



RBS GRANTS: PRE-AND POST AWARD INFORMATION

Support for pre- and post-awards

<p>Principal Investigator should notify the RBS Grants Administrator and their Department Administrator of intent to submit a proposal via email and provide a copy of sponsor guidelines.</p>	<p style="text-align: center;">At least fifteen (15) business days before grant submission deadline</p>
<p><u>CONTACT INFORMATION:</u> Lynn Agre RBS Grants Administrator Office of the Dean 1WP # 1109B – Newark Campus 100 Rock #5026 – Livingston Campus (973) 353-5885 / (848-445-3079 Email: agre@rci.rutgers.edu</p> <p>Patricia Bender Research & Grants Specialist ORSP – RU Newark Blumenthal Hall #206 (973) 353-1539 Email: pbender@rutgers.edu</p> <p>Jennifer DesJardins Research & Grants Specialist ORSP – RU Newark Blumenthal Hall #206 (973) 353-1540 Email: jennifer.desjardins@rutgers.edu</p> <p>NOTE: If proposal is a Foundation submission, the Director of Development must be advised by the PI as well. Both RUF and ORSP must review and approve submission. The RUF Director(s) of Development should be added to RAPSS as a Proposal Team Member.</p>	<p>Principal Investigator (PI) & RBS Grants Administrator (RBS-GA) work together to develop the project scope of work and budget. If required, the RBS-Grants Administrator will consult with the ORSP Grants Specialist¹ about issues such as allowable costs, F&A and cost-sharing. RBS Grants Administrator & the ORSP Grants Specialist will review & discuss grant status as needed.</p> <p>If submitting a continuation renewal or resubmission, the RBS-Grants Administrator will check with ORSP Grants Specialist before entering into RAPSS² system. If the original proposal was submitted using paper endorsement form, the follow up activity must be completed with a paper endorsement form as well³.</p> <p>Determine whether proposal will be submitted to Office of Research & Sponsored Programs (ORSP) or the Office of Corporate Contracts (OCC):</p> <ul style="list-style-type: none"> • ORSP - Federal, State and all other Not-for-Profit agencies • OCC - For Profit/Corporate Sponsors & Clinical Trials (Regardless of Sponsor) <p>PI will provide an email version of the following - 'draft' is acceptable:</p> <ul style="list-style-type: none"> • Proposal • Budget (even if not required by Sponsor) • Budget justification <p>RBS-GA will attach sponsor guidelines and enter basic proposal information into RAPSS (https://rapss.rutgers.edu):</p> <ul style="list-style-type: none"> • Title of Proposal/Project • PI name and contact information • Assign “ proposal team” rights and access to proposal <p>BUDGET: https://orsp.rutgers.edu/budget-template PI and RBS-GA will work together to prepare a budget using the RU budget template. If cost-share is mandatory by Sponsor, cost-share template must also be completed and signature approval is required.</p>

¹ List of Rutgers Grants Specialist/Staff Assignments - <https://orsp.rutgers.edu/rutgers-gsstaff-assignments-newark>

² RAPSS - the electronic gateway for the submission, review, approval and tracking of funding proposals and related budgets for research at this institution. The Grants and Contract Management office maintains all information regarding grant and contract applications, budgets and on-going annual adjustments to research funding using this system.

³ As of August 8, 2016, RAPSS is now mandatory for all new submissions of proposals to Federal, State and all other not-for-profit Agencies, corporate contracts and associated items. Paper submissions are no longer possible for new activity.

