




## **Helpful Hint Notes**

I have also placed notes on the abstract of proposal and Endorsement form pages to provide additional hints. You can show these notes by double left clicking on them. You can collapse them by left clicking on the button on the top left corner of the note.

## **Erasing the Document**

On the Abstract of Proposal and the Endorsement Form there's a button  at the top right of the form. This button erases all the form fields on both the Abstract of Proposal and the Endorsement Form, so be sure to save or print your field data before clicking it.

## **Saving Form Data**

Every time you exit Adobe Acrobat it will ask you if you wish to save the document. Answer yes and your form data will be there next time you open your document. This feature is not available on the free Acrobat Reader.

## **Using Copy and Paste (Advanced)**

If you have your abstract all ready typed in a Word Processor you can copy and paste it into Acrobat Reader, but first you must do a Save As and save your document as a text file. Then close and open the text version of the document and select, copy, and paste the text into the abstract field. If you don't do a Save As and open the text version document, you'll have weird formatting characters at the end of each line in your abstract. All special formatting (bold, italics, etc) is lost as well.

## **Importing and Exporting Form Data**

The following applies to Adobe Acrobat 4.0 and Adobe Acrobat Business Tools. It is not available in the free Acrobat Reader. Please purchase Adobe Acrobat 4.0, which includes everything you need, from RUCS for around sixty dollars.

You can do a Save As and keep all your endorsement forms on your computer, but at almost 1.5 MB per file your hard drive will become cluttered with unnecessary files and eventually be full. A very efficient way is export the form data to a file. To do this, click on file from the menu bar and choose Export, and then form data. After you name the file and click save, you can recreate the endorsement form for printing anytime by importing the form data back in.

To import the data back in, click on file from the menu bar and choose Import, then form data. Locate the file you saved your endorsement as and click on select. All your form data will be show on the forms ready for printing.

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## Printing

When you want to print out the abstract of proposal and the endorsement form choose file and print from the menu and choose pages 6-7. Printing the Endorsement form may take up to a few minutes depending on your printer.

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## Printing Problems

If your printer can't print the endorsement form, you can try the following steps. When you're in the print window change the following settings: check print as image, uncheck fit to page, uncheck annotations, and print just pages six and seven.

Printing as image will help conserve printer memory since all the postscript commands aren't sent to the printer.

Using Fit to page might distort the endorsement form, so we leave it checked off.

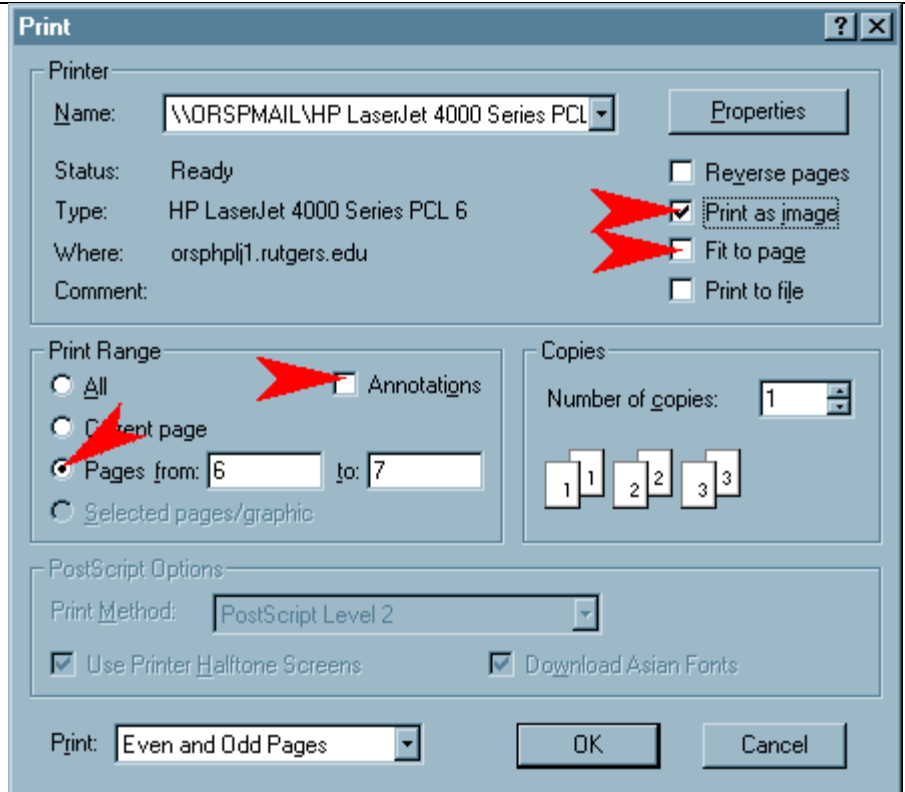
We check off Annotations so the notes don't print on the final form.

