance Site 3</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

List below any Core Facilities that will be utilized.

To the extent known at the time of submission, does this proposal involve any of the following, subjecting it to U.S. Export Control Laws? For assistance, please contact the Export Compliance Officer at export-support@rutgers.edu or please call at (848)-932-4522 or visit http://or.rutgers.edu/export.php

- Foreign Nationals involved in research: No | Yes | To Be Determined
- Funding by an international sponsor: No | Yes | (Please provide the sponsor name and country in the space provided below)
- Work outside of the USA: No | Yes | (Please provide the country)
- EAR: Export Administration Regulations: No | Yes | To Be Determined
- ITAR: International Traffic in Arms Regulations: No | Yes | To Be Determined
- OFAC: Office of Foreign Assets Control: No | Yes | To Be Determined

Please indicate whether the project includes any of the following: If the response to any of the items is "Yes", please complete the attached Regulatory Compliance Questionnaire.

- Human Subjects (IRB): No | Yes
- Animal Subjects (IACUC): No | Yes
- Biohazards, Toxins, Pathogens, rDNA, Human Tissues/Cells, (Biosafety): No | Yes
- Materials, Machines, Lasers (Radiation Safety): No | Yes
- Human Embryonic Stem Cell Research (HESCR): No | Yes

Does the research/funding agency or proposed research activity require permits and/or registrations from a non-Rutgers organization, such as, Fish & Wildlife, USDA, CDC, or Federal/State Government Agency?

No | Yes

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Endorsement Form (Pg 3)
Endorsement Form (Pg 4)
Endorsement Form (Pg 5)
## Endorsement Form (Pg 6)

### 1) Are all elements of the live vertebrate animal work that are conducted by the principal investigator or their research team, whether at Rutgers or elsewhere, approved within the scope of an approved Rutgers protocol?

- [ ] Yes, please list the protocol number(s) and title(s) below.

<table>
<thead>
<tr>
<th>Protocol Number</th>
<th>Protocol Title</th>
<th>Approval Date</th>
<th>Expiration Date</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

- [ ] No, an amendment to an existing protocol or a new protocol has been submitted and is under review. Please list the applicable protocol below.

<table>
<thead>
<tr>
<th>Protocol Number</th>
<th>Protocol Title</th>
<th>Projected Amendment Submission Date</th>
</tr>
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<tbody>
<tr>
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</table>

- [ ] No, an amendment will be filed to an existing animal protocol. Please list the applicable protocol below.

<table>
<thead>
<tr>
<th>Protocol Number</th>
<th>Protocol Title</th>
<th>Projected Amendment Submission Date</th>
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</table>

- [ ] No, a protocol will be submitted in accordance with the protocol submission schedule.

### 2) Is animal work being conducted in a foreign country, whether or not you are directly involved in the research?

- [ ] No
- [ ] Yes, please provide the following additional information below.

<table>
<thead>
<tr>
<th>Country</th>
<th>Institution</th>
<th>Foreign Assurance Number</th>
<th>Rutgers Approved Protocol Number</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

### 3) Is animal work being conducted under a subcontract?

- [ ] No
- [ ] Yes, please provide the following additional information about the institution being subcontracted.

<table>
<thead>
<tr>
<th>Name</th>
<th>Assurance Number</th>
<th>Protocol Number</th>
<th>Approval Date</th>
<th>Approval Notice Attached? (Must be provided for approval)</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

### 4) Is animal work being conducted under a service agreement (e.g. antibody production, transgenic mice)?

- [ ] No
- [ ] Yes, please provide the following additional information about the institution being subcontracted.

<table>
<thead>
<tr>
<th>Name</th>
<th>Assurance Number</th>
<th>Protocol Number</th>
<th>Approval Date</th>
<th>Approval Notice Attached? (Must be provided for approval)</th>
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<tbody>
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</table>

### HESCRO

- [ ] Yes, please list the Protocol Number and the title of the approved Protocol below.

<table>
<thead>
<tr>
<th>Protocol Number</th>
<th>Protocol Title</th>
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<tbody>
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</table>

### REHS

- [ ] Yes, please list the Protocol Number and the title of the approved Protocol below.

<table>
<thead>
<tr>
<th>Protocol Number</th>
<th>Protocol Title</th>
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<tbody>
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</tbody>
</table>

### Are all aspects of the human embryonic stem cell research covered by a REC protocol?

- [ ] Yes, please list the Protocol Number and the title of the approved Protocol below.