At least ten (10) business days before grant submission deadline	At least five (5) days before grant submission deadline	Not less than two (2) business days before grant submission deadline
<p>RBS Grants Administrator will contact ORSP Grants Specialist to provide RAPSS funding proposal number.</p> <p>PI will provide an updated version of the following and RBS-GA will attach to funding proposal in RAPSS:</p> <ul style="list-style-type: none"> • Proposal • Budget (even if not required by the Sponsor) • Budget justification • Other prior approvals (waivers, institutional approval, etc.) <p>Proposals with sub-awards must also include:</p> <ul style="list-style-type: none"> • Sub-commitment form • Detailed budget and budget justification • Statement of Work (SOW) • Curriculum Vitae (CV) • Statement of Intent <p>ORSP Grants Specialist and RBS Grants Administrator will review & discuss grant status as needed.</p>	<p>A minimum of five (5) business days prior to Sponsor deadline a draft proposal should be routed for approval (RAPSS Department Review). Please provide enough time for School/Department review and approval.</p> <p>All errors must be cleared in RAPSS before funding proposal can be routed for department review.</p> <p>NOTE: RAPSS functionality - the PI is the only one who can route proposal for department review. Anyone on the proposal team can select permission to submit.</p> <p>PI will complete Conflict of Interest (COI) disclosure and research certification: https://ecoi.rutgers.edu</p> <p>NOTE: For all Investigators, a Conflict of Interest (COI) disclosure must be on file and active (submitted within the last 12 months) at the time of proposal submission. Research certification is required for every award received.</p> <p>ORSP Grants Specialist and RBS Grants Administrator will review & discuss grant status as needed.</p>	<p>FINAL RAPSS proposal with all required departmental approvals due to ORSP - Proposal state in RAPSS should be "<i>under Specialist review</i>"</p> <p>ORSP will provide one final review against Sponsor guidelines and system requirements. Two full days are needed in the event of last minute sponsor changes, system outages (internal & external). Deadline is also used to coordinate staff coverage and manage submission deadlines.</p> <p>Depending on Sponsor, ORSP Grants Specialist may perform the final submission. Notification of submission will be updated in RAPSS and proposal state will change to "<i>Pending Sponsor Review</i>". A copy of the final application will be uploaded as a RAPSS attachment by Specialist if not submitted via RAPSS. If submitted by Foundation or PI, a copy of the final proposal should be provided with confirmation of submission. Once received the Specialist will change proposal state in RAPSS and move to "<i>Pending Sponsor Review</i>".</p> <p>ORSP Grants Specialist will confirm COI disclosure is complete.</p> <p>NOTE: If your proposal is not submitted to ORSP by the two (2) business day deadline, an exception request must be sent to Dr. Nabil Adam, Vice Chancellor for Research & Collaborations and to Vice President for Research Administration. Email exception request to proposal_exception@rutgers.edu, (cc Dr. Adam and Grant Specialist), including a justification as to why your proposal could not meet the established internal deadlines.</p>

POST-AWARD: Award Receipt, Processing for Account Set-up, Reporting and Close-out

ORSP⁴

NOTE: if the proposal submission process is completed in the proper order the award acceptance and account set-up process will happen seamlessly.

ORSP is responsible for accepting award notices and processing for account-set up

The ORSP Specialist will match the award notice to the 'pending' file in their records and/or in the RAPSS system. Specialist will review notices for terms and conditions and sponsored required information, deadline and signature requirements.

Agreements and sub-awards will be reviewed against the proposal submission, University & Sponsor guidelines and then signed by the Authorized Institutional Official.

NOTE: A Conflict of Interest (COI) disclosure must be on file and active (submitted within the last 12 months). Research certification is required for **every** award received.

Specialist will review the file to determine if any outstanding information is needed from PI which may include:

- Budget to match award notice
- Signed cost-share template (if applicable)
- Outgoing sub-award documentation
- Any outstanding documents requested by the Sponsor

Once all outstanding information is received, the file will be entered into the ORSP awards database, packaged and processed to Grant & Contract Accounting (GCA) where an account number will be assigned.

ORSP can also assist with the following post-award activities:

- No-Cost Extensions
- Re-Budgeting
- Carryover prior approvals

⁴ ORSP website: <http://orsp.rutgers.edu/>

POST-AWARD: Award Receipt, Processing for Account Set-up, Reporting and Close-out

GCA (Grant and Contract Accounting)

CONTACT INFORMATION:

Stephanie Knight
Senior Accountant
Grant & Contract Accounting
65 Bergen Street, Room #550
Newark, NJ 07102
(973) 972-4309
Email: sknight@rutgers.edu

Assign Account Number

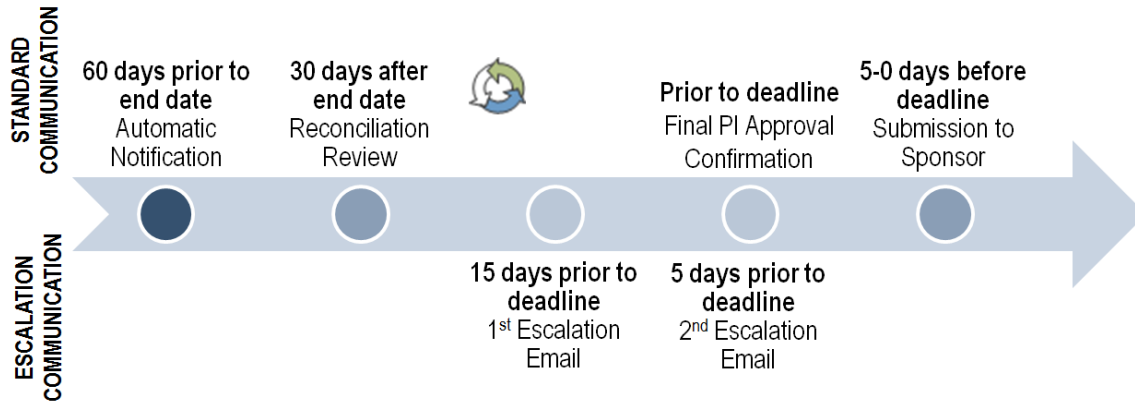
GCA will e-mail an account setup notification to the Principal Investigator and RBS Grants Administrator/Departmental Assistant.