Lastly, we don't want to print all the instructions and other material, so we just print the abstract and endorsement form.

## For Important News and Announcements

Check the ORSP website at <http://orsp.rutgers.edu> for future versions of this form and news about new and upcoming improvements.

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**INSTRUCTIONS FOR COMPLETING THE ABSTRACT AND ENDORSEMENT  
 FORM FOR AN APPLICATION FOR EXTERNAL FUNDING  
 (Revised 07/00)**

The endorsement procedure must be completed before a proposal is submitted to an external funding source. It is recommended that this procedure be started at least seven days before the funding source's deadline. **THE ENDORSEMENT FORM MUST BE TYPED** in order to be scanned. If downloading the PDF version, three copies must contain original signatures where appropriate. The original and one copy of the complete proposal for external funding must be attached to the endorsement form when it is delivered to the Office of Research and Sponsored Programs (ORSP) or the Office of Corporate Liaison and Technology Transfer (OCLTT) for review and signoff. **PROPOSALS MUST BE DELIVERED TO ORSP/OCLTT NOT LATER THAN 12:00 NOON IF SAME DAY REVIEW AND SIGNOFF ARE NECESSARY.**

ORSP/OCLTT will help individuals complete the Endorsement Form if necessary, but it is vital that proposal developers allow sufficient time for consultation and provide the most accurate information possible. Refer to the "Manual for Research and Sponsored Programs" (available from ORSP and in deans', chairpersons', and directors' offices) for additional information concerning University policies and procedures related to applications for external funding. ORSP/OCLTT reserve the right to delay submission of any proposal that is not in conformance with University policy or procedure.

**A. ABSTRACT OF PROPOSAL:**

The attached Abstract of Proposal should be submitted to ORSP/OCLTT **at the same time the endorsement form is processed.** The abstract, which will be kept on file at ORSP, will be available for public review only if the proposal is funded. Consequently, the abstract should not include any information that may be subject to copyright or patent protection, that reveals proprietary information from the sponsor, or that discloses budgetary or personal data. **An abstract form is to be submitted each time that an endorsement form is processed.**

**B. ENDORSEMENT FORM**

**Project Information**

1. Abbreviate as necessary, using no more than 100 characters (including spaces and punctuation).
2. Self-explanatory
3. Definitions: A project is considered **NEW** if it is (a) the initial submission (or unfunded resubmission) of an application to a funding source; (b) a request for support of an ongoing project by a new funding source; (c) an application being submitted in response to a funding agency program offering special "supplements" for very specific purposes (such as the NSF Research Experiences for Undergraduates-Supplements [REUs]). A **CONTINUATION** (non-competing) represents a re-funding of a project within the originally approved project period. A **RENEWAL** (e.g., a competing continuation) represents new funding for an existing project by the same funding source for the next sequential project period. A **SUPPLEMENT** represents additional funding from the original sponsor for a current project, and may or may not extend the project end date. **Supplemental requests of \$40,000 or more require submission of a new endorsement form.**
4. Enter the name of the agency/organization from which Rutgers University will receive payment if the proposal is funded. If your proposal is being submitted through another university or organization (i.e., as a sub-contract), this is the source of funding to Rutgers and should be named on this line.
5. Self-explanatory.
6. A project may be administered in a unit other than the tenure department of the project

director/principal investigator. The department/unit and campus where the grant will be **administered** should be indicated on this line.