<table>
<thead>
<tr>
<th>Protocol Number</th>
<th>Protocol Title</th>
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</table>

### Does the project involve the use of class III or IV lasers, ionizing radiation producing devices and/or radioactive materials, chemical carcinogens or other toxic or hazardous chemicals?

- [ ] Yes, please list the Protocol Number and the title of the approved Protocol below.

<table>
<thead>
<tr>
<th>Protocol Number</th>
<th>Protocol Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

### Are all aspects of any work with biohazardous microorganisms or agents, recombinant DNA molecules, or select agents, approved by the Biosafety Committee?

- [ ] Yes, please list the Protocol Number and the title of the approved Protocol below.

<table>
<thead>
<tr>
<th>Protocol Number</th>
<th>Protocol Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

### Please list the agency that requires the permits and/or registrations.

- [ ] Fish & Wildlife
- [ ] USDA
- [ ] CDC
- [ ] Federal/State Government Agency
- [ ] Other, specify

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What is the process for submitting a proposal? (continued)

Internal Endorsement Form Preparation

• For submission to ORSP, Endorsement forms need to be accompanied by :
  – the scope of work (abstract)
  – proposed detailed budget or appropriate budget template
  – Budget justification
  – Any F&A exception or restriction supporting documentation (if applicable)
  – Cost Share budget template with Chair/Dean’s approval (if applicable)

• Endorsement package can be submitted to ORSP via fax, email (scanned pdf file), hand-delivered or by campus mail.
What is the process for submitting a proposal? (continued)

Internal Endorsement Form Preparation

- ORSP GS will review and, if amenable, execute the Endorsement form and log the proposal into COEUS

- ORSP will provide the Business Manager/Department Administrator with the COEUS log number for the proposal as well as note the log number on the Endorsement Form.
What is the process for submitting a proposal? (continued)

Collaborations/Subcontracts

- Collaborative efforts often require the submission of a Letter of Intent along with:
  - Scope of Work with measurable deliverables
  - Signed Letter of Intent
  - Budget
  - Budget Justification
  - Biographical Sketch
  - Other Support information
  - Current Cognizant Audit Agency Agreement
What is the process for submitting a proposal? (continued)

Proposal Preparation and Submission of the Proposal

- It is the responsibility of the investigator and/or departmental administrator to download and complete the appropriate grant submission package including uploading and attaching any supporting documentation.

- Once application is finalized and checked for completeness, it is ready for submission to your GS for final review and submission to the sponsor.
  - If utilizing a specific submission portal, access to submit should be given to the ORSP GS and notification via email to the GS of the applications completion for final review and if amenable, submission to the sponsor.

✓ It is highly suggested that access be provided to the GS early in the preparation process so the GS can see/review the continual progress of the proposal development
What is the process for submitting a proposal? (continued)

Proposal Preparation and Submission of the Proposal

- If the application is being submitted via the grants.gov portal, those applications should be sent electronically to the GS via the Proposal Delivery System (PDS). The PDS system sends an email to the GS notifying of receipt of package for final review and if amenable, submission of the proposal to the sponsor.

  ✓ It is highly suggested that proposal submissions be sent well in advance of the sponsor deadline to ensure delivery to the sponsor prior to the submission deadline which can be especially slow on “high volume” submission days.
What is the process for submitting a proposal? (continued)

Award Processing

- Awards are the official document received from the Sponsoring agency which will include:
  - Final approved budget
  - Period of performance (i.e. project dates)
  - Terms and Conditions of receiving the award

- Awards can come in the form of a(n):
  - Grant
  - Contract
  - Memorandum of Understanding (MOU)/Memorandum of Agreement (MOA)
  - Cooperative Agreement
  - Research Agreement
  - Subcontract/Subgrant
What is the process for submitting a proposal? (continued)

Award Processing (continued)

• It is the responsibility of the ORSP GS to review the terms and conditions of the award and negotiate any undesirable terms that would create a compromising or undesirable situation for the PI and the University
  
  ✓ It is the intent of ORSP to finalize negotiation of an award as succinctly and quickly as possible however negotiations may be delayed depending on sponsor response and scope of the requested amendments

• Once the award is received, negotiated (if necessary) and executed by an Authorized Signing Official/Authorized Organizational Representative it is abstracted to the Division of Grant and Contract Accounting (DGCA) for account setup
  
  ✓ An Authorized Signing Official/Authorized Organizational Representative has the institutional authority to legally bind the University in grants administration matters. (OVPR&ED’s office and delegated to Primary POC in ORSP)
What is the process for submitting a proposal? (continued)

