

OSU INSTITUTE OF TECHNOLOGY  
POLICY & PROCEDURES

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

**1-011  
ADMINISTRATIVE  
September 2013**

POLICY

- 1.01 The President of OSU Institute of Technology (OSUIT) signs externally funded grants, contracts and agreements that require a routing process for a new account. The President of OSU-Stillwater has delegated this authority and responsibility to the President of OSUIT. This policy conforms to OSU-Stillwater Policy 1-0305.
- 1.02 To provide for an administrative review and approval of all formal proposals **for submission** to any external funding agency, the Grants & Sponsored Programs Office prepares the OSUIT Grants Approval Form for routing and signature to all internal formal proposal stakeholders. This procedure is described in *The Grant Development Process Guide*, and is available on the OSUIT shared drive at: I:\Grants & Sponsored Programs\Forms - To PURSUE Grants. Once Grants & Sponsored Programs has attained all signatures, the Director of Grants & Sponsored Programs submits the formal proposal to the funding agency.
- 1.03 To provide for an administrative review and approval of all **awards** (e.g., grants, contracts, and agreements), OSUIT Fiscal Services 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://urs.okstate.edu/index.php/routing>
- The Fiscal Services Office then sends the completed routing form, with a copy of the award, through the routing process (Exhibit A).
- 1.04 The Fiscal Services Office coordinates the routing procedure and monitors the routing through OSU-Stillwater University Research Services (OURS).

PROCEDURES

- 2.01 Prior to any grant development, unit leader and vice presidential approvals must be gained (see *Grant Development Process* guide).
- 2.02 The routing packet consists of the routing sheet, signature pages for additional investigators and approvals, cost share details form, export control form, and National Institute of Health (NIH) certifications form, when applicable.

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2.03 Preparing the Routing Packet

- A. The Fiscal Services Office 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 1-0113, *Cost Sharing in Sponsored Research and Service Projects*. It must be shown in Part 2 of the routing sheet, and a ***cost share details form*** must be attached to the routing sheet.
- C. The routing sheet should note in Part 4 any deviation from university policy in a particular proposal.
- D. The routing sheet should note in Part 4 any signature other than those usually required in Part 5 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 awarded, should be detailed in Part 4 of the routing sheet.
- F. All persons signing the routing sheet should include any comments in Part 4. 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 Grants & Sponsored Programs Office with a copy to the Fiscal Services Office and indicated as such; no formal routing is processed.

2.04 OSU Routing Number

- A. The Fiscal Services 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 OSUIT campus.
  - 2. Fiscal Year - two digits. These digits correspond to the last two digits of the current fiscal year.
  - 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  
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 "001" for the first sheet completed on or after July 1.

Example of a Routing Sheet Number: OK-14-RI-001

OK – OSUIT (responsible administrative unit)

14 - Fiscal Year (calendar year of the next July 1)

RI - Resident Instruction (university function)

001 - First routing sheet prepared this fiscal year (sequential number)

2.05 Circulation and Signature/Approval for Awards

- 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. Circulation: The Fiscal Services Office initiates routing by sending the routing packet to the 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 OSUIT Fiscal Services Office for further processing.
- C. Routing Review and Signature Approval:
  1. The Fiscal Services and Grants & Sponsored Programs Offices review 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. When the packet is completed, the Vice President of Fiscal Services signs the routing sheet, and forwards the packet to the President of OSUIT.
  2. The President of OSUIT signs the routing sheet and returns the packet to the Fiscal Services Office for further processing.
  3. The complete routing packet, including addendums and support materials, is sent by the Fiscal Services 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 - Stillwater.

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2.06 Additional Routing Information

- A. Should a legal review be warranted, OSU 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 OSUIT's Director of Grants & Sponsored Programs, working with the Principal Investigator (when one is specified) and the Fiscal Services Office. The submission process is outlined in the *OSUIT Grant Development Process Guide*, located on the shared drive.
- C. When more than one entity, college or university agency is involved in an award, signature pages for additional investigators and approvals by each entity involved in the award, accompanied by the cost share details form, are required as part of the routing packet.
- D. Any appropriate memoranda of understanding between parties must be referenced in Part 4 and included as part of the routing material.

GRANTS & CONTRACTS FINANCIAL ADMINISTRATION

- 3.01 OSU-Stillwater's OURS reviews the proposal to ascertain whether the budget meets university fiscal policies, negotiated indirect cost rates, cost-sharing agreements, and matching fund requirements.
- 3.02 If the routing process stops because of a question raised by a reviewer, OURS may return the entire package to the OSUIT's Fiscal Services Office.

EMERGENCY FINANCIAL ACCOUNT NUMBERS

- 4.01 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 the Fiscal Services Office for forwarding to OURS, reference OSU-Stillwater Policy 3-0253, *Assignment of Account Numbers for Grant and Contract Awards*.

Approved: June 2006  
Revised: July 2009  
Revised: September 2013