7. Self explanatory
8. The name recorded on this line must be that of a Rutgers employee or allowable affiliate (see list of eligible categories in the instruction listed herein). If this is an application by, or on behalf of, a graduate student, the name of the faculty member under whose supervision the student is working must be recorded on line 8. The graduate student's name is to be recorded on line 9. According to University policy (ref. January 27, 1992, memorandum from Dr. Joseph J. Seneca), a Principal Investigator (PI) must be from one of the following categories: (1) a full-time faculty or staff member; (2) a full-time faculty equivalent appointment—non-tenure track (i.e., Research Associate, Lecturer, Research Assistant Professor, Research Associate Professor, Research Professor, Visiting Professor); (3) Research Associate; (4) a Post-Doctoral Fellow or Associate; or (5) an individual hired by a faculty member using grant funds. **External funding applications from individuals in categories (2)-(5) must be accompanied by a letter from the department chair indicating the nature of the appointment and assuring that the conditions described in the policy memo have been met.** For assistance in interpreting this policy statement, contact ORSP at (732) 445-2880. **"ICR Agreement"** refers to a pre-established agreement between collaborators on the proposal with regard to the percentage of ICR that will be shared between each collaborators' department. A copy of the agreement is to be submitted at time of endorsement. If no specific agreement is reached, then the standard University distribution will apply.
9. List all co-investigators, their department/unit and account # where salary is charged.

**Compliance Information**

- 10a. In accordance with federal regulations ("The Common Federal Rule"), projects involving the use of human beings as subjects, or data previously collected from human beings, must be reviewed by the University's **Institutional Review Board for the Protection of Human Subjects in Research (IRB)**. The Administrator of the IRB must receive requests for review no later than the 12<sup>th</sup> of the month in order to be considered at the next IRB meeting. In some cases, projects may qualify as exempt from full Board review under one or more of the six allowable categories set forth in the Common Federal Rule. Such projects still require an internal review in order to determine exempt status. Specific funding agency forms certifying the review of projects using human subjects in research must be signed by an authorized representative of ORSP. **Failure to follow these procedures can delay consideration of the proposal by the funding agency.** Copies of "Forms and Instructions Requesting Review and Clearance (or Exemption) of a Study Involving the Use of Human Participants" are available from ORSP. The forms can also be accessed and downloaded from the ORSP website at: <http://orsp.rutgers.edu>. For assistance in meeting this requirement, contact:  
 Administrator of the IRB, ORSP  
 ASB, Annex II- Busch Campus  
 58 Bevier Road, Piscataway, NJ 08854  
 Phone: (732) 445-2799; Fax: (732) 445-3257
- 10b. See Line 10a above.

- 11a. Projects involving the use of live vertebrate animals must be reviewed by the University's **Animal Care and Facilities Committee (ACFC)** prior to the submission of the grant application. Requests for review must be received by the (ACFC) no later than the 10<sup>th</sup> of the month in order to be considered at the next meeting. Specific funding agency forms addressing the use of live vertebrate animals in research must be signed by a representative of ORSP. **Failure to follow these procedures can delay consideration of the proposal by the funding agency.** Copies of the animal protocol review form are available from ORSP or Laboratory Animal Services. The form can also be accessed and downloaded from the ORSP website at: <http://orsp.rutgers.edu>. For **administrative** aspects regarding protocol review, contact:

Assistant Director – Research Subjects Administration  
ASB, Annex II – Busch Campus  
58 Bevier Road, Piscataway, NJ 08854  
Phone: (732) 445-2883; Fax: (732) 445-3257

For **clinical** aspects in preparing the animal protocol review form, contact:

Director of Laboratory Animal Services  
Nelson Biological Labs, Room D108, Busch Campus  
604 Allison Road, Piscataway, NJ 08854  
Phone: (732) 445-1468; Fax: (732) 445-4148

- 11b. See Line 11a above.

### **Other Project Requirements**

12. If you answered **YES** to this question, a completed **REHS HAZARDOUS MATERIALS SURVEY** form must accompany the endorsement form. This form is available from REHS, departmental business offices, campus research offices, or ORSP. Principal Investigators working with any potentially hazardous materials or agents are required by University policy to ascertain that facilities, equipment, and procedures are in full compliance with federal, state, and local regulations and standards as set forth in the University Health-Safety Manual before beginning the proposed research. To determine adequacy of facilities, equipment, and procedures, or for assistance in completing the REHS HAZARDOUS MATERIALS SURVEY form, contact:

Rutgers Environmental Health and Safety  
Building 4127, Livingston Campus  
Phone: (732) 445-2550