Award Processing (continued)

• The COEUS Abstracting Form is a Rutgers Internal Form used to collect all of the pertinent details from an award document.
• The Abstracting Form is completed by the GS and contains the information required to enter data into COEUS and to transmit the award to the DGCA for processing of account set-up.
• The main highlights of the form are:
  – Sponsor
  – Sponsor Award Number
  – Sponsor Type
  – Proposal Type
  – Status
  – Award type
  – Activity Type (i.e. Organized Research, Instruction, Public Service, Construction, etc)
  – Budgetary Information
  – Subawards, if applicable
  – Compliance, if applicable
## COEUS ABSTRACTING FORM

<table>
<thead>
<tr>
<th>Sponsor Type</th>
<th>Proposal Type</th>
<th>Status</th>
<th>Award Type</th>
<th>Activity Type</th>
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</thead>
<tbody>
<tr>
<td>Federal</td>
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<td>Active</td>
<td>Capital Project/Const.</td>
<td>Clinical Trial</td>
</tr>
<tr>
<td></td>
<td>Renewal (Competing Cont.)</td>
<td>Error Correction</td>
<td>Contract</td>
<td>Conference/Travel</td>
</tr>
<tr>
<td>Foundation</td>
<td>Resubmission</td>
<td>IPAS</td>
<td>Cooperative Agreement</td>
<td>Construction/Facility</td>
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<tr>
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<td>Non-Competing Continuation</td>
<td>IPAS (Remove)</td>
<td>Fellowship</td>
<td>Equipment</td>
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<td>Other</td>
<td>Revision (Supplement)</td>
<td>NCE</td>
<td>Grant</td>
<td>Fellowship (Fellowship)</td>
</tr>
<tr>
<td></td>
<td>Modification</td>
<td>NCM</td>
<td>MOU/MDA</td>
<td>Fellowship (Fellowship/Postdoc)</td>
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<td></td>
<td>Subaward</td>
<td>Reduction</td>
<td>Public Service</td>
<td>Fellowship (Fellowship/Predoc)</td>
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<td>Restricted</td>
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<td>Instruction</td>
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<td>Organized Research</td>
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<td>Training Grant</td>
<td>Other Sponsored Projects</td>
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<td>Task Order</td>
<td>Public Service/Outreach</td>
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<tr>
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<td>Other (specify below)</td>
<td>SBR/STTR</td>
</tr>
<tr>
<td></td>
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<td></td>
<td></td>
<td>Service</td>
</tr>
</tbody>
</table>

### Proposal Information

- Character of Work:
  - Basic Research
  - Applied Research
  - Development

### Budget

<table>
<thead>
<tr>
<th>Effective Date</th>
<th>Initial award life-cycle date</th>
<th>Obligated Funding</th>
<th>The funds committed to this project for a specified period of time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Begin Date</td>
<td>Official start date for this increment</td>
<td>Anticipated Funding</td>
<td>On a new award include all known out years</td>
</tr>
<tr>
<td>Execution Date</td>
<td>Last signature date or date on award/cert letter</td>
<td>Direct Cost</td>
<td>F&amp;A Cost</td>
</tr>
<tr>
<td></td>
<td>Obligated Effective Date</td>
<td>Budget start date of this new award or continuation/supplement</td>
<td>F&amp;A Exception</td>
</tr>
<tr>
<td></td>
<td>Obligated Expiration Date</td>
<td>Official end date for this new award or continuation/supplement</td>
<td>F&amp;A Rate</td>
</tr>
<tr>
<td></td>
<td>Final Expiration Date</td>
<td>Official and date of the full award life-cycle</td>
<td>F&amp;A Exception</td>
</tr>
</tbody>
</table>

### Compliance

- Human Subjects
- Radiation Safety
- Animal Welfare
- NESCIO
- Biosafety
- Export Controls (explain below)

### Comments

Submitted by: [Signature]

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What is the process for submitting a proposal? (continued)

Award Processing (continued)

• If an award requires issuance of a project account due to collaboration between investigators of multiple units within the university, a Project Account Request Form must also be submitted at the time the award is processed to the DGCA.

• The Project Account Request Form requires:
  – The signature of the PI
  – Signature of the Chair and Dean of the Prime Award Unit
  – Signature of the Co-PI
  – Signature of the Chair and Dean of each “project” account unit
  – Detailed budget for each project account to reflect the breakdown of the account for award setup
Project Account Request Form
ORSP Processes & Procedures

Additional Responsibilities of the ORSP Office

• ORSP is also responsible for assisting with the generation and submission of other post-award administrative actions in collaboration with the DGCA.

