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Instructions

**Sponsored Programs Internal Routing and Review Form
(IRR form)**

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These instructions are intended to clarify information requested on the Sponsored Programs Routing and Review Form. These instructions are modified from time to time in response to your comments and suggestions, so please provide us with feedback at ospoff@syr.edu.

When is the IRR form due to OSP?
On or before the submission deadline, ideally with the complete application.

When is the complete application due to OSP?
Three (3) business days prior to the application deadline.

Who needs to sign the IRR form?
- **The principal investigator** and <u>all</u> **Key/Senior Personnel** (e.g. co-PIs, co-Investigators and other faculty and staff explicitly named in the application or budget as participants in the project).
- The PI's and <u>all</u> key/senior personnel's **Chair(s)** and **Dean(s)** (except Arts & Sciences) or designee(s).
- The **Dean of Arts & Sciences** and **Vice Chancellor** sign when their authorization is required by items listed in #4.
- The authorized representative of any University office, institute or center **offering cost-sharing** to the project
- NOTE: Specific units may have additional requirements under specific circumstances (i.e. budget managers, etc).

Why do PI's and senior/key personnel have to sign the IRR form? Among other considerations, the form documents:
   i) The PI and project team's compliance with university and sponsor's policies and federal regulations;
   ii) The department(s) and school/college's awareness of and support for the activity; and
   iii) The authorizing department/unit's agreement to provide the all resources necessary for the proposed project's completion.

Do I need to submit an IRR form when I'm going to be a subcontractor? Yes.

Many institutions require complete application materials be submitted to the sponsored programs office as early as three weeks before the sponsor's deadline. Consequently, SU materials to that entity must be provided **at least three business days** prior to the lead entity's deadline.

FORM INFORMATION

Proposal Type
Check the appropriate box based on the type of submission:
<u>New</u>: New proposal, submitted for the first time to this sponsor.
<u>Resubmission</u>: Revision of proposal previously submitted to sponsor or changes in budget or scope of work as required by sponsor
<u>Renewal</u>: Competing renewal or competing continuation of a previously awarded project.
<u>Continuation</u>: Non-competing renewal of awarded project; required for sponsors that require annual submission of authorized budgets for each segment of a <u>multi-year award</u> (e.g., New York State)
<u>Revision (Supplement)</u>: Request for additional funds to an existing award, with or without a change in the project period.
<u>Preproposal</u>: Also called concept papers or white papers, shortened applications required by sponsor.
<u>Other</u>: Letter of inquiry or any other type of application that does not fit into above categories that requires institutional authorization.

1. SPONSOR AND PROJECT INFORMATION
If you have not already communicated with OSP and provided us with the submission and sponsor information requested, please do so on the IRR Form. Otherwise, *much of this information can be left blank*.

Deadline: Note sponsor's deadline (date and time) for submission. Indicate if the deadline is the receipt date or postmarked date, and whether submission is paper or electronic. Use ASAP if there is no published deadline and you seek immediate submission.

Sponsor: Indicate the organization to which you are applying. This may be a federal or state agency, industrial sponsor, professional organization or non-profit research sponsor. It may also be a university, company or other entity if you are a subrecipient on a grant application submitted by this entity to the originating funder.

Program: If available provide the sponsor's program announcement to which you are applying (program name and number).

Project Title: Provide a concise, informative project title (less than 100 characters and spaces recommended). Please be consistent (i.e., use the same title) for protocols submitted to the Institutional Review Board, the Institutional Care and Use Committee or the Microbiological Safety Committee, as applicable.

Originating Sponsor: Indicate original sponsor providing funds, if the award to SU will flow from another university, organization or industry. This may be federal, state, local government agency or other funder.

CFR (Corporate & Foundation Relations) Contact: All proposals to foundations or corporations should be vetted by these offices prior to submission. They will advise PI's whether their office or Office of Sponsored Programs will submit the application. This notification is documented on the OSP checklist; check the name of the executive director contacted, or insert the name of the staff member in the space provided.

2. PRINCIPAL INVESTIGATOR, PROJECT DIRECTOR (PI/PD) & DEPARTMENTAL CONTACT INFORMATION

PI/PD Eligibility. Academic or research assistant, associate or full professors, or staff at the level of director or above are eligible to be PI/PD. Postdoctoral fellows, instructors, adjuncts and emeritus faculty or others require the written support of their Dean and authorization by the Associate or Vice President for Research.

