

## Routing Form Tips & Hints (v.11/2006)

<b>GEORGIA INSTITUTE OF TECHNOLOGY</b> <b>SPONSORED PROGRAMS/RESEARCH PROPOSAL AUTHORIZATION ROUTING FORM</b>		<b>FOR OSP USE ONLY</b>
DEPT./LAB PROPOSAL TRACKING NUMBER		<b>INVESTIGATOR DATA</b>
PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR (DR./MR./MRS./MISS/MS.)	PHONE	
E-MAIL	FAX	
LABORATORY, CENTER, COLLEGE OR SCHOOL		
CO-PD/PI (S)		
ADMINISTRATIVE COORDINATOR, IF OTHER THAN PD/PI		CAMPUS ADDRESS & MAIL CODE
E-MAIL	FAX	

### ***Investigator Data***

**PI Information:** PI Eligibility – To be a PI you must have General Faculty Status (i.e., Research Scientist or Assistant Professor). Students – Graduate or Undergraduates – and Post Doctoral cannot submit as PI. They may submit under a faculty advisor.

**Proposal Number:** This number may be used by a college or department for internal tracking purposes.

**Co-PI:** If there are Co-Investigators, be sure to obtain their signatures.

**Proposal Coordinator Information:** By adding information to this section, a person will be added to ICOL/WebWISE and receive email notifications from this system.

PROPOSAL DATA	
PROPOSAL TITLE	
<b>PROPOSAL/AWARD CLASSIFICATION:</b>	
<input type="checkbox"/> NEW	<input type="checkbox"/> REVISED BUDGET FOR _____
<input type="checkbox"/> CONTINUATION/RENEWAL OF _____	<input type="checkbox"/> OTHER REVISION OF _____
<input type="checkbox"/> SUPPLEMENT TO _____	
IF THIS IS A CONTINUATION OR RENEWAL, DOES THIS PROPOSAL CONTAIN AN ANNUAL OR INTERIM REPORT REQUIRED BY THE EXISTING AGREEMENT? <input type="checkbox"/> Yes <input type="checkbox"/> No	
<input type="checkbox"/> REQUEST FOR PROPOSAL /APPLICATION (RFP, RFA)	

### ***Proposal Data***

**Proposal Title:** Provide the proposal title.

### ***Proposal Classification***

**Continuation:** Is this continuation for an existing award? If yes, please provide the award number.

- The second question is to ensure that any reports included in a continuation application are identified, submitted to the appropriate sponsor address, and documented in the OSP database.
- In contrast, an Unsolicited Proposal is an Investigator-Initiated (driven) proposal.

**Revised Proposal:** A modified and resubmitted request for funding for a project that was previously not funded. Please provide the 15 digit OSP reference number.

**Solicited Proposal(RFP, RFA):** Announcements that indicate the availability of funds for a topic of specific interest to a sponsor. The announcements come in the form of RFP, RFA or program announcements. Be sure to indicate the solicitation information on the routing form.

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<b>TYPE OF AWARD (CONTRACT TYPE):</b> <input type="checkbox"/> COST REIMBURSEMENT NO FEE (DEFAULT - RESIDENT INSTRUCTION) <input type="checkbox"/> COST REIMBURSEMENT WITH A FEE (DEFAULT - GTRI) <input type="checkbox"/> TIME & MATERIALS CONTRACT (MEMO REQUIRED) <input type="checkbox"/> FIXED PRICE CONTRACT (MEMO REQUIRED – RESIDENT INSTRUCTION)	<b>COST SHARING</b> <b>Yes No</b> <input type="checkbox"/> <input type="checkbox"/> IS COST SHARING PROPOSED? (ATTACH APPROVAL FORM) <input type="checkbox"/> <input type="checkbox"/> IS COST SHARING CONTRACTUALLY REQUIRED BY THE SPONSOR?
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### ***Type of Award***

**Cost Reimbursement:** A contract/grant for which the sponsor pays for allowable incurred costs in the conduct of the work up to an agreed-upon amount.

**Fixed Price:** A contract for which one party pays the other party a predetermined price, regardless of actual costs, for services rendered. This contract type places upon the contractor maximum risk and full responsibility for all costs and resulting overruns or underruns.

- If proposing a Fixed Price contract, the Chairperson of the Department must initiate a Fixed Price Memo which states that the department will assume all risks involved with the contract including any cost overruns.

**Time and Materials:** This is typically used for GTRI only.

### ***Cost Sharing***

**Cost Sharing:** Cost sharing is the portion of a project or program costs not borne by the sponsor (Federal Agency). If cost sharing isn't a requirement of the solicitation (RFP/RFA) than it is highly recommended that it isn't proposed to the sponsor. Cost Sharing if proposed MUST include a cost sharing form identifying where the funding is coming from and with the necessary approvals. Cost Sharing funds cannot be used twice, cannot come from Federal Funds, and must meet the same requirements for a direct cost on the proposal budget.

