



RUTGERS POLICY

Section: 10.1.9

Section Title: Academic Matters

Policy Name: Research Grant and Contract Administration, Support, and Management

Formerly Book: 6.6.1

Approval Authority: Executive Vice President for Academic Affairs

Responsible Executive: Executive Vice President for Academic Affairs

Responsible Office: Vice President for Research and Graduate & Professional Education

Originally Issued: 12/1964

Revisions: 12/1980; 7/15/05; 8/31/2006

Errors or changes? Contact: Office of Research and Sponsored Programs at 732/932-0150

1. **Policy Statement**

It is the policy of the Office of the Vice President for Research and Graduate & Professional Education to advise and assist members of the Rutgers faculty and staff engaged in research and other creative activities in their search for grants, contracts and other funding opportunities, and to protect and commercialize any university intellectual property that may result from Rutgers' research and other creative activities. In administering its policies, the Office ensures accountability and compliance as directed by all applicable federal, state, and university procedures and regulations. This is accomplished by managing the activities of the Office of Research and Sponsored Programs and the Office of Corporate Liaison and Technology Transfer, and by close collaboration with the Office of Grant and Contract Administration, as well as the Rutgers University Foundation.

2. **Reason for Policy**

- To provide guidance in locating sources of support for research and other creative activities, and help in meeting the many varied and complex requirements of completing grant and contract applications
- To ensure compliance with federal, state, and university regulations for those engaged in research involving animals and human subjects
- To protect the university's intellectual property according to accepted business practice, patent, and copyright law, as well as university regulations concerning conflict of interest and commitment

3. **Who Should Read Policy**

All members of the Rutgers University community involved in research and/or sponsored programs

4. **Related Documents**

Policy Section 40.2.11, Grant and Contract Accounting

5. **Contacts**
Office of Research and Sponsored Programs
732/932-0150
<http://orsp.rutgers.edu>

Office of Corporate Liaison and Technology Transfer
732/932-0115
<http://oclitt.rutgers.edu>

Division of Grant and Contract Accounting
732/932-0165
<http://postaward.rutgers.edu>

Rutgers Environmental Health and Safety
732/445-2550
<http://rehs.rutgers.edu/>

6. **The Policy**

10.1.9, RESEARCH GRANT AND CONTRACT ADMINISTRATION, SUPPORT, AND MANAGEMENT

I. Office of Research and Sponsored Programs (ORSP)

Within the university, ORSP has responsibility for all pre-award aspects of research activities from non-corporate sponsors. ORSP's services and activities include administration of university grant programs in support of research, and compliance regulation for human subjects and animals. In addition, ORSP provides a broad range of assistance to faculty and staff in locating and acquiring funding for research and educational programs from external sources. A manual of ORSP policies and procedures is available on request from the office. ORSP's web site at <http://orsp.rutgers.edu> contains multiple sources of information, updates on policies and procedures, and forms and templates for use by principal investigators and administrative staff in various departments of the university. ORSP staff can guide you to appropriate links and portions of the web site for specific needs and applications.

II. Division of Grant and Contract Accounting (DGCA)

DGCA reports directly to the Senior Vice President for Administration and Chief Financial Officer and has principal responsibility for the fiscal administration of externally sponsored programs of research, training and technical assistance. For further information on university policies for DGCA, see [Policy Section 40.2.11](#), Grant and Contract Accounting. DGCA provides grant and contract accounting services for sponsored programs. More information is available at <http://postaward.rutgers.edu>.

III. University Research Grant Programs

ORSP administers the Charles and Johanna Busch Biomedical and the Research Council programs of grants providing university faculty with financial support for research and related scholarly activities. In most cases, funds for these programs are awarded on the basis of merit following the review and ranking of formal applications. Descriptions of the programs and application instructions are available from ORSP.

IV. Externally Funded Research

ORSP and DGCA provide general assistance to faculty and staff in procurement of funds from external public and private sources and in the administration of externally funded programs in the following areas:

- A. Informational Services: In addition to monthly publication of GrantNet, a newsletter surveying public and private research support programs, ORSP maintains resource files. Workshops in grant acquisition and related matters are conducted regularly.
- B. Grant and Contract Administration: To ensure that university policies and procedures relating to grants and contracts are observed, DGCA monitors all such externally funded projects.
- C. Grant and Contract Application: DGCA and ORSP are prepared to advise applicants on the specific requirements of funding agencies. In developing cost estimates, applicants should consult with ORSP. All applications to private funding sources must be reviewed by ORSP and the Rutgers University Foundation.
 1. Application Endorsement: All grants, contracts or other proposals for external funding require the completion of an endorsement form prior to submission of the proposal to an external source. The fully signed endorsement form ensures that a proposed project is consistent with the mission and policies of the department, college, and university. Completed endorsement forms may be sent to ORSP via fax, email scanned PDF document, hand delivered or campus mail. The endorsement form process is critical to maintain regulatory and compliance standards for a variety of federal, state, and university regulations that apply to those requesting external sponsor funds. Collection of such information ensures audit standards are maintained, even before receipt of award, and are designed to facilitate smooth acceptance and project start up upon receipt of an award. Proposals requiring commitment of university resources also require endorsement by the appropriate university officials.
 2. Other Proposal Requirements: ORSP administers the activities of the Institutional Review Board for the Protection of Human Subjects in Research (IRB) and the Animal Care and Facilities Committee (ACFC). All proposals for internally and externally funded research involving human subjects must have the approval of the IRB and those involving animals must have ACFC approval before commencing. Research proposals involving human subjects and animal research should be prepared in consultation with ORSP. Before final endorsement, research proposals involving: radiation producing equipment; radioisotopes; or the irradiation of any substance with gamma rays, neutrons, protons; biological hazards; toxic substances; or any high energy particle, must have the approval of Rutgers Environmental Health and Safety (REHS) office.
 3. ORSP is responsible for negotiation of all awards, including subawards. ORSP also issues subawards and initiates the purchase order process for subawards. All awards and subaward agreements are not binding without the appropriate signature of ORSP or higher level officials as designated by the Board of Governors.

V. Office of Corporate Liaison and Technology Transfer (OCLTT)

OCLTT is the university's technology transfer organization, which endeavors to transfer inventions owned by the university to industry for commercialization. It is responsible for substantially all matters relating to the university's intellectual property (patents, copyrights, trademarks, trade secrets), including their identification, protection, and commercialization. OCLTT's activities are conducted in accordance with the university's [Patent Policy \(Section 50.3.1\)](#) and [Copyright Policy \(Section 50.3.7\)](#).

Promising new inventions by faculty or other Rutgers personnel, including students, usually first come to OCLTT's attention when an [Invention Disclosure Form](http://ocltt.rutgers.edu/Policies-DisclosureForms.asp) (<http://ocltt.rutgers.edu/Policies-DisclosureForms.asp>) is completed by the inventor(s) and submitted to OCLTT. OCLTT is responsible for marketing and licensing these inventions to commercial entities. OCLTT is also actively involved in the establishment of new companies based on inventions owned by the university.

Through its Corporate Contracts Division, OCLTT negotiates research agreements with industrial sponsors, as well as all related agreements, such as confidentiality agreements, material transfer agreements, Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) agreements, and membership agreements for scientific centers of excellence.

OCLTT works closely with other units, such as the Office of the Vice President and General Counsel and the Department of Risk Management and Insurance, on a variety of matters such as potential conflicts of interest and potential exposure to litigation associated with OCLTT's activities.