What about fellowship applications of graduate research applications? NOTE: Applications for graduate student research support or postdoctoral fellowships, when the student or postdoc is the "PI" on the application to the sponsor, should have the faculty advisor/mentor as PI of record on the routing and review form.

Contact information: Please provide requested contact information, including the appropriate departmental/center administrative contact.
• *For faculty with joint appointments,* please provide both departmental affiliations.

3. BUDGET INFORMATION AND INSTITUTIONAL CONTRIBUTIONS

Financial Information on the OSP Checklist should match the proposal's budget, justification, and narrative. This information is summarized on the Checklist to facilitate the internal review and approval process.

Project Type: Indicate if your project is research, training or other. If your project has multiple functions, please select the one that represents the majority of the activities or effort. The sub-categories of research are defined immediately below.

Research: Basic: means any original investigation for the advancement of scientific knowledge **not having a specific commercial objective.** For example, product testing supporting a business is not basic research.

Research: Applied: applies the findings of basic research or other existing knowledge toward discovering new scientific knowledge that has specific commercial objectives with respect to new products, services, processes, or methods.

Research: Development: is the systematic use of the knowledge or understanding gained from research or practical experience directed toward the production or significant improvement of useful products, services, processes, or methods, including the design and development of prototypes, materials, devices, and systems.

Research: Testing: applies to projects where the Statement of Work proposes to test products, process data or run other tests for a Sponsor using SU facilities and/or instrumentation. Testing projects are typically short in duration and for a limited number of samples. Testing projects do not include intellectual input or additional data analysis from SU investigators.

Instruction/Training: Instruction and training of undergraduate or graduate students or professionals, as identified in application guidelines. Includes fellowships and training grants.

Other Sponsored Activity: Other activities not included in research or training. Includes health service projects, demonstration projects, or community service programs.
Please contact your research administrator if you are unsure.

F&A RATE USED Select the rate used.

Category	Corresponding Federally Negotiated Rate
Research, on-campus	50.0%; FY 16 – Beyond until renegotiated
Training/Instruction, on-campus	34.0%
Other Sponsored Activities, on-campus	35.0%
Off-campus Research, Training, or Other Sponsored Activities	26.0%

Off-campus definitions
When more than 50% of a project is performed off-campus, as indicated by the majority of the SU expenditures and the majority of time being spent off-campus each budget year.

In such cases the off-campus rate will apply to the entire project as grants or contracts may not be subject to more **than one F&A cost rate.**

Or

When all activities are performed in facilities not owned by SU and to which rent is directly charged to the project.
- Use of the off-campus rate must be approved by OSP

EXPLANATIONS FOR "OTHER" RATES
Check all applicable reasons why a rate other than the relevant federally negotiated rate is used.

Who approves deviations from federally negotiated or sponsor's published rates?
For non-federal sponsors: the Dean(s) of the participating units
For federal applications: In addition to the Dean(s), the Associate or Vice President for Research.

OSP should be informed of this waiver by the Dean or his/her designee by email at least one week before the application deadline to allow sufficient time for budget review.

For additional information, refer to the OSP guidelines regarding F&A rates.

PERIOD OF PERFORMANCE: Enter the start and end date for the *entire project period covered* in the application. If the start date is not specified by the sponsor, use a start date at least six months from the submission date.

SUPPORT REQUESTED FROM SPONSOR: Provide the Direct and F&A requested for **Year One** and **All Years;** upon entering data in Direct and F&A, 'Total' field will automatically calculate.

Cost sharing
Check all that apply.
　　　None offered.

　　　Application Requirement.
- Also called Mandatory Cost sharing. These are funds *required* by the sponsor as a condition of applying for and obtaining the award. Send a copy of sponsor's guidelines describing the required cost sharing to OSP.
- **Only** provide the amount or percentage *required by the sponsor.*
- If you are providing cost sharing over and above that specified by the sponsor, see the next item.

　　　Voluntarily Offered.
- These are funds committed to a project that are *not required* by the sponsor.
- May result from PI effort required on project for which no compensation of provided by sponsor.
  - For example, 50% calendar year effort is proposed and only two summer months support is requested. If you are including voluntary committed cost sharing in the proposal, check the box and enter the dollar amount provided by the source.