• The responsibilities include:
  – Budget Reallocation
  – NIH Just In Time (JIT) Requests
  – NIH RPPR Submissions
  – No Cost Extensions
  – Carry forward/Carry over of Unobligated Funds
  – Transfer of Principal Investigator to/from Rutgers
  – Issuance of Subaward Agreements
Additional Responsibilities of the ORSP Office: Budget Reallocation

- Budget Reallocation (i.e. Rebudget) is a request for changes in the approved budget that require sponsor approval.
- These requests generally are in the form of a letter to the sponsor and must be submitted in sufficient time to allow the sponsor to receive/review the request.
  - Please see sponsor award for specific terms and conditions regarding budget reallocations.
- If you require a budget reallocation/rebudget, please contact your GS via email and provide the following:
  - A detailed justification for why the request is needed.
  - How the budget reallocation will benefit the project.
  - An amended budget in the original proposal format (i.e. SF424, NSF Budget Format, etc).
  - Detailed amended budget justification.
Add’l Responsibilities of the ORSP Office: Just In Time (JIT) Requests

• NIH grants policy allows for the submission of certain elements of a competing application to be deferred for certain programs and award mechanisms until requested by NIH after proposal submission.

• These elements that can be submitted JIT by the applicant include:
  – Other Support
  – Certification of Institutional Review Board (IRB) Approval of the project’s proposed use of human subjects (when applicable)
  – Verification of Institutional Animal Care & Use Committee (IACUC) Approval of the project’s proposed use of live vertebrate animals (when applicable)
  – Evidence of compliance with the education in the protection of human subjects requirement
Add’l Responsibilities of the ORSP Office: Just In Time (JIT) Requests

- If a JIT submission is required, you will be notified by NIH accordingly which will allow you to generate/upload any necessary documentation into eRA Commons for submission.
- Once the JIT request is completed, access to submit should be given to the ORSP GS.
- If the JIT is amenable for submission, the GS will then submit to the sponsor on behalf of the PI and University.
Add’l Responsibilities of the ORSP Office: NIH RPPR Submissions

• The Research Performance Progress Report (RPPR) is an annually required report to document grantee accomplishments and compliance with the terms of the NIH award.

• If the RPPR is required, the report is initiated in eRA Commons by the PI and thoroughly completed.
  ✓ Note: detailed budgets are not required unless specified, information is prefilled from eRA Commons where possible and all NIH Compliance and Policy Questions are required to be completed

• Upon successful completion of the RPPR, please route the report to the GS for review.

• If amenable, the GS will submit the RPPR to the sponsor on behalf of the PI and the University.
  ✓ For more information see http://grants.nih.gov/grants/rppr/
Add’l Responsibilities of the ORSP Office: No Cost Extension Requests

• ORSP is responsible for requesting No-Cost Extension (NCE) Requests for Other Federal, State, Municipalities and Not-for-Profit Entities that require agency approval.

• Additionally, ORSP is responsible for the submission of Secondary/Future No-Cost Extension of a Federal Award beyond the expanded authority.

• NCE’s should be requested in advance to manage an orderly accomplishment of project work and to have a contingency plan in case the sponsor does not approve the extension.
Add’l Responsibilities of the ORSP Office: No Cost Extension Requests

- If you require a no cost extension, please contact the GS via email and provide the following information:
  - Sponsor
  - Award number
  - Title of the Research
  - Detailed Justification of what unexpected event(s) delayed the progress of the project
  - How the unexpected events were remedied
  - What progress will occur during the no cost extension period to successfully complete the Statement of Work/Scope of Work
  - How the No Cost Extension request will benefit the project’s results
Add’l Responsibilities of the ORSP Office: Request for Carryfoward/Carryover of Unobligated Funds

• Carryover of Unobligated Funds should be requested to support one-time activities that align with the grantees’s existing goals and objectives

• For awards not subject to expanded authority, recipient must request to carry-forward/carryover unobligated funds from one budget period to the next at least 120 days in advance.
Add’l Responsibilities of the ORSP Office: Request for Carryforward/Carryover of Unobligated Funds

• If you require to carry-forward/carryover unobligated funds for any sponsor, please generate a letter of request utilizing the following guidance and send to your GS.
  – Grant Number and PI Name
  – Appropriate Scientific Justification
    • Plan for use of funds for the NEXT budget period only
    • Detailed categorical breakdown including F&A Costs (if applicable)
    • Justification of the unobligated balance of funds
  – Scope of request should be limited to the approved goals of the project, or clearly delineate where the request exceeds the approved goals of the project.

