

Oklahoma State University Policy and Procedures

ROUTING SYSTEM - PROPOSALS, GRANTS, CONTRACTS AND AGREEMENTS

**1-0305
GENERAL
UNIVERSITY
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POLICY

1.01 It is critical for the University to efficiently manage all proposals, grants, contracts and agreements (proposals and awards). Therefore all proposals, grants, contracts, awards, and agreements must follow the University's routing system policy and procedures. Preproposals, talking papers or discussion papers used in lieu of a formal proposal may obligate the University. Thus, it is important that these preproposals follow the University's routing process.

1.02 The President of the University will sign externally funded grants, contracts and agreements when the awarding agency requires a signature for acceptance of the award. The President has delegated this authority and responsibility to the Vice President for Research and Technology Transfer for sponsored research, instruction, outreach, extension, and service agreements with one exception: the Vice President of the Division of Agricultural Sciences and Natural Resources may sign grants, contracts, and other agreements for the Oklahoma State University Division of Agricultural Sciences and Natural Resources with the Bureau of Indian Affairs, United States Department of Agriculture, and State of Oklahoma Department of Agriculture.

1.03 To provide for an administrative review and approval of all formal proposals and awards (e.g., grants, contracts, and agreements), the originating office prepares a routing sheet to accompany the proposal or award and sends the documents through a routing procedure. The routing sheet and guidelines for completion are available online at: <http://www.osu-ours.okstate.edu/routing.htm>.

1.04 The Office of University Research Services (OURS), under the Vice President for Research and Technology Transfer (VPRTT), coordinates the routing procedure through the central administrative channels of the University. OURS also maintains a database of all routing actions and prepares quarterly reports on the University's proposal and award activity.

PROCEDURES

Routing Sheet

2.01 The OSU routing sheet is used to provide summary information for proposals and awards. The routing sheet serves two basic purposes: A) to track proposals, grants, contracts, and other agreements through the University administrative network; and B) to offer reasonable assurance that the University and the researcher are protected on financial and compliance related issues. The originating office, in cooperation with the principal investigator (PI), is responsible for the preparation of the routing sheet, and initiation of the routing process.

A. The routing forms consist of the following:

1. Routing Sheet – Parts 1 through 6 (required)
2. Signature Page(s) (two additional signature pages are available if needed)
3. Cost Share Details (use if applicable)
4. VPRTT cost share form (use if applicable)
5. Export Control Forms (use if applicable)

B. The originating office identifies each routing sheet with a combination of letters and numbers in the following sequence:

1. Responsible Administrative Unit - two letters. The letters designating responsible administrative units are:

College/Campus

AG - Agricultural Sciences and Natural Resources

AS - Arts & Sciences

BU - Business Administration

ED – Education

EN - Engineering, Architecture and Technology

GR - Graduate College

HE - Human Environmental Sciences

OC - Oklahoma State University - Oklahoma City

OK - Oklahoma State University - Okmulgee

OM - Center for Health Sciences (Osteopathic Medicine)

TL - Oklahoma State University - Tulsa

VM - Veterinary Medicine

Non-College

- BF - Business & Finance
- EI - Environmental Institute
- FA - Financial Aid
- GU - General University
- IS - School of International Studies
- SA - Student Affairs
- WC - Wellness Center

2. Fiscal Year (FY) - two digits. Example: July 1, 2006 – June 30, 2007 = 07

3. University Function - two letters. The letters designating functions are:

- EX - Extension (AG/HES only)
- FA - Financial Student Aid
- FE - Facilities & Equipment
- OR - Other
- OT - Outreach
- RI - Resident Instruction
- RS - Research

4. Sequential Number - maximum of three digits. Each originating office should number its routing sheet sequentially during a fiscal year.

a) Proposals and awards for most departments and colleges within the University will be numbered beginning with "001" and are assigned by the appropriate college or department.

b) OURS will assign all GU routing numbers. The originating office must provide the project title, agency, name of PI, and the college or department contact person.

c) Proposal and awards initiated by any office under the Division of Administration and Finance (BF) are assigned routing numbers by Grants and Contracts Financial Administration (GCFA). The originating office must provide the project title, agency, name of PI, and the college or department contact person.

d) Proposals and awards to be routed through the OSU Center for Innovation and Economic Development, Inc. (CIED, Inc.) are numbered sequentially beginning with

number "700". This number is assigned by the originating office or college or by OURS for GU routings.

e) Proposals and awards to be routed through the OSU Foundation are numbered sequentially beginning with "900". This number is assigned by the originating office or college.

Refer to the OSU Policies to determine whether a routing should go through OSU, CIED, Inc., or the OSU Foundation (See policy numbers 3-0252, Old ERF 1.01, 1-0301 and 7-0501).

5. The routing number will remain consistent for the life of the proposal and any subsequent award(s).

Example of a routing number: EN-07-RS-001

EN - College of Engineering, Architecture and Technology
(responsible Administrative unit)

07 - FY (July 1, 2006 – June 30, 2007 = 07)

RS - Research (university function)

001 - First routing sheet prepared this fiscal year by
Engineering

2.02 When more than one College is involved in a proposal or an agreement, a routing packet, rather than a routing sheet, is prepared. (The routing packet is required only in those cases where inadequate space is available for required information from all units.) A routing packet for a multiple college proposal/award shall contain the following:

A. Master routing sheet listing the data for the entire project and

B. Individual routing sheets for each College providing the data for that entity's portion of the proposal or agreement. The individual Colleges prepare their routing sheets and forward them to the coordinating office, which prepares the master routing sheet.