TOTAL \$ PROPOSED	ESTIMATED START DATE	DUE DATE & TIME	PERFORMANCE PERIOD MONTHS: _____ OR DAYS: _____
KEYWORDS (AT LEAST ONE REQUIRED) :			

**Total \$ Proposed:** Both direct costs and F&A costs for the entire performance period.

**Start Date:** Anticipated date the research project will begin.

**Date & Time:** Realizing that all proposals are important to those involved in the project, please provide an actual date and time – ASAP is not helpful to assess workloads.

**Performance Period:** Provide the performance period – whether it is a 2 day program with Continuing Education or a two year project with a federal sponsor.

**Keyword:** At least one keyword is required, be as focused and specific as possible.

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SPONSOR DATA	
SPONSORING ORGANIZATION NAME (FUNDING ORGANIZATION OR THE SUBAWARD IS FROM)	SPONSOR'S TECHNICAL CONTACT
	PHONE _____ EMAIL _____
MAILING ADDRESS OF SPONSORING ORGANIZATION	ADMINISTRATIVE CONTACT
	PHONE _____ EMAIL _____
NAME OF SPONSORING GOVERNMENT ORGANIZATION (PRIME), IF APPLICABLE	SOURCE OF FUNDS, IF DIFFERENT FROM SPONSORING ORGANIZATION OR PRIME
PRIME CONTRACT NUMBER:	CONTRACT NUMBER FOR SOURCE OF FUNDS:
CHECK PREFERRED MAILING METHOD <input type="checkbox"/> ELECTRONIC – EMAIL OR FAX IF APPLICABLE: _____ <input type="checkbox"/> EXPRESS COURIER <input type="checkbox"/> FIRST CLASS CERTIFIED <input type="checkbox"/> U.S. EXPRESS MAIL	COURIER (HAND DELIVERY) ADDRESS
SHIPPING ACCOUNT TO BE CHARGED:	

### ***Sponsor Data***

***Sponsor Organization Name:*** The organization that provides the funds for research project directly to Georgia Tech.

- Be sure to include an email address if appropriate.

**Example 1:** If GTRC is working with the University of Texas on a NSF proposal and Texas is the prime recipient and we are receiving a subgrant from them, then the Sponsoring Organization would be University of Texas and the Sponsoring Government Organization or Prime would be the National Science Foundation (NSF). This proposal would be sent to the Non-Federal group (University Contracting Officer).

**Example 2:** If GTRC is working with Boeing on a proposal that is being funded by DARPA but the Army is actually awarding the funds to us – then the Sponsoring Organization Name is Boeing; the Sponsoring Government Organization (Prime) is DARPA and the Source of funds would be Army. This proposal would be sent to the Federal Flow Through Group.

### SPECIAL REVIEW CHECKLIST

<b>The proposal submitted involves the following:</b>	
Contact Office of Research Compliance for assistance with protocols involving humans, animals, or rDNA: 404-894-6944	
<b>Yes</b>	<b>No</b>
<input type="checkbox"/>	<input type="checkbox"/> Human Subject Research      IRB protocol Number: _____      Expiration Date: _____
<input type="checkbox"/>	<input type="checkbox"/> Vertebrate Animals      IACUC protocol Number: _____      Expiration Date: _____
<input type="checkbox"/>	<input type="checkbox"/> Recombinant DNA      IBC protocol Number: _____      Expiration Date: _____
<i>Applicants may request a deferral to submit a funding proposal without an approved protocol as required by GT policy. Requests must be made in writing to your Contracting Officer who will obtain institutional approval for such action.</i>	
<b>NOTE:</b> No awards will be accepted without an approved GT protocol in place.	
<input type="checkbox"/>	<input type="checkbox"/> Select Agents      See list at <a href="http://www.cdc.gov/od/sap/docs/salist.pdf">www.cdc.gov/od/sap/docs/salist.pdf</a> More info: <a href="http://www.cdc.gov/od/sap/">www.cdc.gov/od/sap/</a>
<input type="checkbox"/>	<input type="checkbox"/> Biological Agents: Check all that apply: <input type="checkbox"/> Infectious or pathogenic agent(s) <input type="checkbox"/> Human tissues or bodily fluid(s) <input type="checkbox"/> Other bio. materials
<input type="checkbox"/>	<input type="checkbox"/> Physical Agents: Check all that apply: <input type="checkbox"/> Chemicals <input type="checkbox"/> Sharps <input type="checkbox"/> Laser <input type="checkbox"/> Radiation <input type="checkbox"/> Thermal agent(s)
<input type="checkbox"/>	<input type="checkbox"/> Materials Transfer Agreement (MTA)
<input type="checkbox"/>	<input type="checkbox"/> Professional Education Program (If yes, please route form to DLPE)
<input type="checkbox"/>	<input type="checkbox"/> Subaward(s) are proposed
<input type="checkbox"/>	<input type="checkbox"/> Teaming Agreement
<input type="checkbox"/>	<input type="checkbox"/> Research may result in an export of information or material to another country (ITAR/EAR)
<input type="checkbox"/>	<input type="checkbox"/> Involves the use of specific results IP from previous research – explain in comments section.
<input type="checkbox"/>	<input type="checkbox"/> Non-Disclosure Agreement (NDA) is required or in-process

