



## **Research & Sponsored Programs Procedure**

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

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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, supplies, or any other form of support from an external organization or institution should check with RSP to determine whether 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 with sponsors will ensure potential problems are resolved in advance, resulting in a shorter, smoother turnaround 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 [5/2 Day Deadline Service Level Availability](#).

This procedure provides guidance to faculty/project directors and staff on all proposals (paper and electronic) submitted to an external organization in support of any research, training, or other sponsored project.

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

- Principal Investigators (PIs) 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 include, but are not limited to, the cover page, budget, budget justification, biosketches, and current and pending support for all key personnel, subaward documentation, as well as any other business or administrative materials required by the sponsor or the announcement. The administrative portion of the proposal encompasses all content excluding the technical portions. Specific requirements may vary from sponsor to sponsor.

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Late Proposals:

Administrative Portion received less than five business days, and the 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 the responsibility for the intellectual leadership of a project. The PI accepts overall responsibility for directing the research, overseeing finances, and ensuring compliance with relevant University policies and the sponsor's terms and conditions of award.
Sponsored Project:	Any externally funded research or scholarly activity with a defined scope of work or set of objectives that creates an expectation from the Sponsor.
Technical Portion of Proposal:	The proposal generally includes the research goals and aims, along with other technical information presented in narrative form, including the Abstract, Executive Summary, Technical Description, Specific Aims, Research Approach, and References. Specific requirements may vary from sponsor to sponsor. Also referred to as a scientific proposal.

## 5. Procedure

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

To facilitate this process, RSP has implemented the [5/2 Day Deadline Service Level Availability](#).

- 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 portions of the proposal must be submitted to RSP by 12 Noon two (2) business days in advance of the sponsor's 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 late proposals, but cannot guarantee either a complete and thorough review of the application package or the successful/or error-free submission.

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. The levels below provide examples of who and what are 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	<ul style="list-style-type: none"><li>• The PI/Project Director submission indicates acknowledgment of their commitment to the work as described in the narrative and as specified in the budget.</li><li>• Ensures the project complies with institutional and sponsor compliance requirements.</li><li>• Note: PI should be the one with “Submit for Department Review” ability in the RAPSS system, as this action denotes their signature on the funding proposal.</li><li>• However, RAPSS provides the PI with the flexibility to delegate this action to a proxy. If the proxy acts, the PI will be notified via RAPSS. . A copy of the attestation language will be included in the notification.</li><li>• A proxy can be anyone on the project team (identified under RAPSS 1.0.12).</li></ul>
Department Chair or Designee	<ul style="list-style-type: none"><li>• Reviews for awareness of research and scholarly activities and time commitments.</li><li>• Acknowledges they can accommodate any proposed course release, as well as departmental commitments such as personnel, equipment, and cost-sharing.</li><li>• Ensures proposal meets the department/center research needs and strategic vision.</li></ul>
Dean or Designee	<ul style="list-style-type: none"><li>• Acknowledges that they can accommodate the faculty’s proposed course release, curriculum impact, college resources, and financial requirements (i.e., cost-share, space).</li><li>• Reviews for the potential impact of the proposal on the school’s resources.</li></ul>
Research and Sponsored Programs Grants Specialist	<ul style="list-style-type: none"><li>• Acknowledges that the proposal meets the University and Sponsor guidelines for submission.</li><li>• Confirms any prior approvals required have been received, and documentation is attached to the funding proposal.</li><li>• Acknowledges that the RAPSS funding proposal is accurate for reporting purposes and provides authorized representative endorsement on behalf of the University.</li><li>• Reviews the list of items that are represented under the <a href="#">5/2 Day Deadline Service Level Availability</a></li></ul>



## 7. Roles and Responsibilities

### Department Personnel

- Support the PI and project team with a review of proposal guidelines
- Support the PI and project team with communicating the intent to submit to RSP by assisting in the initiation and development of the RAPSS Funding Proposal record.
- Provide guidance on Department/School policy for proposal review.

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### Principal Investigators

- Develop proposals and ensure all proposal documents are accurate, complete, and comply with funder instructions.
- Submit all administrative portions of the proposal via RAPSS for RSP review and approval five (5) business days in advance of the sponsor deadline, and all technical portions two (2) business days in advance of the sponsor deadline.

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### Research and Sponsored Programs

- Support the PI in interpreting the sponsor guidelines. Review and approve all proposal and subaward documents to ensure they conform to University and Sponsor guidelines.
- Provide feedback and recommendations to those proposals submitted within the RSP deadlines.
- Provides final review and approval and makes appropriate updates in RAPSS.

## 8. Resources

- [5/2 Day Deadline Service Level Availability](#)
- [RAPSS Funding Proposals Guides](#)
- [RAPSS General Guides](#)