THE ROUTING PROCESS

2.03 The originating college or unit administrative office/department completes the routing sheet (the PI must complete Part 3). The PI, project leader, or coordinator reviews the document, signs the routing sheet where indicated, and forwards the routing sheet and documentation to the department head.

A. Any comments and special information should be included in Part 5 of the routing sheet. Examples include, but are not limited to: any deviation from University policy, no-cost extensions, budget information, and a short description of the project if it involves homeland security.

(NOTE: Routings that involve OSU-Tulsa faculty **must** be routed to OSU-Tulsa first for PI and OSU-T administrative approval. Additional information regarding OSU-T routings may be found at: <http://research.okstate.edu/routing.htm>).

2.04 The department head reviews, notes any changes from the original proposal, and if the routing is an award, adds any comments for the attention of administrators signing the routing sheet. The department head will sign and forward the packet to the dean or director.

2.05 The dean or director reviews, adds pertinent comments, then signs and returns the routing to the originating college or administration office/department. The routing is then forwarded to OURS.

A. The originating office should retain a copy of the routing sheet and all documentation supporting the proposal/award.

B. The originating office must deliver the original routing sheet and supporting documentation and one (1) additional copy of all documentation to OURS.

C. Adequate time should be allowed for review by all offices responsible for the proposal/award routing process. Originating offices are encouraged to submit proposals and awards well ahead of deadlines set by funding agencies. If a document must be routed quickly to meet a deadline, OURS may affix a "RUSH" note to the front of the routing sheet and the document may be walked through the routing process by a staff member from the originating office.

D. In the case of a CIED, Inc. "RUSH" routing, the college/department office will be responsible for taking the routing to CIED, Inc. for signature and returning it to OURS for final distribution.

E. For routings which require OSU Foundation review, the originating office should obtain OSU Foundation President or designee signature prior to delivery to OURS.

2.06 OURS will coordinate the routing process. When the routing sheet and supporting documentation is delivered to OURS by the originating office, OURS will

make a copy of the routing sheet and enter pertinent information into the OURS tracking system.

A. If at any time during the routing process a reviewer has questions or issues regarding the information stated in the routing, OURS will be notified and the routing will be returned in its entirety to OURS and subsequently returned to the originating office for correction and/or clarification.

2.07 The routing will be forwarded to the Office of Research Compliance if applicable. If Research Compliance review is not required the routing packet is taken directly to GCFA.

A. The Office of University Research Compliance checks to ensure requirements are met in the areas of human subjects, animal use, recombinant DNA, infectious agents, radioactive materials, hazardous chemicals, and laser safety. The routing is then forwarded to GCFA.

2.08 GCFA reviews the routing to determine whether the budget is in compliance with University fiscal policies, negotiated Facilities and Administrative cost rates (F&A), cost-sharing agreements, matching fund requirements, and other GCFA requirements. Upon approval, GCFA forwards the routing to the office of the VPRTT.

2.09 The VPRTT, or designee, reviews and signs the routing sheet. The VPRTT or designee will not sign an incomplete routing. All signatures must be in place before the routing and corresponding documentation will be reviewed and signed by the VPRTT or designee. If legal counsel or other University official's approval is required, this approval must be obtained before VPRTT will sign off. If the VPRTT signature must be notarized, it is incumbent upon the originating office to advise the VPRTT with special instructions noted on the routing sheet.

A. When a University official's signature is required on a document, the document should be prepared by the originating office with the name and title of the individual typed below a signature line.

B. CIED, Inc. proposals, grants, contracts, or agreements must also be signed by the President of CIED, Inc. or designee. After signature is obtained by the President of CIED, Inc. or designee, the routing will be returned to OURS for distribution.

C. OURS will distribute the fully signed original routing and corresponding documentation to the originating office. If a secondary office, department, or college is involved, OURS will forward a copy of the signed routing sheet to the secondary office along with any signature pages.

D. OURS shall forward a copy of the fully signed routing sheet and any signature pages to GCFA for their master files.

E. Signatures pages that are not fully executed at the time the routing process is completed (e.g. the outside entity has not signed) shall have a copy of the fully executed signature page sent to GCFA upon receipt by the college or department.

F. GCFA shall maintain the University's official master files of all grants, contracts, and agreements.

2.10 When the routing process has been completed and the signed routing has been returned to its originating office, the originating office will be responsible for the delivery of the signed proposal or award to the agency or sponsor.

2.11 If an award document is received by any office other than the originating unit, the document shall be sent to the OURS for identification. OURS will then forward the documents to the responsible college's research administration office.

2.12 Material transfer agreements and confidentiality (or nondisclosure) agreements should be approved and signed by the Assistant Vice President for Technology Development and Director of the Office of Intellectual Property Management or designee before the normal routing procedure is initiated. The signature does not need to be obtained on the routing sheet.

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