

PLEASE NOTE: The following item numbers correspond to the fields on the routing form that are numbered in **(red)**.

- (1) **GMU #** This field contains the internal control number used to track proposals while they are pending; this number is entered in Coeus and determines the filing order of pending files. The GMU # is assigned by the Grants Administrator at the time a proposal is assigned to them; the assignment sheets are kept in a 3-ring binder and have an “intelligence” to identify the fiscal year in which the proposal is submitted as follows:

108020 indicates Fiscal Year 08 (108) and the twentieth proposal number assigned (020)
- (2) **Initial Review Date** This field contains the date when the routing form is first prepared and should not be changed in subsequent revisions.
- (3) **Revision #** Should a routing form need to be revised, this field is used to track the number of the revision(s). Reasons for revisions may include, but are not limited to: revised budget, revised submission, modifications to an existing award, or substantive changes in the routing form.
- (4) **Review Date** When a routing form is revised, this field is used to indicate the date of the particular revision.
- (5) **Deadline** This is the due date of the proposal – either the sponsor-determined date or the PI’s submission target date.
- (6) **Submission Date** This is the date on which the proposal was submitted (electronically, mailed or otherwise delivered) to the sponsor. ***This date is the date that is used in running the monthly reports from Coeus.***
- (7) **Start Date** This is the proposed start date of the project; the PI will have provided this date to the Grants Administrator during proposal budget development.
- (8) **End Date** This is the proposed end date of the project; the PI will have provided this date to the Grants Administrator during proposal budget development.
- (9) **Principal Investigator** Enter the full name of the PI of the proposal.
- (10) **Position Title** Enter the title of the PI; this information is available in the university directory as well as on the NBAJOBS screen of Banner. It is important to confirm the information with the PI and/or departmental administrator.
- (11) **E-mail:** Enter the e-mail address of the PI; not all PIs use their GMU e-mail address so be sure to enter the most correct e-mail address at which the PI can be contacted.
- (12) **Phone:** Enter the phone number of the PI; not all PIs have their offices on-campus so be sure to enter the most correct phone number at which the PI can be contacted.
- (13) **FAX:** Enter the FAX number of the PI; not all PI’s have their offices on-campus so be sure to enter the most correct FAX number at which the PI can receive Faxes.

- (14) **Co-Investigator(s) and Faculty Associates** List all Co-Investigators and Faculty Associates here; this information should match the faculty information shown on the budget. Faculty Associates are those faculty who are not identified as either the PI or Co-I.
- (15) **Contact other than PI:** If there is a departmental financial administrator or other administrative support person that should be contacted and is knowledgeable of the proposal details, enter that person's name and **E-mail** address. If there is no such contact, this field can be left blank.
- (16) **Phone:** Enter the phone number of this contact person, if applicable.
- (17) **FAX:** Enter the FAX number of this contact person, if applicable.
- (18) **Lead Unit:** Enter the complete name (no acronyms or abbreviations, please) of the chartered center, department, institute or college/school through which the proposal is being submitted and under which this proposal will be reported. **Please be sure to confirm this information with the PI.**
- NOTE:** In order for a center to be shown as the lead unit it must be chartered (approved) by the Provost's office.
- (19) **Project Title:** Enter the complete title of the project. **Please note the following:**
- If this proposal is being submitted to a specific program (MURI, DURIP, CTI, or other program acronym identified by the sponsor), please begin the project title with the acronym.
 - If this submission is a White Paper, Letter of Intent, or a Pre-Proposal, the title should begin with that identifier.
 - If the PI of this proposal is affiliated with the Krasnow Institute yet holds tenure in another academic unit, please begin the project title with KRASNOW: and be sure to show the PI's academic unit as the lead unit.
- (20) **Sponsor:** Enter the complete name of the sponsor; the sponsor is the external entity to which the university is submitting the proposal.
- (21) **Prime Sponsor:** Enter the complete name of the prime sponsor; the prime sponsor is the external entity to which the university's sponsor is submitting the proposal. **NOTE: There will always be a sponsor but there may not be a prime sponsor. For example, if the sponsor is the National Institutes of Health (NIH), do not enter the Department of Health and Human Services (DHHS) as the prime sponsor.**
- (22) **NSF Discipline Code:** Currently, we are not using this field; the National Science Foundation (NSF) has been charged by Congress to annually report research expenditures by colleges and universities and the NSF uses the NCES discipline codes to identify areas of research. We hope to incorporate this information in the new version of Coeus and have this field auto-filled based on the name of the lead unit. More information will be coming in the future.
- (23) **CFDA:** All Federal grant programs should have a CFDA number assigned to it. This information can usually be found on the program solicitation and should be entered here. This is an important piece of information for post-award should the proposal be funded.