9/16/2015

Cost sharing Offered: Enter the total amount of cost-sharing for required or voluntary cost-sharing.
- The authorizing signature of the source of cost sharing (Chair, Dean, other) is required on the routing and review form.

PI Effort Voluntarily Offered:
Enter information requested; may result from sponsor not charged for effort on research project.

Other Key personnel offered:
Enter information requested. If there is more than one individual, please so note.

NOTE: Cost sharing offered in an application becomes an obligation that must be fulfilled in the event of an award. Cost-sharing **must be tracked** in the University's accounting systems. The PI with the assistance of the budget manager is responsible for ensuring cost sharing obligations are met.

Indicators of institutional commitment and support can be conveyed strongly in ways that do not create future financial obligations. Please contact your research administrator or the Director of Sponsored Programs for suggestions.

Graduate Student Involvement
Check all that apply. Will any graduate student(s) be involved in research, teaching or administrative activities.

Grad student tuition needs.
Select if none needed.
        Or
Enter the total number of remitted tuition credits offered by the participating unit
Enter the total number of scholarship credits offered by the participating unit (only for NRSA or other training awards)

- *Remitted tuition support* and *scholarship tuition support* are provided by the applicant unit's Dean and so is contingent upon his or her approval.

4. OTHER OVERSIGHT ISSUES INCLUDING NEED FOR ADDITIONAL RESOURCES.

This section raises other topics that impact sponsored program administration, including costs not covered by the proposal.

4.a. *Inter-school/college collaborations.* If the project involves faculty members from different schools/colleges or faculty members who have joint appointments, all associated deans (except A&S) or their designees must indicate approval for planned budget allocation strategies via their signatures.

- F&A return to units follows direct expenditures and so these allocation plans should be thoughtfully developed.
- In the interest of clarity, either the percent distribution should be indicated in the space provided or separate budgets (OSP campus community should be prepared for internal review and approval and must be completed before work can begin.)

4.b. *Project involves SU Center or Institute.* If recognition is required or requested by SU Center or Institute, please provide name. SU Centers and Institutes include but are not limited to CASE, Center of Excellence in Environmental and Energy Systems; Institute for National Security and Counterterrorism; Institute for the Study of the Judiciary, Politics, and the Media; Center for Health and Behavior; Center for Natural Language Processing, etc.

4.c. *Project includes collaborators from other Institutions. If the proposal involves subcontracting (SU is a subrecipient to another lead organization, or SU is lead on an application having subawardees) the following items must be provided from the sub to the lead:*
- Statement of work (this reflects only those activities that the subrecipient will perform; a limited number of bulleted items, activities or objectives is preferred.) This is used for internal purposes and will facilitate preparation and negotiation of subawards.
- Authorized budget that sums to the amount requested in parent proposal.
- Budget narrative corresponding to authorized budget.

- Documentation from authorized representative from subrecipient of willingness to collaborate, or other documentation required by sponsor's guidelines.

NOTE: The logistics of including subcontractors in a proposal vary with the sponsor and/or application guidelines. In most cases, the subrecipient/subcontracting budget and budget narrative are to be included in the parent grant. Willingness to collaborate may be included in supplemental documents or in an appendix, if appropriate.

4.d. *Course relief* for key personnel is proposed. Please Note: Each school and college may have its own formula for calculating course relief, so authorization by the chair(s)/ dean(s) is required.

4.e. *Extra service or overload.* Refers to instances where a faculty member performs additional work (extra service) or instruction (overload) over and above the regular departmental load. OMB Circular A-21 allows charges for such work representing extra compensation above the institutional base salary provided that such arrangements are specifically provided for in the sponsor's agreement or approved in writing by the sponsoring agency. **Extra service or Overload must be authorized by the faculty member's chair/unit head and dean.** If the individuals are not known at the time of submission, approval by the chair(s) and dean(s) must be obtained at the time of award.

4.f. *Released time* for administrative or research leave. The Dean's signature indicates that released time will be granted as described in the proposal.

4.g. *Equipment required but not funded by project.* If yes, then provide a description of what resources will be utilized to procure the equipment or instrumentation, and what future support will be available for equipment maintenance, as applicable. Chair(s) and Dean(s) authorization on the IRR will convey approvals.

4.h.–k. *Additional resources.* Self-explanatory; applicants are encouraged to discuss the ramifications of their project on institutional resources early in the proposal development process and secure approval for all additional expenses and any long-term needs that may extend beyond the life of the award.