• Your GS will verify the carry-forward/carryover amount with the DGCA and either execute the physical request or email the request to the sponsor.
Add’l Responsibilities of the ORSP Office: Request for Transfer of a Principal Investigator or Award

• Awards are made by sponsors, to institutions in full consideration of the skills and talents of the PI managing the project. Periodically, situations arise when a PI is no longer available to continue to project.

• In cases such as these, the sponsor must be informed immediately in writing when such an event occurs.

• All notifications to the sponsor must be in writing and co-executed by an ORSP official.
Add’l Responsibilities of the ORSP Office: Request for Transfer of a Principal Investigator or Award

Internal Changes in Principal Investigator

• In the event that a Rutgers University grant/contract needs to be transferred internally from one PI to another, the procedures is as follows:
  – PI’s involved in grant/contract transfer must notify their ORSP Grant Specialist of the intended transfer through submission of a completed ORSP Internal Grant Transfer Request Memo
    • Must be signed by the relinquishing and accepting PI as well as their respective Deans and Department Chairs
  – A change of PI Letter (or electronic system notification) must also be submitted to the Sponsor and co-signed by an ORSP official
Add’l Responsibilities of the ORSP Office: Request for Transfer of a Principal Investigator or Award

Transfer of Award(s) To Rutgers

• Step #1: Work with the grants officer at the grantee institution to contact the sponsor’s grant officer assigned to the project(s) and request the following items:
  – Transfer/relinquishing forms
  – Contact Information
  – Special instructions specific to your awards (if applicable)

• Step #2: Complete the necessary sponsor forms for award and/or equipment transfer
  • The grantee institution is responsible for submitting final financial reports to the sponsor.
    ✓ Note: Grants cannot be transferred form one institution to another until the financial reports are submitted.
Add’l Responsibilities of the ORSP Office: Request for Transfer of a Principal Investigator or Award

Transfer of Award(s) To Rutgers

• Step #3: The following documents must be submitted to ORSP in order for Rutgers to accept the grant/contact transfer and a research account to be setup in DGCA:
  – Copy of any relinquishing statement signed by the grantee institution
  – A full proposal including:
    • Completed and signed RU Endorsement Form
    • Budget – should reflect the balance shown on the relinquishing statement and incorporate Rutger’s F&A rates.

• Step #4: After receiving approval form the ORSP; the revised proposal, budget, and any additional forms are submitted directly to the program or grants officer assigned to the project either by the GS or the PI (sponsor dependent)
Add’l Responsibilities of the ORSP Office: Request for Transfer of a Principal Investigator or Award

Transfer of Award(s) From Rutgers

• Step #1: Complete the necessary sponsor forms for award and/or equipment transfer:
  – While completing forms, work in conjunction with the departmental business office and DGCA to determine and agree upon account balances. DGCA is responsible for submitting financial reports to the sponsor. Grants cannot be transferred from one institution to another until the financial reports are submitted.
  – Route any documents requiring “institutional signatures” to your GS for review and execution
    ✓ Note: Deans, Department Chairs, etc are not authorized to relinquish grants or equipment on behalf of Rutgers.

• Step #2: Complete any additional requirements outlined by the agency or the institution to which the award is being transferred to.
Add’l Responsibilities of the ORSP Office: Request to Issue a Subaward

• The Grant Specialist obtains from the PI a Subaward/Subcontract checklist and/or modification checklist

• Required Attachments to the Subaward/Subcontract are as follows:
  – Detailed Statement of Work/Scope of Work
  – Detailed Budget
  – Detailed Budget Justification
  – If animal or human subjects research is anticipated, subawardee’s IRB/IACUC approval notices (if applicable)

• Any special clauses, flowdowns, or unusual requirements that should be incorporated in the Subaward/Subcontract should also be noted

• For a detailed description of the required procedures to Request to Issue a Subaward, please consult the Administration of Outgoing Subawards Manual.
Request to Issue a Subcontract/Subward Checklist
Request to Issue a Subcontract/Subward Modification Checklist
Conclusion

In conclusion, the ORSP is here to help you so please do not hesitate to contact us with any questions/concerns you may have. This is a work in progress so there may be changes over time to better streamline the process. Please refer to the ORSP website: orsp.rutgers.edu for further updates.

For questions or comments:
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Casandra Burrows (848) 932-4002 or caburrow@grants.rutgers.edu