- (24) **Program Code:** Another critical element of sponsored program reporting is the various types of sponsored projects that exist. This information is derived from the type of the proposed activity (research, training, instruction, service, etc.) and the PI is the best source of this information.
- (25) **Type of Activity** Please confirm with the PI what the type of activity this proposal is and then check mark one of these choices. (Please see the information in (24).
- (26) **Type of Award** In most cases, the program solicitation/RFA/BAA will indicate how an award will be made – as a grant, a contract, subcontract, cooperative agreement. Please try to identify this information and check mark the appropriate type.

NOTE: This information is critical when a Department of Defense (DOD) agency is either the university's sponsor or the prime sponsor since it will determine the F&A rate that is used in the proposal budget. If a DOD agency is the prime sponsor, do some extra checking to see what type of award instrument that DOD agency will be using when making an award to the university's sponsor.

- (27) **Subcontracting Information** Please check Yes or No. If Yes is checked (indicating that we are proposing subcontracting part of the proposed project to one or more external entities), the name(s) of the proposed subcontractor(s) should be entered here and should also appear on the budget. Whether or not the sponsor requires us to submit the detailed budget, letter of commitment and statement of work as part of the proposal package, we must have this information from each of our proposed subcontractors for our proposal file. This protects both our proposed subcontractor(s) as well as the university since it confirms that they are aware of our inclusion of them in our proposal.

DISTRIBUTION OF RECOVERED INDIRECT/F&A

- (28) **Rate (of Indirect/F&A) charged to the sponsor:** Enter the F&A rate that is used on the proposal budget. Most of our Indirect/F&A rates will be charged as Modified Total Direct Costs (MTDC); **if a sponsor permits us to charge a certain indirect/F&A or overhead rate against TOTAL direct costs, make sure to change this statement to reflect that information.**
- (29) **Principal Investigator(s) - % recovery of F&A** The default amount for distribution of recovered F&A for the Principal Investigator(s) is 10.5%. Please confirm with the PI that the default % will be used; this is particularly important if there is one or more Co-Investigators shown on the proposal – be sure to check with the PI if the investigator's portion of the recovered F&A will be given solely to the PI or will be divided between the PI and the Co-Investigator(s). OSP does not get involved in this negotiation; it appropriately should occur between the PI and any Co-Investigators.
- (30) **Department/Center – % recovery of F&A** The default amount for distribution for recovered F&A for the Department(s)/Center(s) is 7%. Please confirm with the PI that the default % will be used; usually, if the PI and any Co-Investigators are dividing the PI share of the recovered F&A, the same division should be used for the recovery by the Department(s)/Center(s). Again, this negotiation should occur between the PI and any Co-Investigators. There are some colleges/schools that have "standard" distribution arrangements within their respective colleges or schools. Please check with the appropriate team leader for the most up-to-date information.

- (31) **School/College/Institute -- % recovery of F&A** The default amount for distribution for recovered F&A for the School(s)/College(s)/Institute(s) is 17.5%. Please confirm with the PI that the default % will be used; as above, if the PI and any Co-Investigators are dividing the PI and Department/Center shares of the recovered F&A, the same division is usually used for the recovery by the School(s)/College(s)/Institute(s). Please confirm with the PI.

IMPORTANT NOTE: Occasionally during the routing process a PI, chair, director or dean may make changes to the distribution of the recovered F&A. OSP asks that when such a change is made that the individual making the change initial and date the changes. When OSP has a routing form returned on which there have been changes made, the routing form and folder will be returned to the appropriate Grants Administrator to make revisions to the routing form that incorporate these changes and then begin the routing process again to insure that everyone who was required to sign the routing form is aware of these changes.

SUMMARY PROPOSED BUDGET Information:

- (32) **Sponsor** Enter the total amount of funding (direct and F&A) that is being requested from the sponsor; this figure should match the information on the budget.
- (33) **GMU Cash** If the budget includes cost-share of GMU cash (tuition, other direct costs that will be charged to an identified departmental or college/school org if funded), enter the total cash value; this figure should match the information on the budget.
- (34) **GMU In-kind** If the budget includes cost-share of GMU in-kind (faculty/staff effort and associated fringe benefits contributed to the project that will be charged to an identified departmental or college/school org if funded), enter the total in-kind value; this figure should match the information on the budget.
- (35) **Unrecovered Indirect (F&A)** If the sponsor does not permit the university to charge its full, Federally-negotiated F&A rate on the budget, indicate the total amount of the unrecovered F&A; this figure should match the information on the budget.
- (36) **Tuition Contribution** Not all sponsors allow the university to charge GRA tuition to a proposed project. If a GRA stipend is budgeted and the sponsor is not willing to cover the associated tuition for the GRA and the department or college/school is willing to cover the GRA tuition from its own org, enter the value of the institution's contribution to the tuition; this figure should match the information on the budget and an org needs to be identified for the source of these monies.
- (37) **Other Cash** Sometimes when a sponsor requires cost-sharing on a proposal and the university is collaborating/partnering with other entities on the project, it is not unusual for one of the university's partners/subcontractors to contribute cash as cost share to the proposal. The value of that cash should be entered and needs to match the information on the budget.
- (38) **Other In-kind** Sometimes when a sponsor requires cost-sharing on a proposal and the university is collaborating/partnering with other entities on the project, it is not unusual for one of the university's partners/subcontractors to contribute effort in-kind as cost-share to the proposal. The value of that in-kind effort should be entered and needs to match the

information on the budget. **NOTE: we will need documentation that explains how the value of this in-kind contribution was calculated.**

- (39) **Total Budget** Enter the total value of the proposed budget from all sources; this figure should match the information on the budget.