13. If your budget includes subcontracts to other organization(s) or institution(s), a separate budget and statement of work for each subcontract along with endorsement/approval from each subcontractor's authorized official must be included. For assistance, call ORSP at 732-445-2880.
14. According to University Policy (ref. January 3, 2000, memorandum from Bruce Fehn and David Rumbo), if cost sharing is required by the sponsor, the Principal Investigator must provide ORSP with a completed Cost Sharing Budget Template (available for downloading on the ORSP website at: <http://orsp.rutgers.edu>.) which includes associated account numbers and approvals.
15. Refer to the University's current conflict of interest statement for further information. Investigators need to disclose; 1) significant financial interests which would reasonably appear to be directly and significantly affected by research and educational activities proposed for funding by NSF or NIH; or 2) significant financial interests in entities whose financial interest would reasonably appear to be directly and significantly affected by such activities. Please file the form "Disclosure of Significant Financial Interest" (effective

October 1, 1995).

### **Required Certifications/Signatures**

**Principal Investigator:** Self-explanatory.

**Chairperson/Dean/Unit Director:** Endorsement by the Chairperson and the appropriate Dean or Director certifies that the project is consistent with the academic programs of the unit.

**Campus Provost:** Proposals from Camden and Newark campuses require their Provost's signature.

**Rutgers University Foundation:** Proposals to private sources (e.g. corporations and corporate foundations, philanthropic foundations, individuals, trade unions, and certain other non-profit organizations) must be endorsed in advance of submission by the Rutgers University Foundation (RUF).

Department of Corporate and Foundation Relations  
Rutgers University Foundation  
Van Nest Hall, College Avenue Campus  
(732) 932-8208

**Office of Research and Sponsored Programs (ORSP)/Office of Corporate Liaison and Technology Transfer (OCLTT):** ORSP or OCLTT will review all proposals for conformance with University regulations regarding protection of human subjects, the use and care of vertebrate animals in research, cost sharing, and publication delays, as well as other certifications and program characteristics. ORSP (OCLTT for corporate grants and contracts) will also review the proposal budget for consistency with the regulations of the sponsoring agency and the University, with particular attention to the terms and conditions of the grant/contract. ORSP (or OCLTT) will provide consultation in advance on budget development and University fiscal policies and will represent the University as the authorized negotiator in subsequent discussions with funding agencies. Proposals for non-corporate support are retained in a pending file at ORSP until an award has been made. Proposals for corporate support are retained, likewise, at OCLTT. Once notice of an award has been received, the file is transferred to the Division of Grant and Contract Accounting (DGCA) in the Office of the University Controller, where a grant account is established and administered.

PLEASE DETACH THIS SHEET BEFORE TYPING ON IT



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LOG NUMBER (for ORSP use only)



ABSTRACT OF PROPOSAL  
(Revised 12/97)

PI/PD NAME \_\_\_\_\_ DEPT/UNIT & CAMPUS \_\_\_\_\_

AGENCY/ORGANIZATION TO  
WHICH PROPOSAL IS SUBMITTED \_\_\_\_\_

TITLE OF PROJECT \_\_\_\_\_

Please provide an abstract of the proposed project in the space below, in terms understandable to an intelligent lay audience. If the project is funded, this abstract will become a public document. Therefore, do not include any data or materials potentially subject to copyright or patent protection, proprietary information from the sponsor, or budgetary or personal data. Please limit your abstract to one page.

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**ENDORSEMENT OF AN APPLICATION FOR EXTERNAL FUNDING**

This Endorsement Procedure Must Be Completed Before A Proposal Is Submitted To The Funding Agency. Please Refer To The Attached Instruction Sheet For Specific Details. When Submitting This Form For University Endorsement, Append It To The Original Proposal. One Additional Copy Of The Proposal Must Be Provided For ORSP/OCLTT Use. A Second Additional Copy Of The Proposal Must Be Provided If Live Vertebrate Animals Or Human Subjects Are Used. **THIS FORM IS TO BE TYPED**. This Endorsement Form May Be Downloaded From <http://orsp.rutgers.edu>.