### ***Special Review Checklist***

***Human Subjects:*** Approval from the Institutional Review Board is required prior to undertaking any research involving humans. Specific guidance is available on the IRB website at <http://www.osp.gatech.edu/IRB/>. If a proposal requires, but does not have, IRB approval, it is OSP policy not to submit the proposal to the sponsor. In certain cases, this policy may be waived. Contact the Contracting Officer for details on waivers. Contact the Office of Research Compliance at 404 / 894-6942 for assistance with protocols.

***Animal Subjects:*** Approval from the Institutional Animal Care and Use Committee is required prior to undertaking any research involving vertebrate animals. Specific guidance is available on the IACUC

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website at <http://www.osp.gatech.edu/IACUC/>. Animal procurement is centralized in GTRC. Animals will not be purchased without an approved IACUC protocol. If a proposal requires, but does not have, IACUC approval, it is OSP policy not to submit the proposal to the sponsor. In certain cases, this policy may be waived. Contact the Contracting Officer for details on waivers. Contact the Office of Research Compliance at 404 / 894-6949 for assistance with protocols.

**IBC:** Approval from the Institutional Biosafety Committee is required prior to undertaking any research involving rDNA. Specific guidance is available on the IBC website at <http://www.compliance.gatech.edu/>. If a proposal requires, but does not have, IBC approval, it is OSP policy not to submit the proposal to the sponsor. In certain cases, this policy may be waived. Contact the Contracting Officer for details. Contact the Office of Research Compliance at 404 / 894-6949 for assistance with protocols.

**Biohazards:** For guidance, contact Environmental Health and Safety. Costs for disposal of hazardous wastes should be included in the budget.

**Material Transfer Agreement:** Whenever Georgia Tech employees intend to exchange chemical, biohazardous, or biological materials (including select agents) with another organization, the arrangements, terms, and conditions must be formally covered under a Material Transfer Agreement (MTA). An MTA identifies the materials being exchanged and documents the terms of the exchange, including intellectual property rights, liability issues, publication, confidentiality, royalties and other financial terms. MTAs are agreements between institutions, not individuals.

**Subawards:** If a scope of work is proposed at another institution as part of the overall proposal. The PI must get the institutional approved budget from their collaborator prior to submitting their proposal. This would include a letter of support from the other institution, a budget, the scope of work for the collaborator as well as their CV. There may be additional items required for submission depending on the agency.

**Export Control (ITAR/EAR):** Detailed information is available on the GIT export website at: <http://www.export.gatech.edu>. There are two Acts with corresponding regulations involved in export compliance. The first step is to determine which would apply to a particular export. The Export Administration Act (EAA) and the Export Administration Regulations (EAR) govern the export of all "dual-use" products and technologies and civilian products and technologies. The EAA and EAR are administered by the Department of Commerce. The Arms Export Control Act of 1976 (AECA) and the International Traffic in Arms Regulations (ITAR) govern the export of defense articles, related technical data and defense services. AECA and ITAR are administered by the State Department's Office of Defense Trade Controls (DTC). All exports require a license. It is important to understand that a conversation can be an export, just as providing equipment or technical data to a foreign national is an export. For example, giving controlled information to a foreign visitor may be an export. For this reason, proposals to be submitted to foreign sponsors should first be reviewed by the Office of Legal Affairs to ensure that the information contained therein is not controlled.

**Intellectual Property:** If background IP is used as part of the proposed research, it needs to be identified, and referenced as noted in the agreement.

**Teaming Agreement:** An agreement between two or more parties to participate in a research project or teaching activity. This may be an exclusive relationship for an RFP and it is commonly used in the DOD arena.

**Non-Disclosure Agreement (NDA):** Non-Disclosure Agreements (NDAs), Proprietary Information Agreements (PIAs) and Confidentiality Agreements (CAs) are interchangeable terms. All refer to an agreement used to protect and govern the exchange of confidential information. We ordinarily use the term "NDA". Only an authorized GA Tech or GTRC/GTARC signatory can sign NDAs (and other agreements) on behalf of GA Tech. You could be held personally liable if any breaches or omissions occur under the NDA. **Never sign any agreements involving work you are to perform within the scope of your employment; instead, please forward them to Legal Affairs for review. Go to Legal Affairs for more info:** <http://www.legalaffairs.gatech.edu/topics.html#anchor364228>