

- b. ensuring that the resources needed to carry out the project, space, additional salaries, equipment, etc., are available. (If more than one department is involved, each Chair/Unit Head must approve). Where requirements are beyond existing resources, coordinates with the appropriate Vice President, as necessary.
- 3. The Vice President/Unit Head is responsible for approving and reviewing the proposal if the Principal Investigator is not part of an Educational Unit, such as the following: Central Administration, University Hospital, University Behavioral HealthCare (UBHC) and University Programs including Continuing Education. In such cases the Vice President/Unit Head is responsible for:
 - a. reviewing the proposals to assure that the work is feasible, appropriate and within the goals of the unit.
 - b. ensuring that the resources needed to carry out the project, space, additional salaries, equipment, etc., are available. (If more than one unit or department is involved, each Chair/Unit Head/Vice President must approve). Where requirements are beyond existing resources, coordinates with the appropriate Vice President, as necessary.
- 4. The Grants and Contracts Office is responsible for:
 - a. reviewing the Transmittal and Approval Form for Grants and Contracts for accuracy and completeness.
 - b. assisting the Principal Investigator in budget preparation and fiscal review to ensure that the budget conforms to University policies and procedures. Examples of fiscal review include: fringe benefits, indirect costs, salary and inflationary increases, and any required budget justification.
 - c. determining the need for review by the Office of Legal Management such as, letters of agreement, contracts and subcontracts.
 - d. establishing accounts and account categories that allow for appropriate tracking of expenses, in accord with the requirements of the research sponsor.
- 5. The Dean/Associate Dean for Research is responsible for:
 - a. reviewing the Transmittal and Approval Form for Grants and Contracts and ensuring that all information therein is correct and conforms to the policies of UMDNJ, and that approvals by the Department Chair/Unit Head are in place.
 - b. reviewing the proposal to assure that the work is appropriate, and within the goals of the school.
 - c. ensuring that the application is complete and conforms to the granting agency's requirements and includes all required forms, check list, table of contents, abstract, etc.
 - d. ensuring that the proposal is in compliance with all applicable regulations concerning human subjects, laboratory animals, and laboratory safety.

C. Contract Execution Responsibilities - [Refer to Section III.B.4.c]

- 1. Legal Management is responsible for:
 - a. reviewing and approving all documents for legal form and content.

- b. reviewing all documents which include human subjects, for proper indemnification and informed consent.
 - c. forwarding to the Vice President for Finance and Treasurer for execution.
2. The Vice President for Finance and Treasurer is responsible for executing all legal obligations relating to grant matters of the University in conformity with UMDNJ policy.

IV. PROCEDURES

Submission of Transmittal and Approval Form for Grants and Contracts and related proposal (including Contract or Subcontract, if applicable).

Performed By:

Action Taken:

Principal Investigator or Program Director

1. Develops a proposal; attaches the Transmittal and Approval Form for Grants and Contracts to the proposal, provides his/her signature and obtains the signature of the Department Chair/Unit Head.

Department Chair/Unit Head/VP
(as appropriate)

2. Reviews the proposal application for completeness and indicates approval in appropriate section.
3. If the request is for additional institutional resources (beyond grant/contract budget request), coordinates with appropriate unit representative and/or Department, as required. Otherwise, submits the Transmittal and Approval Form for Grants and Contracts, with the proposal, to the Office of Grants and Contracts for required review.

Manager of Grants and Contracts

4. Reviews the proposal and attached budget to ensure conformity with fiscal requirements and University policies and procedures.

NOTE: Returns all documentation to the Principal Investigator if any of the required information is incomplete.

5. Approves by signing Transmittal and Approval Form for Grants and Contracts and forwards to the Office of the Associate Dean for Research, together with recommendations, if any, for additional review by Legal Management and signature by the Vice President for Finance and Treasurer.
6. When a grant or contract is funded, establishes unique research account, based on fully approved Transmittal and Approval Form for Grants and Contracts.

