

OSU Routing System Standard Operating Procedure - The Routing Process

The purpose of the routing process is to provide sufficient information to enable a variety of administrative reviews and approvals to be conducted. While the routing sheet contains summary information regarding proposals and awards, the accompanying documentation must be sufficient to enable informed approvals to be made.

The originating college or unit administrative office/department is responsible for completion of 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.

- Any comments and special information should be included in Part 4 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.

The department head reviews, adds any comments for the attention of administrators signing the routing sheet. The department head signs and forwards the packet to the dean or director.

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 University Research Services (URS).

- The originating office should retain a copy (paper or electronic at the discretion of the originating office) of the routing sheet and all documentation supporting the proposal/award.
- The originating office must deliver the original routing sheet with supporting documentation to URS.
 1. **Proposal Routings:** Supporting documentation must contain sufficient information to ensure that administrative review is possible. The following information details the minimum supporting documentation. (Inclusion of insufficient or incomplete documentation will result in return of the routing prior to approval at any stage.)
 - a. Final Budget
 - b. Final Budget Justification
 - c. Statement of Work* (or Abstract) This information should be in as nearly final form as possible and should not have substantive changes made prior to submission.
 - d. Forms/Documentation that require an Official/Authorized Signature. ***Be sure to include a copy of these documents for GCFA so the original may be returned to the college or unit administrative office.***
 - e. F&A waiver/limitation: Include required documentation and/or provide a link in the "Comments" section of the Routing Sheet

- f. Supplemental routing pages (i.e., Additional Investigators Approval, VPR Cost Share Form, etc.)

* Submitting units assume responsibility for compliance with applicable University policies for proposals routed with DRAFT documents.

2. **Award Routings:** The following information details the supporting documentation:
 - a. FINAL proposal package (all forms and content) submitted to the sponsor/agency. To include: proposal modifications submitted and accepted by the sponsor/agency.
 - b. All award documents provided by the sponsor/agency. To include: any document(s) requiring an Official/Authorized Signature.
 - c. Any supplemental pages to the Routing Sheet (i.e., Cost Share Details &/or Documentation, Export Control Review, VPR Cost Share Form, etc.)
 - d. In the event OSU is not the final signature on sponsor/agency acceptance documentation, one (1) copy of the supporting documentation must be attached for GCFA.

- Adequate time, normally 1 business day per office, should be allowed for review by each office 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, URS 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. Routings that need signatures not normally obtained in the routing process may require longer to process. The use of the "RUSH" routing procedure should be the exception rather than the rule.
- For routings which require OSU Foundation review, the originating office should obtain OSU Foundation President or designee signature **prior** to delivery to URS.

URS will coordinate the routing process through University Research Compliance (URC), Grants and Contracts Financial Administration (GCFA), and Vice President for Research (VPR). When the routing sheet and supporting documentation is delivered to URS by the originating office, URS will make a copy of the routing sheet for reference and log the Routing Sheet into the tracking system.

- If at any time during the routing process a reviewer for URC, GCFA, or VPR have questions or issues with the routing package and returns the routing package to the originator, URS will be notified by the reviewer that the routing has been removed from the system.

The routing will be forwarded to URC if applicable. If URC review is not required the routing packet is taken directly to GCFA.

- The URC 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.

GCFA reviews the routing to determine if the budget is in compliance with University fiscal policies, correct Facilities and Administrative cost rates (F&A) have been applied, cost-sharing agreements and matching fund requirements are in place, and for other GCFA requirements. Upon approval, GCFA forwards the routing to the VPR.

The VPR, or designee, reviews and signs the routing sheet. The VPR 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 VPR or designee. If legal counsel or another University official's approval is required, this approval must be obtained before VPR will sign off. If the VPR signature must be notarized, it is incumbent upon the originating office to advise the VPR with special instructions noted on the routing sheet.

- 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 (normally, this is the VPR).
- URS will distribute a copy of the fully signed routing sheet and corresponding documentation that required Official/Authorized Signature to the originating office. If a secondary office, department, or college is involved, URS will forward a copy of the signed routing sheet to the secondary office.
- URS will forward the original fully signed routing sheet and Award routing package to GCFA for the master files, provided the university is the last signature. If the university is not the last signature the copy that is to be included will be returned to GCFA with signature pages inserted. The original of the executed agreement should be submitted to GCFA by the originating office as soon as it is received.
- Original fully executed agreements are to be sent to GCFA upon receipt by the college or department.
- GCFA shall maintain the University's official master files of all grants, contracts, and agreements.
- URS keeps a copy of the routing sheet without the supporting documentation. The information on the routing sheet is then entered into URS' proposal and awards database.

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 submitting proposal or award to the agency or sponsor.

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

Branch campuses, OSU-OKC, OSU-IT, OSU-CHS, should follow the procedures established on their respective campus and then forward the routing package to URS as normal.

OSU Routing Flow Chart

Below is a diagram of the administrative flow for a routing. Each stop is allowed one (1) working day minimum for review. If a routing must be completed in 24 hours or less, the originating office must walk the routing to all the required stops. Deadlines should be clearly indicated on the routing sheet.

OPTIONAL STOPS: *Routings must have approval from any of these PRIOR to being delivered to URS.*