Reporting & Invoicing

Most sponsors require interim and final progress reports be submitted reporting objectives and deliverables accomplished. GCA is responsible for providing official financial reports to sponsors.

Award Closeout

Proactive steps should be taken prior to the award end date to prepare for the deadline. Such activities involve the combined effort between the PI, the department/unit administration, and GCA. To ensure timely and accurate closeout of the award, standard communications will be sent to the PI and department/unit administration according to the estimated timeline below.



POST-AWARD: Award Receipt, Processing for Account Set-up, Reporting and Close-out

Principal Investigator (PI)

The principal investigator (PI) has primary responsibility on behalf of the University for the technical and fiscal management of the project in accordance with the sponsor's guidelines, as well as the university's policies and procedures.

Must be cognizant of and adhering to all sponsor-imposed terms & conditions, as well as University policies & procedures related to administering sponsored agreements.

Manage, expend and control project funds in a prudent manner in accordance with restrictions imposed by the award terms & conditions. Funds should only be expended to directly support the project effort and should not exceed total amount of award.

Advise RBS Grants Administrator of any information on the financial instability of the sponsoring agency as soon as they are aware of these issues.

While responsibility for certain day-to-day management of the project finances may be delegated to department administrator or RBS Grants Administrator accountability for compliance with the sponsor requirements and university policy ultimately rests with the PI.

Chronic failure to carry out the responsibilities incumbent upon a PI or chronic noncompliance with sponsor regulations can result in nonpayment of University invoices. Ultimately, this jeopardizes future funding to the PI as well as to the University as a whole.

Reporting

Submit technical or programmatic progress reports in a timely manner to the sponsor as required by the terms & conditions of the award.

NOTE: When completing a progress report contact your ORSP Grants Specialist to confirm submission requirements and provide copy of report.

ECRT⁵

- Certify all effort cards and time reporting sheets for personnel in accordance with the deadlines established using written suitable means of justification to support the effort certified.
- Acts as **Certifier** in ECRT to attest/approver effort reported on grant during effort reporting period reasonably reflects the actual work performed. Effort certification must account for Total Effort expended during the given effort period - Fall, Spring & Summer.

Award Closeout

- review project expenses with RBS Grants Administrator
- prepare final reports and deliverables for submission to the sponsor

⁵ Effort Certification and Reporting – federally mandated process of providing assurance to Sponsors. <http://postaward.rutgers.edu/grant-management/effort-certification-and-reporting>

POST-AWARD: Award Receipt, Processing for Account Set-up, Reporting and Close-out

RBS Faculty Research & Grants Administration

Communicate frequently with PIs to keep them apprised of the project's financial business developments and assist them in the administration of awards.

Reconcile project ledgers on a timely basis and review project financial transactions with the PI.

Provide the PI with regular accounting reports of project balances and expenditures, as well as projections of future expenditures.

Review project expenditures, including fringe benefit, facilities and administration, and tuition charges, on a regular and timely basis, usually at least once a month, and notify GCA of any discrepancies in a timely manner. This task should be performed routinely and within 30 days after the ledger is available.

Ensure that project expenditures are charged in accordance with the terms and conditions of the award and/or university policy.

Review grant budget for unallowable charges throughout the project period and promptly work with PI's department/Center support staff to transfer any unallowable charges to an appropriate fund source/index in accordance with the university's cost transfer policy. Any questionable charges must be brought promptly to the PI's attention, and, if needed, corrected by an appropriate cost transfer. Transfers should be initiated as soon as possible after a need has been identified.

Ensure that the project operates in accordance with its budget. If required, assist the PI to prepare budget amendments for sponsor that must be countersigned by either a representative of ORSP or GCA prior to submission.

Advise the Dean's Office and the GCA of any information on the financial instability of the sponsoring agency as soon as they are aware of these issues.

ECRT

- acts as Effort Coordinator to support Certifiers and associated staff by reviewing and ensuring accuracy and completeness of all activity reflected on the effort reports during the given effort period - Fall, Spring & Summer.
- Prepare effort cards for the PI prior to certification and ensure that all effort cards are completed and processed on time and certified by the appropriate official in accordance to the university's effort certification policies.

Award Closeout

Advise and assist the PI in fulfilling the departmental award closeout requirements in accordance with the university's closeout policy. Provide all required documentation for the final financial report to GCA, including written confirmation of final costs and any unexpended balances to be returned to the sponsor.

Ensure transfers of any overdraft amounts resulting from unusual circumstances or unanticipated project expenses to the appropriate source of funds is promptly completed prior to close-out of the award.

Ensure that the project records are kept in good order and are readily available for review and audit.