

OKLAHOMA STATE UNIVERSITY INSTITUTE OF TECHNOLOGY  
POLICY & PROCEDURES LETTER

**Routing System – Proposals and Incoming Grants,  
Contracts and Agreements**

**1-011  
ADMINISTRATIVE  
July 2009**

POLICY

- 1.01 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 and CEO of Oklahoma State University has delegated this authority and responsibility to the President of OSU Institute of Technology.
- 1.02 To provide for an administrative review and approval of all formal proposals and awards (e.g., grants, contracts, and agreements), the Contracts, Grants and Safety Compliance (CGSC) office prepares an *Oklahoma State University Routing Packet* according to the “*Guidelines for Filling in the OSU Routing Sheet*” to accompany the proposal or award. These documents are available on-line at: <http://www.research.okstate.edu/>
- The CGSC office then sends the prepared routing, with three (3) copies of the proposal or award, through the routing process (Exhibit A).
- 1.03 The CGSC officer coordinates the routing procedure through the central administrative channels of the branch campus, and monitors the routing through the OSU-Stillwater University Research Services (OURS) and Grants and Contracts Financial Administration (GCFA) system(s).

PROCEDURES

- 2.01 The routing packet consists of the routing sheet, signature pages for additional investigators and approvals, cost share details form, export control form, and NIH certifications form. Only the forms appropriate to the particular routing filing need to be completed and routed.
- 2.02 Preparing the Routing Packet
- A. The CGSC coordinator completes the routing packet, responding to questions in accordance to the grant details and provisions.
- B. When cost sharing is included in the proposal, it should conform to OSU-Stillwater Policy and Procedures Letter 1-0113, Cost Sharing in Sponsored Research and Service Projects. In addition, it must be shown in Part 4 of the routing sheet, and a *cost share details form* must be attached to the routing sheet.

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- C. The routing sheet should note in Part 5 any deviation from University policy in a particular proposal.
- D. The routing sheet should note in Part 5 any signature other than those usually required in Part 6 of the routing sheet, and on attached signature page(s) for additional investigators and approvals.
- E. Information on the nature and source of University resources unavailable to the originating unit(s), but required if the proposal is funded, should be detailed in Part 5 of the routing sheet.
- F. All persons signing the routing sheet should include any comments in Part 5 so that comments are available to others who review the completed routing sheet. Comments must be attributed to their author(s).
- G. When a pre-proposal, talking paper, and/or discussion paper is used in lieu of a formal proposal, this document is submitted to the CGSC office as a pre-proposal, and indicated as such; no formal routing is processed.
- H. When a University official's signature is required on a support-document, the document should be prepared by the CGSC office with the name and title of the individual typed below a signature line. A date line should also be provided as in the following example:

_____	_____
Name, Title	Date

2.03 OSU Routing Number

- A. The CGSC office provides each grant or contract with an *OSU Routing Number*. This identification number is affixed to each page of the routing packet submitted, and to any subsequent routings or correspondence.
- B. An *OSU Routing Number* is a combination of letters and numbers in the following sequence:
  1. Responsible Administrative Unit - two letters. The letters designating responsibility are OK, which represents the Oklahoma State University Institute of Technology campus.
  2. Fiscal Year - two digits. These digits correspond to the last two digits of the calendar year of the next July 1.
  3. University Function - two letters that best describe the area of association of the grant. The letters designating functions are:

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FE----- Facilities and Equipment  
FA ---- Financial Student Aid  
GR ---- Graduate  
OR ---- Other  
OT ---- Community Service  
RI ----- Resident Instruction  
RS ---- Research

4. Sequential Number - maximum of three digits. Each originating office should number its routing sheets sequentially during a fiscal year starting with "1" for the first sheet completed on or after July 1.

Example of a Routing Sheet Number: OK-06-RI-001

OK – OSU Institute of Technology (responsible administrative unit)  
06 - Fiscal Year (calendar year of the next July 1)  
RI – Resident Instruction (university function)  
001 - First routing sheet prepared this fiscal year (sequential number)

#### 2.04 Routing Review and Signature-Approval

- A. A completed routing packet must be signed by all personnel shown on the sheet(s) of the routing packet before being sent to OSU-Stillwater for additional review and authorizing signature(s).
- B. Principal Investigator: The principal investigator(s) review(s) the routing packet responses, signs the routing sheet(s) where indicated, and forwards the routing packet and document to the Oklahoma State University Institute of Technology CGSC office for further processing.
- C. The Vice President of Fiscal Services reviews the routing packet submitted, notes any changes from the original proposal, adds any comments for the attention of other administrators reviewing the routing packet, signs the routing sheet, and forwards the packet to the Campus President.
- D. The Campus President reviews the routing packet to ascertain that the budget meets University fiscal policies, negotiated indirect cost rates, cost-sharing agreements, and matching fund requirements. If necessary, comments are added for the attention of other administrators reviewing the routing packet, signs the routing sheet, and returns the packet to the CGSC office for further processing.
- E. The complete routing packet, including addendums and support materials, is sent by the CGSC office to OSU-Stillwater's Office of University Research Services (OURS). OURS enters information from the routing sheet into a database, and forwards the routing sheet and copies of the proposal to Grants and Contracts Financial Administration.

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2.05 Additional Routing Information

- A. Should a legal review be warranted, Legal Counsel enters any comments on the routing sheet, signs it, and forwards the packet to the referring office.
- B. The Submission of a grant proposal is the responsibility of the Principle Investigator, working with and through the CGSC office.
- C. When more than one entity, college or university agency is involved in a proposal or an agreement, signature pages for additional investigators and approvals by each entity involved in the proposal or agreement, and a cost share details form is required as part of the routing packet.
- D. Any appropriate memoranda of understanding between parties must be referenced in Part 5 and included as part of the routing material.

PROPOSALS SUBMITTED, NOT YET AWARDED

- 3.01 A routing sheet should be completed for proposals, approved for content and signed by the principal investigator. This provides administration an opportunity to review the grant application, and prepare administrative files for quicker accommodation when/if the grant is awarded.
- 3.02 To facilitate this requirement, a final budget must accompany the application and routing.
- 3.03 The CGSC office establishes a file, and then forwards the routing packet and copies of the proposal through the review and signature-approval process detailed in section 2.02.

GRANTS & CONTRACTS FINANCIAL ADMINISTRATION

- 4.01 Oklahoma State University-Stillwater's GCFA reviews the proposal to ascertain whether the budget meets University fiscal policies, negotiated indirect cost rates, cost-sharing agreements, and matching fund requirements.
- 4.02 If the routing process stops because of a question raised by a reviewer. GCFA may return the entire package to the Oklahoma State University Institute of Technology CGSC office.

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EMERGENCY FINANCIAL ACCOUNT NUMBERS

- 5.01 In some instances it is necessary to request assignment of an account number prior to receipt of a sponsoring agency's official award notice. If such a need exists, account requests are to be directed to CGSC office for forwarding to GCFA. Reference OSU-Stillwater Policy/Procedure 3-0253, *Assignment of Account Numbers for Grant and Contract Awards*.

Approved: June 2006

Revised: July 2009