

The Office of Research and Sponsored Programs (ORSP), reporting administratively under the Office of the Vice President for Research and Economic Development (OVPR&ED), is located at 3 Rutgers Plaza, ASB III, New Brunswick, N.J. 08901, with additional offices located on the Rutgers–Camden Campus; the Rutgers–Newark Campus; and Rutgers-Busch Campus in Piscataway.

The mission of the ORSP is to facilitate the grant submission process under Federal and State programs, counties and municipalities, and Not-for-Profit entities such as universities, foundations, etc. Rutgers’ Office of Corporate Contracts, which also is part of OVPR&ED, is responsible for reviewing, drafting, negotiating and signing all industry sponsored agreements. (see <http://vpr.rutgers.edu/corporate-contracts/>)

An application to an outside agency for funds to support research, instruction, and public service must conform to the Rutgers policies and procedures as well as the agency’s specific requirements. There are, however, certain general practices and procedures common to all proposals submitted through Rutgers. The ORSP provides pre-award guidance to faculty and departments, assists with the budget development aspects of proposal development, conducts negotiations for a wide variety of grant-related agreements, and also provides guidance to researchers navigating the various departments that support research at Rutgers.

The following chart is intended to provide an overview of the Pre-Award process from inception through award processing.

DISCOVER FUNDING

Research funding is available from a wide variety of sponsors. To facilitate the Researcher in finding external sources of funding, Rutgers offers [COS Pivot](#). It is a research funding opportunities database that provides Research Professionals and Research Administrators with the ability to identify research opportunities and funding from a variety of sponsors.

In addition to the external funding opportunities, there are multiple funding sources available internally at Rutgers University as well. These internal funding sources include:

- **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**

NOTIFICATION OF INTENT TO SUBMIT A PROPOSAL

To begin the grant submission process, the investigator or departmental administrator should contact the ORSP grant specialist assigned to their [unit \[see Research Contract/Grant Specialist \(“GS”\) list by department\]](#) as soon as the determination to submit a proposal has been made. The investigator or administrator then provides the GS with the link to the RFP, or attaches the

guidelines to the email along with the agency name, opportunity name and/or number and the due date of the submission. This will allow the GS to review the guidelines, ensuring the institution meets the qualifications to submit the proposal and to highlight for the investigator any special forms and/or terms and conditions that may be required as part of the submission process. This “heads up” also ensures that the GS is ready to assist the investigator and/or departmental administrator with questions or concerns regarding the requirements outlined in the guidelines as well as the submission mechanism.

Today’s technology is constantly changing and, therefore, the submission systems utilized by many of the sponsoring agencies also are constantly changing. Advance notification to the GS will ensure that any system changes or portal accesses are gained before the day of submission. The investigator and/or departmental administrator should review the guidelines carefully paying close attention to the submission mechanism needed. Should the investigator require access to an electronic system, he/she should reach out immediately to the ORSP GS to request access.

BUDGET PREPARATION

The ORSP is responsible for the approval of the budget(s) of all proposals to outside granting agencies and negotiating awards with funding agencies. The ORSP is empowered to affix the “authorized official” signature required by most funding agencies and authorizes start-up operations (in consultation with the Division of Grant Accounting [DGCA]). The ORSP will assist in providing the required supporting materials such as university assurances of compliance with regulations on civil rights, equal opportunity, ADA requirements, proof of tax-exempt status, and similar matters.

Budget development should be detailed, realistic, and as comprehensive as possible to ensure that all costs of the project have been accounted for. To assist in this process, the **Budget Template** (new version soon) is used by faculty and staff in the preparation of their grant budgets. The budget template includes auto-calculating features to calculate the most current approved fringe benefits and facilities and administrative costs (F&A) as established by the current **Rutgers rate agreement**, (new version soon) as well as imposing the correct calculation rules regarding those purchases or services that do not incur F&A.