Performed By:

Dean/Associate Dean for Research/
Unit Head

Vice President for Legal Management
(or designee)

Vice President for Finance and Treasurer

Action Taken:

7. Reviews the Transmittal and Approval Form for Grants and Contracts and the proposal to:
 - a. ensure that the work is appropriate and within the goals of the school.
 - b. ensure that the application conforms to the funding agency's requirements.
 - c. ensure that the application is complete, all required forms are enclosed.
8. Returns the application to the Principal Investigator if incomplete, to correct or provide required information.
9. Forwards application if complete to the Principal Investigator for submission to funding agency.
10. The Office of Legal Management accepts documents from the following:

Associate Dean for Research:

 - a. Robert Wood Johnson Medical School
 - b. School of Osteopathic Medicine
 - c. New Jersey Medical School
 - d. New Jersey Dental School
 - e. School of Health Related Professions
 - f. School of Nursing
 - g. Graduate School of Biomedical Sciences
 - h. School of Public Health

Business Office of UBHC
(Newark and Piscataway)

Vice President/Unit Head if the Principal Investigator is not part of an Educational Unit, such as the following: Central Administration, University Hospital, UBHC and University Programs including Continuing Education.
11. Provides signature on the Transmittal and Approval Form for Grants and Contracts when required, and forwards all documents to the Vice President for Finance and Treasurer for execution, who then returns the application to Associate Dean for Research.
12. Provides signature on the Transmittal and Approval Form for Grants and Contracts if the proposal or grantee requires signature by the Vice President for Finance and Treasurer/Chief Financial Officer.

Performed By:

Vice President for Finance and
Treasurer (cont.)

Associate Dean for Research

Principal Investigator

Action Taken:

13. Returns documents to department or office as identified in Section IV.9. or Associate Dean for Research.

14. Forwards documents to Principal Investigator.

15. Forwards the final proposal to the funding agency. Assures a copy is provided to the Research Office, the Office of Grants and Contracts and the Office of Legal Management after all required signatures are secured.

V. EXHIBITS

- A. Transmittal and Approval Form for Grants & Contracts (which can be obtained from the Office of Grants and Contracts)
- B. Glossary of Terms used on the Transmittal and Approval Form for Grants and Contracts.

By Direction of the President:

Vice President for Finance and Treasurer

EXHIBIT A

TRANSMITTAL AND APPROVAL FORM FOR GRANTS & CONTRACTS
(Can be obtained from the Office of Grants and Contracts)

EXHIBIT B

GLOSSARY OF TERMS USED ON THE TRANSMITTAL AND APPROVAL FORM FOR GRANTS AND CONTRACTS

Submission Deadline Date - date the proposal is due to granting agency.

<u>Campus</u> -	N	=	Newark
	P/NB	=	Piscataway/New Brunswick
	C	=	Camden
	S	=	Stratford

Project Title - name of scientific project.

Principal Investigator - individual responsible for conduct of the proposed project.

Department - department in which Principal Investigator has primary appointment.

Funding Agency - name of granting agency (e.g., NIH, EPA, NSF American Cancer Society, etc.).

Agency Program Title - name assigned by granting agency.

Project Amount - total amount requested in attached budget including direct and indirect costs.

Project Start - anticipated start date of project.

Need for Commitment of Additional Institutional Resources - beyond those provided by the grant or contract proposal budget request. If the additional institutional resources listed below are necessary to accomplish the goals of the application, the defined approvals are needed.

Salaries - salaries not 100% supported by grant need to be approved by the Department Chair providing the additional funding.

Additional Laboratory Space/Office Space/Other Space - must be approved by Department Chair/Unit Head and the Vice President for Administration.

Additional Mechanical, Electrical, Plumbing (HVAC) Services - must be approved by Department Chair/Unit Head and the Vice President for Administration.

Space Alteration or Renovation - any alterations or renovations to existing space must be approved by Department Chair/Unit Head and the Vice President for Administration.

Major Equipment - commitment of major equipment or shared use must be approved by the responsible chief(s) of service and hospital/UBHC administration.

Hospital/UBHC/Facilities - use of hospital/UBHC/facilities must be approved by the responsible chief(s) of service and hospital/UBHC administration.

Review and Approval Process - this section indicates by signature that the parties below have given final review and approval to the application in its completed form.