PI CERTIFICATIONS AND REPRESENTATIONS PAGE

- (40) **PI Certifications and Representations**

This page needs to be completed by the PI of the proposal. The PI signature on the signature page certified that the information on this page is complete and correct. Most of these certification and representation items are self-explanatory; only those that in OSP's experience have created the most confusion or are critical pieces of information to capture are addressed here.

- (41) **Human Subjects Protocol # _____** This specific item is often incorrectly completed. The correct information for this space is the Protocol Number assigned by the Office of Research Subject Protections to a protocol application submitted to that office for approval to use human subjects in this research project.

- (42) **IACUC # _____** If a PI has submitted a protocol application to the Office of Research Subject Protections to include animals in this research project and that protocol has been approved, the approved Protocol Number should be entered here.

- (43) **Laboratory Hazards (check all that apply)** The PI needs to indicate here if any of these situations will exist during the performance of the proposed project. If any of these are checked, OSP will share this information with the appropriate Lab Safety Compliance office.

- (44) **Location, Facilities and/or Specialized Equipment Needs** The information captured here pertains to the on or off campus location of the majority of this project and should be reflected in the appropriate F&A rate applied to the budget. [See number (50)]

NOTE: If special or unique facilities will be required in order to perform the proposed project and that requirement will need facilities not currently owned or controlled by the university but will need to be acquired, the Vice President of Facilities needs to be included on the routing form. This information may not be known to the Grants Administrator at the time the routing form is being prepared; if this information is discovered during the Grants Administrator's review of the form after completion of the routing, a revised routing form should be created with the addition of the VP for Facilities' signature line and the form should be sent to the VP for signature.

- (45) **Project Description: Key Words** The PI is requested to provide three (3) key words that describe the subject matter/discipline of the proposed project. OSP maintains a spreadsheet for the Vice President for Research containing this information.

- (46) **Additional Information** This is important information to capture, especially the Conflict of Interest, Export Control and Non-Resident Aliens/Foreign Nationals data. There is an institutional process in place that allows faculty to disclose a conflict of interest. As more information on the institutional practice in overseeing Export Control becomes available, it will be shared with the office. When reviewing sponsor guidelines, if a Grants Administrator

notices any sponsor restriction on the involvement of Non-Resident Aliens or Foreign Nationals, the Grants Administrator should bring this information to the attention of the PI immediately. This may impact the use of international students or faculty on the project.

ADMINISTRATIVE INFORMATION, COST SHARING, SPECIAL NEEDS COMMITMENTS

- (47) **Sponsor Funding block** This block should be used to call attention to important items in this proposal and budget. All faculty funding from both the sponsor and any proposed cost sharing commitments should be itemized. Use this space to mention any unique sponsor-imposed restrictions on direct costs or limitations of F&A that can be charged.
- (48) **GMU Cost Sharing/In-kind Contribution** If no cost sharing is involved in this proposal budget, enter N/A and go on to the next block. **However**, if there is either cost share or in-kind contributions proposed in the budget, each must be separately itemized (this block can be copied to accommodate each item); a PI might not know the org that will be the source of funds for either the cost share or cash so the Grants Administrator can either contact the departmental administrator to get this information to enter or leave it blank for the PI, chair, dean, and/or director to provide. **During review after routing has been completed, it is very important that the Grants Administrator check that all orgs for cost share and in-kind contributions have been provided and signed off.**
- (49) **Signature Block (Approval Signatures)** It is critical that the Grants Administrator includes everyone on this list that need to sign off on this routing form. Enter the complete name of the individual signatories.

NOTE:

VERY IMPORTANT: Now that so many proposal submissions are done electronically and do not require a signature (other than the electronic signature in the system), please remember that if a proposed budget is \$1M or more per year, Maurice W. Scherrens, Senior Vice President, must be included on the routing form.

- (50) **Special Needs: Facilities/Specialized Equipment** If there will be unique facility or equipment needs or requirements for this project that will need upper-level institutional administrative approval (for rental of space, for large expenditures for equipment, for example), drag this box onto the routing form on the signature page to insure that it is included for review, consideration and approval. It is always a good idea to encourage the PI to have conversations with the school's dean and any other administrators regarding these unique requirements sooner rather than later in the process.