Due to the integration of Rutgers and University of Medicine and Dentistry of New Jersey (UMDNJ) on July 1, 2013, there will be separate institutional rate agreements until such time as a joint proposal has been submitted and approved by the Cognizant Audit Agency. Therefore, to accommodate the two separate agreements, there is a second **LUMD Budget Template** for the Legacy UMDNJ group that reflects the rates established by the **Legacy UMD rate agreement**. Additionally, as a result of the different fringe benefit rates, a second personnel page has been added to each template to assist in the preparation of budgets that include collaborative personnel from the other institution. Only one F&A rate can be reflected on the proposal budget so the F&A rate utilized in a collaborative proposal between a Rutgers investigator and a Legacy UMD Investigator will be determined by the F&A rate of the Prime Investigator’s institution.

To accommodate the written requirement of some Sponsors for cost-sharing or matching of funds as a result of receiving sponsor funding, the ORSP has the **Cost-Share Budget Template**

(new version soon) available for use. Use of this template is required for any sponsored research that involves cost-sharing or matching of funds. This template requires the signature of the Chair/Dean approving the funds selected for providing the cost-share portion of the budget. No proposal will be submitted or award processed until a signed cost-share template has been received and validated by the ORSP.

Once completed, the budget template or the cost-share template, along with a complete budget justification, should be sent electronically to the GS for review and comment. The GS will respond back with any questions, concerns, request for correction(s), or suggestions on how to clarify the budget or justification.

(Please note, the total funds granted by the sponsor at the time of award may not reflect the total amount of funds requested at the time of the proposal submission. As a result, your GS will contact you/your Business Manager to request a revised budget to reflect the exact amount of funds, in MTDC or TDC and F&A, received from the sponsor as stated in the award document.)

INTERNAL ENDORSEMENT FORM PREPARATION

The next step in the submission process is the completion of the **Endorsement Form (new version soon)**. The Endorsement Form is an internal, detailed, binding document between the department and the ORSP, where all appropriate signatures from the Investigator (PI), Director, Chair and Dean must be obtained prior to submission of a proposal. The fully executed Endorsement Form ensures that a proposed project is complete and consistent with the missions and policies of the department, school, and university. The Endorsement Form outlines all applicable proposal information for grants, contracts, MOA, MOU, Cooperative Agreements, and any other type of proposed submissions. The information collected on the Endorsement Form is also utilized for reporting requests that come in from various sources including Departments, Schools, President's Office, and/or the Governor's Office.

A completed and fully executed Endorsement Form **is required five business days prior to sponsor deadline date** of any proposal for sponsored funding. In the case of clinical trials, the ORSP requests the completed Endorsement Form **ten business days prior to sponsor deadline date** for any sponsored funding.

All completed proposal documents including the scope of work (abstract), proposed detailed budget or appropriate budget template, and budget justification shall accompany all Endorsement Forms at the time of submission to ORSP. Any F&A exceptions or restrictions must be clearly identified and include the supporting documentation from the agency and/or Office of the Vice President for Research, and any Cost-Share budgets shall require the Chair's written approval on the Endorsement Form and cost-share budget template.

The endorsement package can be sent via fax, email (scanned PDF file), hand-delivered, or campus mail. Upon receipt of the Endorsement package, your GS will review the Endorsement Form and proposal application to confirm the information in the package complies with sponsor

and university policies and will review the detailed budget and budget justification for consistency. Once all the information in the Endorsement Form, proposal application, budget, and budget justification are amenable, your GS will sign off on the Endorsement Form and log the proposal in COEUS, the grants- management system used by ORSP. The ORSP will provide the Business Manager/Department Administrator with the COEUS log number for the proposal at that time. The log number will also be noted on the Endorsement Form.

Please Note: Effective July 1, 2013, no proposal will be submitted without the ORSP having received a fully completed and signed Endorsement Form. In rare instances and/or emergency situations, a request can be made by the Chair/Dean to the OVPR that the proposal be released for submission in lieu of a fully signed endorsement form. The request must include an explanation as to why the endorsement form is not yet available as well as when the endorsement form will be provided to the ORSP.