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LOG NUMBER (ORSP Use Only)

**Project Information**

1 Project Title (not more than 100 characters) _____	
2 Project Period From / To: _____ M M / D D / Y Y M M / D D / Y Y	
4 Funding Agency (If from Private Source, contact RU Foundation at 732-932-8208)	3 Application Type: New <input type="checkbox"/> Continuation <input type="checkbox"/> Renewal <input type="checkbox"/> Supplement <input type="checkbox"/>
6 Department/Unit Where the Grant Will Be Administered: Account Number <u>2-</u>	4a Is the Funding Agency a Foreign Entity? Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide name of country _____
Department /Unit Name _____	5 Support For: Research <input type="checkbox"/> Instruction <input type="checkbox"/> Training <input type="checkbox"/> Fellowship <input type="checkbox"/> Public Service <input type="checkbox"/> Other <input type="checkbox"/>
8 Principal Investigator/Project Director/Full-time Fac./Staff Member: _____ Last First MI ICR Agreement? Yes <input type="checkbox"/> No <input type="checkbox"/> If <b>Yes</b> , attach copy of agreement	7 Will this project be conducted: On Campus <input type="checkbox"/> Off Campus <input type="checkbox"/>
9 Co-Investigator (please attach additional sheet if necessary) _____ Last First MI	Department/Unit Where Salary is Charged: Account Number <u>2-</u> Dept./Unit Name _____
Co-Investigator (please attach additional sheet if necessary) _____ Last First MI	Department/Unit Where Salary is Charged: Account Number <u>2-</u> Dept./Unit Name _____
Co-Investigator (please attach additional sheet if necessary) _____ Last First MI	Department/Unit Where Salary is Charged: Account Number <u>2-</u> Dept./Unit Name _____
Co-Investigator (please attach additional sheet if necessary) _____ Last First MI	Department/Unit Where Salary is Charged: Account Number <u>2-</u> Dept./Unit Name _____

**Compliance Protocols**

*(Provide one additional copy of the complete grant application if human subjects/animals are used)*  
Human Subjects

10a Does the project involve research with Human Subjects? Yes  No   
If yes, provide the appropriate protocol number.

10b If not approved, mark "Pending" and provide the date of protocol submission. \_\_\_\_\_

Live Vertebrate Animals

11a Does the project involve the use of live vertebrate animals? Yes  No   
If yes, provide the approved protocol number. \_\_\_\_\_

11b If the animal work is being done under another institution's assurance and you are not involved in the procedures, provide the other institution's name, assurance number, protocol number and approval date. Yes  No

**Other Project Requirements**

12 Does the project involve the use of Class III or IV lasers, ionizing radiation producing devices, radioactive materials, biohazardous microorganisms or agents, recombinant DNA molecules, chemical carcinogens, or other toxic or hazardous chemicals? Yes  No

13 Will subcontracts be issued to other organizations? Yes  No   
If yes, list organization name and project cost.  
\$ \_\_\_\_\_  
\$ \_\_\_\_\_  
\$ \_\_\_\_\_

14 Does the sponsor require cost sharing? Yes  No   
If yes, attach Rutgers Cost Sharing Budget Template.

15 Would the funding of this proposal present any potential conflict of interest? If yes, complete a "Significant Financial Interest Disclosure" form. Yes  No

**Required Signatures**

**Principal Investigator/Project Director:** I have read and agree to abide by current University policies on conflict of interest, intellectual property, and the use of human subjects/vertebrate animals in research, cost sharing and other University research policies as appropriate. I certify that the required actions regarding compliance with these policies have been taken. I also certify that all procedures involving human subjects or live vertebrate animals correspond with the protocol listed above.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_ Campus Phone: \_\_\_\_\_

Department Chairperson: \_\_\_\_\_ Date: \_\_\_\_\_

College/School Dean/Unit Director/Provost: \_\_\_\_\_ Date: \_\_\_\_\_

RU Foundation: \_\_\_\_\_ Date: \_\_\_\_\_

**Approvals - ORSP/OCLTT Use Only**

Total Project Cost \_\_\_\_\_

Prime Funding Source \_\_\_\_\_

Compliance Approval \_\_\_\_\_ Date: \_\_\_\_\_

Budgetary Approval \_\_\_\_\_ Date: \_\_\_\_\_

OCLTT Approval \_\_\_\_\_ Date: \_\_\_\_\_

Comments \_\_\_\_\_