

## **Research & Sponsored Programs Procedure**

### **Sponsored Project Review and Approval Process**

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#### **1. Overview**

The University Board of Governors has delegated authority for approval and submission of proposals to federal, state, for-profit, corporate, not-for-profit and other non-corporate sponsors, foundations and organizations, educational institutions, and other external organizations to Research and Sponsored Programs (RSP). RSP must review and approve ALL proposals prior to submission to an external funding agency.

Faculty and staff members who plan to request, or anticipate receiving, funding, equipment, materials and supplies, or any other form of support from an external organization or institution, should check with RSP to determine if institutional approval is required. This applies to formal proposals, preliminary proposals, email submissions, letters, and even agreements reached at meetings or during conversations with potential collaborators. Working with RSP prior to proposing or accepting agreements from sponsors will ensure that potential problems are resolved in advance and will result in a shorter, smoother turn-around and implementation of the research project.

#### **2. Purpose**

To outline expectations and requirements for submitting proposals to external agencies on behalf of the University and to provide guidance to faculty and staff regarding the proposal submission process, including internal submission deadlines identified in the RSP Service Level Matrix and Memorandum. This procedure provides guidance to faculty/project directors and staff regarding all proposals (paper and electronic) submitted to an organization external to the University in support of any research, training, or other sponsored project.

#### **3. Who Must Comply**

Principal Investigators (PI)  
Project Personnel/Staff  
Deans Directors, Chairs and Department Heads  
Department Personnel  
Business Managers  
Research and Sponsored Programs  
Office for Research

#### **4. Definitions**

Administrative

Portion of Proposal: The Final Administrative portions of the proposal generally include the application cover page, budget, budget justification, biosketches and current and pending support for all key personnel, as well as any other business or administrative materials required by the sponsor. The administrative portion of the proposal encompasses all content excluding the technical portions. Specific requirements may vary with each sponsor.

Late Proposals:	Administrative portion less than five days or technical Portion of the proposal received less than two business days prior to the sponsor's deadline.
Principal Investigator:	A Rutgers faculty or staff member who bears responsibility for the intellectual leadership of a project. The PI accepts overall responsibility for directing the research, financial oversight, and compliance with relevant University policies and sponsor terms and conditions of award.
Sponsored Project:	Any externally funded research, training, evaluative testing, or public service project directed by Rutgers faculty and staff as part of their university work that requires the university to perform a specified program or deliver a specific product.
Technical Portion of Proposal:	The portion of the overall proposal that generally includes the goals and aims of the research and other technical information in narrative form, such as Abstract, Executive Summary, Technical Description, Research Approach, References, etc. Specific requirements may vary with each sponsor. Also referred to as a scientific proposal.

## 5. Procedure

RSP must review and approve all proposals prior to submission to an outside funding agency. Proposals may not be submitted directly to the funding source without the prior approval of RSP. The University reserves the right to decline awards resulting from unapproved proposals.

To facilitate this process, RSP has implemented the following [proposal submission deadlines](#):

- Final administrative portions of the proposal must be submitted to RSP by 12 Noon five (5) business days in advance of the sponsor's deadline.
- Final technical proposals must be submitted to RSP by 12 Noon two (2) business days in advance of the sponsors deadline.
- It is strongly encouraged that proposals be submitted to RSP for review and approval at least two weeks before the sponsoring agency's deadline.
- Extra lead time is also recommended for complex proposals (i.e. those with contract documents incorporated, multiple consortium or subcontract arrangements, cost sharing from third parties, and/or complicated budgets).

Proposals submitted to RSP on time will be reviewed in the order they are received and will receive priority over those submitted late. RSP will make a good faith effort to review proposals received late but cannot guarantee either a complete and thorough review of the application package or the successful and/or error free submission. See also RSP [Service Level Agreement](#) memorandum.

**If you have any questions/concerns regarding any of the information included herein, please contact your RSP Grant Specialist for further assistance.**

## 6. Required Approvals:

Each Department and School has its own proposal review and approval hierarchy built into the University RAPSS system. Levels below are provided as examples for who and what is reviewed and approved at each level. These levels may vary between units.

Who Reviews and Approves	What is being Reviewed and Approved
PI/Project Director	PI/Project Director submission indicates acknowledgment that they are committing to the work as written in the narrative and as specified in the budget; ensures that the project will comply with institutional and sponsor compliance requirements. <b>Note:</b> PI is the ONLY one with “ <i>Submit for Department Review</i> ” ability in the RAPSS system. Denotes their signature on the funding proposal.
Department Chair or Designee	Reviews for awareness of research and scholarly activities and time commitments. Acknowledges they can accommodate any proposed course release as well as departmental commitments such as personnel, equipment, cost share, etc. Ensures proposal meets the department research needs and strategic vision.
Dean or Designee	Acknowledges that they can accommodate the faculty’s proposed course release, curriculum impact, college resources and financial requirements (i.e. cost-share, space). Reviews for potential impact of the proposal on the school’s resources.
Research and Sponsored Programs Grants Specialist	Acknowledges that proposal meets the University and Sponsor guidelines for submission. Confirms any prior approvals required have been received and documentation is attached to funding proposal. Acknowledges RAPSS funding proposal is accurate for reporting purposes, Provides authorized representative endorsement on behalf of the University. Complete list of items reviewed are represented under the <a href="#">RSP Service Level Agreement</a> .

## 7. Roles and Responsibilities

<b>Department Personnel</b>	<ul style="list-style-type: none"> <li>• Support the PI and project team with review of proposal guidelines</li> <li>• Support PI and project team with communicating intent to submit to RSP</li> <li>• Provide guidance on Department/School policy for proposal review.</li> </ul>
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<b>Principal Investigators</b>	<ul style="list-style-type: none"> <li>• Develop proposal and ensure all proposal documents are accurate, complete and comply with funder instructions.</li> <li>• Submit all administrative portions of the proposal via RAPSS for RSP review and approval five (5) business in advance of the sponsor deadline and all technical portions two (2) business days in advance of the sponsor deadline.</li> </ul>
<b>Research and Sponsored Programs</b>	<ul style="list-style-type: none"> <li>• Support the PI with interpretation of sponsor guidelines</li> <li>• Review and approve all proposal and subaward proposal documents to make sure they conform to University and Sponsor guidelines.</li> <li>• Provide feedback and recommendations to those proposals submitted within the RSP deadlines.</li> <li>• Provides final review and approval and makes appropriate update in RAPSS.</li> </ul>

## 8. Resources

- a. [Internal Submission Deadlines](#)