EXTERNAL COLLABORATIONS/SUBCONTRACTS

The research endeavor often requires the collaboration of multiple investigators. These collaborative efforts often require the submission of a signed **Letter of Intent** (new version soon) along with supporting documentation including a Scope of Work (SOW); Budget, Budget Justification, Biographical Sketch, Other Support information, and most recent Cognizant Audit Agency Agreement.

A **Letter of Intent** is a non-binding “good faith” statement by one or both parties that they wish to complete a research contract agreement. Special sections regarding negotiations, confidentiality and other process issues can also be added. The Letter of Intent provides the Grant Officers of both institutions with a vital bridge between mere discussions and a binding contract. Furthermore, it is used to identify the key business and contractual understandings that will form the basis of the final contract. For example, requirements such as scope of work, budget, human/animal subject involvement, a financial conflict of interest or other provisions that may make the cooperating PI or agency ineligible can be easily identified and the cooperating PI or agency notified at this stage of the proposal process.

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 required supporting documents. If the submission is through an online system, then it is the investigator’s responsibility to provide all information including the SOW (including Abstract); Budget; Budget Justification; Administrative Information pages and any other relevant proposal documentation to the ORSP GS prior to submission.

Once the application package is finalized and checked for completeness, it is ready for submission. If the Sponsoring Agency has a specific submission portal that is used (e.g., NSF utilizes the Fastlane system and the N.J. Commission on Spinal Cord Research utilizes the Blue

Sage system), then access to submit should be given to the ORSP GS (NOTE: at any time during the preparation process access to review can be given to the GS and is highly suggested so that the GS can see the continual progress of the proposal development). Once access is granted, the GS should be notified by email that the application is ready and access has been granted to complete a final review. If the proposal package is amenable for submission, the GS will then submit of behalf of the investigator and the institution. If the application is being submitted via the grants.gov portal, those application packages should sent electronically to the ORSP GS via the Proposal Delivery System (**PDS**) and an email will be sent from the PDS to alert the GS that the package is there and ready to review and submit.

Once the GS receives notification of receipt of the grant package, a final review will be performed to ensure the correct package has been used; the application is in compliance with the Sponsor guidelines; the proposal has been completed correctly and all supporting documents have been attached. The GS will also verify that a completed and signed endorsement form has been received and, if there are cost-sharing requirements or F&A waivers involved, that we also have the signed cost-share budget and supporting documentation. If everything is in order and the package complete and accurate, the GS will submit and provide the investigator confirmation.

AWARD PROCESSING

Awards are the official documents received from the Sponsor Agency, which will include the final approved budget; the period of performance (i.e., project dates); and terms and conditions of receiving the award. This award can come in the form of a Grant; Contract; MOU; MOA; Cooperative Agreement; Research Agreement; or Subcontract. It is the responsibility of the ORSP GS to review the terms and conditions of the award document and negotiate a resolution to any undesirable terms that would create a compromising or undesirable situation for the investigator and the institution. Please note that it is the intent of the ORSP to finalize negotiation of an award document as succinctly and quickly as possible; however negotiation may take several weeks depending upon the sponsor and the scope of the requested amendments. Once the award has been received and, if necessary, negotiated accordingly, and fully executed by the authorized signing official/authorized organizational representative, the award is then abstracted to Rutgers' Division of Grants and Contract Accounting (DGCA) for the issuance of an account number.

It is important to note that an Authorized Signing Official/Authorized Organizational Representative has institutional authority to legally bind the institution in grants administration matters. (Please see **Board of Governor's Resolution** for those delegated with the authority to legally bind the institution in grants administration matters.)

The **COEUS Abstracting Form** is an ORSP internal form used to pull pertinent details from an award document for data entry into the COEUS system and transmission to the DGCA.

The abstracting form is completed by the GS and contains the information needed to enter the award data into COEUS and to process the award for account set-up.

The main points of the form are:

- Sponsor
- Sponsor Award Number
- Sponsor Type
- Proposal Type
- Status
- Award Type
- Activity Type
- Budgetary Information
- Subawards, as applicable
- Compliance, as applicable

Upon completion, the abstracting form with the corresponding Endorsement package which includes the award notice and/or fully executed contract; the budget and/or budget template (fully executed cost-share budget template if applicable); and a copy of the full proposal is sent to DGCA, the official repository of all award documentation, for account set-up. DGCA will provide the Investigator with confirmation of account set-up upon completion.

If the award requires issuance of a project account due to collaboration between investigators of multiple units within the university, a **Project Account Request Form (click here)** must also be submitted at the time the award is processed to the DGCA. The project account request form requires the signatures of the PI as well as the Chair and Dean of the prime award unit as well as the signatures of the Co-I and Chair and Dean of each “project” account unit. Additionally, a detailed budget for each project account will be required to reflect the breakdown of the account for award set-up.

ADDITIONAL RESPONSIBILITIES OF THE ORSP OFFICE

Along with the submission of proposals and the acceptance of award documentation, the ORSP is responsible for assisting with the generation and submission of other post-award administrative actions in collaboration with the DGCA such as Budget Reallocation, NIH Just-In-Time requests, No-Cost Extensions, Carry-forward of Unobligated Funds, and Transfer of Principal Investigator to/from Rutgers.

1) REQUESTING BUDGET REALLOCATIONS

A Budget Reallocation (i.e., Rebudget) is a request for changes in the approved budget that require sponsor approval. These requests are generally in the form of a letter to the sponsor and must be submitted in sufficient time to allow the request to reach the sponsor 30 days prior to the expiration of the award. Some agencies require the request 45, 60, and even 90 days prior to the

expiration of the award. Please see sponsor award for specific terms and conditions regarding budget reallocations.

If you require a budget reallocation or rebudget, please contact your GS via email and provide a detailed justification for why the requested 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.), and a detailed amended budget justification.

EXPANDED AUTHORITIES

[Refer to DGCA website- <http://postaward.rutgers.edu/ExpandedAuthority.html>]:

Many federal agencies have waived cost-related and other prior approval requirements for many activities and expenditures, and provided authority for these activities and expenditures to the grantee institution. These operating authorities are termed “expanded authorities”. Please note, some federal agencies (e.g., NIH) have certain award instruments, mechanisms, and types of recipients excluded from the expanded authority to automatically carry over unobligated balances. Also certain grants or grantees may also be excluded from expanded authorities, including those that require close project monitoring or technical assistance, and certain large multi-project grants. If excluded from some or all expanded authorities, the Notice of Grant Award will indicate any change from the standard terms and conditions. Grantees must review the Notice of Grant Award to determine whether and to what extent they are permitted to use expanded authorities.

2) REQUEST FOR JUST IN TIME (JIT) INFORMATION:

NIH grants policy allows the submission of certain elements of a competing application to be deferred for certain programs and award mechanisms, as referenced in the [NIH Grants Policy Statement](#) [see section titled *Just-In-Time Procedures* under [Completing the Pre-Award Process](#)]. These elements, that can be submitted Just-in-Time by the applicant when requested by NIH, 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

If a Just-In-Time (“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. This JIT request will be sent electronically to the Principal Investigator (PI) and the ORSP general email address. When the PI receives the JIT request, a copy should be forwarded

immediately to the appropriate GS. Once the JIT request is completed, access to submit should be given to the ORSP GS. Once access is given, the GS should be notified by email that the JIT is ready and access has been granted to complete a final review. If the JIT is amenable for submission, the GS will then submit on behalf of the investigator and the institution.

3) REQUEST FOR SUBMISSION OF A NIH RPPR (RESEARCH PERFORMANCE PROGRESS REPORT)

The Research Performance Progress Report (“RPPR”) is annually required report to document grantee accomplishments and compliance with the terms of the NIH award. A RPPR is mandatory for all SNAP and Fellowship awards for the reporting due date on or after 5/15/2013.

If a RPPR is required, the report is initiated in eRA Commons by the Principal Investigator and thoroughly completed. Please note that detailed budget 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 your GS for review. If amenable, your GS will then submit the RPPR on behalf of the investigator and the institution. For more information regarding the RPPR, see <http://grants.nih.gov/grants/rppr/>.

4) NO COST EXTENSION (NCE) REQUEST:

A **No-Cost Extension (NCE)** is an extension of the period of performance beyond the expiration end date of the award. Extensions are sometimes needed to allow the principal investigator to successfully complete a project. As the phrase “no cost” suggests, there is no additional funding provided by the Sponsor.

A no-cost extension may be requested by the Principal Investigator when all three of the following conditions are met:

1. The end of the project period is approaching, **AND**
2. There is a programmatic need to continue the research, **AND**
3. There are sufficient funds remaining to cover the extended effort

Please Note: Certain sponsors require these requests on a time table prior to the award’s current end date. Please review award documentation for specific terms and conditions.

Requesting a No-Cost Extension of a Federal Award:

Some federal sponsors have delegated the responsibility for approving no-cost extensions for grants to the institution under Expanded Authorities (please see below for further clarification).

NSF, NIH, ARO, AFOSR, NEA, NEH, DOE and DoED allow an institution to internally approve a **one-time request** to extend the end date of the project period up to an additional 12 months, unless otherwise noted in the award terms and conditions.

If authorized, an internal no-cost extension request should be made in advance of the project end date to the Rutgers' Division of Grant and Contract Accounting. The extension must be requested by the Principal Investigator using the internal form found here:

http://postaward.rutgers.edu/new_forms.htm.

Requesting a No-Cost Extension for an NSF Awards:

NSF requires that notification of extensions be submitted via FastLane. The Principal Investigator or department administrator should initiate the notification procedure through FastLane, then push the Submit to SRO button. The Fastlane notification is received by both the DGCA and the ORSP. Once the request has been reviewed, confirmed, and approved by the Division of Grant and Contract Accounting, DGCA will officially submit the request to NSF via FastLane.

Please Note: Funds remaining in the account is not a justifiable reason for requesting an extension. Extensions may be requested only for programmatic reasons (such as the work took longer than expected). However, it is appropriate to state that sufficient funds remain in the account to support the project for the additional period of time.

Timing: The agency must be informed about the extension no later than 10 days prior to the original expiration date. Therefore, requests for extensions should be processed at least two weeks before the grant period ends.

Requesting a Secondary and Future No-Cost Extension of a Federal Award:

All future no-cost extension requests must be submitted to the Sponsor as a prior-approval request via the ORSP office. Each Sponsor has different procedures on how to request no-cost extensions beyond the expanded authority; please reference the award terms and conditions for specific details.

Requesting a No-Cost Extension for Other Federal, State, Municipalities, and Not-For-Profit Entities :

Other federal agencies as well as state, municipalities, and not-for-profit entities still require agency approval for no-cost extensions (e.g, ONR, AFOSR, State of New Jersey). If the sponsor has not delegated authority to internally approve a one-time no-cost extension request, a written request must be made (i.e., a Sponsor prior-approval request; see prior-approval matrix: http://www.nsf.gov/bfa/dias/policy/fedrtc/priorapproval_oct08.pdf).

The sponsor always retains the right to refuse a NCE request. Examples of reasons to refuse might include:

- An extension may not be granted solely because there is money left over. Programmatic benefit must be justified.
- Funding may have come from a prior year's appropriation and cannot be extended.
- The amount requested in the extension request appears excessive to the sponsor.
- Request falls beyond the required NCE request deadline.

It is best to request the no-cost extension ahead of time to manage an orderly accomplishment of project work and to have a contingency plan in case the sponsor does not approve the extension.

If you require a NCE, please contact your GS via email and provide the award number, title of the research, sponsor, a detailed justification for 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, and how the no cost extension request will benefit the project's results.

5) REQUEST FOR CARRY FORWARD OF UNOBLIGATED FUNDS – CARRY OVER OF UNOBLIGATED FUNDS

Carryover of Unobligated Funds should be requested to support one-time activities that align with the grantee's existing goals and objectives.

For awards not subject to expanded authority, recipients must request to carry over unobligated funds from one budget period to the next. When submitting a carryover request, keep the following in mind:

- The carryover request should be completed only after the recipient's finance office has determined the unobligated balance for the applicable budget year and confirmed with DGCA.
- The carryover request must be submitted at least 120 days before the end of the program year in which the funds are being requested.
- Approved carryover funds must be obligated in the year in which they are awarded.
- Carryover funds are intended to cover only prospective costs, not costs already incurred by the recipient.
- Funds support one-time activities. Approval for one-time activities does not constitute automatic approval for funding these activities in the future.

As with some NIH projects and other Federal sponsor awards, carryover of funding from one year to the next requires prior approval by the sponsoring agency. With NIH awards, this stipulation is referenced in section III of the NGA stating: "Carryover of an unobligated balance into the next budget period requires Grants Management Officer prior approval." For other sponsors, the information can be found in their respective policy guidance documents.

If you require to carry forward/carry over unobligated funds for any sponsor, please utilize the below guidance to generate a letter of request and send via email to your GS accordingly. Your

GS will verify the carryover amount with the DGCA and either execute the physical request or email the request to the sponsor accordingly.

Outline for Generating a Letter of Request to Carryover Unobligated Funds

- The request must include the grant number and PI name
- The requests must include an appropriate scientific justification:
 - A plan for the use of funds, and
 - A detailed categorical breakdown, including F&A costs, if applicable,
 - A justification of the unobligated balance of funds
- The scope of the request should be limited to the approved goals of the project, or clearly delineate where the request exceeds the approved goals of the project.
 - Under NIH policy, the request can only refer to immediate needs in the current year to justify the need for the carryover.
 - It is not acceptable to indicate the funds will be needed for future budget periods. The major point is how the funds will be used in the NEXT budget period.
- Requests should present the implications for the project if the request is not approved.
- The request must be reasonable, allowable, and necessary.
- If the request duplicates funding already provided in the current year support, i.e., overlap, the request may not be approved. Include specific details on how the project will benefit by the unobligated funds.
- If the request generates a recurring cost need in future years, the request must also detail how the future year costs will be supported in subsequent budget years.

EXPANDED AUTHORITIES

[Refer to DGCA website- <http://postaward.rutgers.edu/ExpandedAuthority.html>]:

Many federal agencies have waived cost-related and other prior approval requirements for many activities and expenditures, and provided authority for these activities and expenditures to the grantee institution. These operating authorities are termed “expanded authorities”. Please note, some federal agencies (e.g., NIH) have certain award instruments, mechanisms, and types of recipients excluded from the expanded authority to automatically carry over unobligated balances. Also certain grants or grantees may also be excluded from expanded authorities, including those that require close project monitoring or technical assistance, and certain large multi-project grants. If excluded from some or all expanded authorities, the Notice of Grant Award will indicate any change from the standard terms and conditions. Grantees must review the Notice of Grant Award to determine whether and to what extent they are permitted to use expanded authorities.

6) REQUEST FOR TRANSFER OF PRINCIPAL INVESTIGATOR OR AWARD

Awards are made by sponsors, to institutions in full consideration of the skills and talents of the Principal Investigator (PI) managing the project. Periodically situations arise when a PI is no longer available to continue the project. For example, a PI may have changed direction in research activity; a temporary or permanent leave of absence may be necessary for health or other reasons; acceptance of a position at another institution and is leaving the University. **The sponsor must be informed immediately in writing when such an event occurs.** The sponsor will want to evaluate the circumstances and determine if another Rutgers PI can meet the project goals or if the project will be moved to another institution to either follow the current PI should he/she be leaving or another institution/PI that might be better suited to continue the work (this will result in early termination for our institution).

All notifications to sponsors must be in writing and co-signed by an ORSP official. Verbal conversations are not considered official notification. The Rutgers department is advised to gauge spending carefully to avoid unallowable expenses during any transition. When the PI is no longer managing the project, continuing expenses will be questioned by the sponsor or by the auditors. Not informing the sponsor of a PI change can have costly consequences to the Department and University.

Internal Changes in Principal Investigator

In the event that a Rutgers University grant/contract must be transferred internally from one PI to another, please follow the procedure outlined below.

- The Principal Investigators involved in a grant/contract transfer must notify their ORSP Grant Specialist of the intended transfer through submission of a completed **ORSP Internal Grant Transfer Request Memo**. This document must be signed by the Relinquishing and Accepting PIs, 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 the ORSP.

Transfer of Award(s) To Rutgers Instructions:

When transferring an award(s) from another institution, please utilize the following guidelines to ease the transition of your award to Rutgers.

Step #1: Work with the grants officer at the grantee institution to contact the sponsor's grant officer assigned to the project and request the following items:

- transfer/relinquishing forms
- contact information
- special instructions specific to your situation (if any)

Example: For NIH grants, contact the NIH Grant Management Officer (GMO) named on the award document. For NSF grants, contact the Program Officer named on the award document. The NSF grant transfer process is conducted through Fastlane.

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. Grants cannot be transferred from one institution to another until the financial reports are submitted.
- If transferring equipment, check with the grantee institution to determine its policy for transferring grant-related equipment.

Step #3: The following documents must be submitted to ORSP in order for Rutgers to accept the grant transfer and a grant account can be set up 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 Rutgers' F&A rates.

Note: If there are carry forward balances or the grant is transferring mid-year and the sponsor will not adjust the F&A rates, please contact your Grant Specialist for consultation prior to the submission.

Step #4: After receiving approval from 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).

Transfer of Award(s) To a Different Institution:

If you will be transferring your award(s) from Rutgers to another Institution, please utilize the following guidelines to ease the transition of your awards to your receiving Institution. Please note that the awarding agency must approve all grant transfers from one organization to another. Therefore, coordinate with your GS to contact the sponsor's awards officer assigned to the project and request the following items:

- transfer/relinquishing forms
- contact information
- special instructions specific to your situation (if any)

Example: For NIH grants, contact the NIH Grant Management Officer (GMO) named on the award document. For NSF grants, contact the Program Officer named on the award document. The NSF grant transfer process is conducted through Fastlane.

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 final 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 *Please 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.

If you have any questions/concerns regarding any of the information included in this document, please contact your Research Contract/Grant Specialist for further assistance.

7) REQUEST TO ISSUE A SUBAWARD

The Grant Specialist obtains from the PI a Subaward/Subcontract Checklist ([click here](#)) and/or Modification Checklist ([click here](#)). The subaward/subcontract checklist and modification checklist are to assist Rutgers faculty and staff in the preparation and administration of university-issued subcontracts and/or modifications to subcontracts. Required attachments include: detailed Statement of Work; Budget and Budget Justification; if animals or human research is anticipated, subawardee’s approval notices are also required. A signed checklist indicates that the subcontracting process can be started and should also note any special clauses, flowdowns, or unusual requirements that should be incorporated into the subaward.

NOTE: PRINCIPAL INVESTIGATOR (PI) SIGNATURE IS REQUIRED ON BOTH THE CHECKLIST AND THE MODIFICATION CHECKLIST. NONCOMPLIANCE CAN DELAY THE EXECUTION OF THE SUBAWARD/SUBCONTRACT.

The following chart is intended to provide an overview of the subcontract process. For a detailed description of the required procedures to Request to Issue a Subaward, please consult the **Administration of Outgoing Subawards Manual**.