4.l. *Equipment purchased using project funds.* Federal regulations require that purchase of equipment be well justified. At a minimum, justification should include why the equipment is necessary for the project, and if other similar items are available in close proximity to the user, why the purchase is needed.

4.m. *Program income* means gross income earned by the PI or project team that is directly generated by or earned as a result of the award. For example, income from service center, equipment usage fees, internal fee-for- service/recharge centers or conference registration fees.

The university must specifically account for program income. Federal regulations require that for research activities, unless otherwise specified in the award's terms and conditions, program income be added to funds committed to the project by the Federal awarding agency and recipient and used to further eligible project or program objectives.

For all other activities, if the sponsor's terms and conditions do not specify the disposition of funds, then the gross income will be deducted from the total project or program allowable cost in determining the net allowable costs on which the Federal share of costs is based.

5. COMPLIANCE CERTIFICATIONS

Compliance certifications are required in four core categories: objectivity in research; protections of research participants; oversight of personnel and environmental health and safety; and foreign travel for export controls. The PI/PD and all Key/Senior personnel are to certify their compliance with university policies and sponsor regulations as indicated by their signatures on this form. The PI is also certifying/assuring that all other personnel are or will be in compliance.

Objectivity in Research

As determined by the PI, all personnel who are substantively engaged in the design, development, conduct, or interpretation of project results, including preparation of manuscripts (i.e. *investigators)* are subject to the disclosure of financial interest's regulations. In some instances this may include graduate students. The PI is responsible for ensuring that such disclosures are completed and submitted to the VP for Research.

5.a. *Disclosure statement.* OSP is unable to submit proposals or accept awards for PIs and all individuals whom the PI deems to be substantively involved in the design, conduct, or reporting for the project who are lacking a current annual conflict of interest disclosure statement. Personnel who have joined SU since the latest annual process must complete the disclosure form before submitting any sponsored proposal. The annual disclosure cycle currently runs from October to September, however, in the future this disclosure cycle will be realigned to match the same reporting cycle as the "Myslice Conflict of Interest" reporting process. See: *revised Policy on Financial Conflict of Interest,* for additional information.

5.b. F*inancial Interests.* Special conditions apply for submissions to the Public Health Service (NIH, CDC, ACF, FDA, HRSA) and NSF, and you must agree to abide by the applicable federal financial disclosure regulations.

Protections of Research Participants

5.c. *Human Subjects.* If you have already obtained approval from the Institutional Review Board (IRB), provide a copy of the approval letter.
- No human subjects' research can be started without IRB approval or documented authorization as exempt from the regulations.
- While approval is NOT required prior to submission of most applications, it is required before OSP can accept an award. Therefore, please initiate the IRB review process in time to accommodate the sponsor's award time frame.
- Whenever possible, use the same project title on your IRB application as on your grant application.
- NOTE: Approval must be continuous throughout the term of an award; if IRB approval lapses, the University must freeze funds (i.e., stop expenditures) until approval is reinstated; federal funds cannot be used during the period of time between the lapse date and reinstatement of approval. This requirement also applies to subrecipient accounts.

5.d. *Animal Use* If you have already obtained approval from the IACUC, provide a copy of the approval letter.
- Approval is NOT required prior to submission of a proposal. However, it **is required** before OSP can accept an award. Therefore, please initiate the IACUC review process in time to accommodate the sponsor's award time frame.
- Approval is required for research using living vertebrates as well as vertebrate animal products.
- Please use the same project title on your IACUC application as on your OSP checklist.
- Approval must be continuous throughout the term of an award; if IACUC approval lapses, the University must freeze sponsor accounts until approval is reinstated; federal funds cannot be used during the period of time between the lapse date and reinstatement of approval. This requirement also applies to subrecipient accounts.

Personnel and Environmental Safety

5.e., 5.f. *Recombinant DNA and Biological Agents* The SU Microbiological Safety Program provides safety guidelines, policies, and procedures for the storage and use of microbiological materials. The Microbiological Safety Committee (MSC) has institutional oversight of research involving rDNA and human pathogens. OSP will contact the Biosafety Officer to confirm the MSC is aware of your activities and that the procedures and approvals are in place, as appropriate. Contact the Biosafety Officer at x2447 or http://eho.syr.edu/EHO/display.cfm?content_ID=%23%28%289%2C%0A for additional information.

NIH guidelines are available at: http://oba.od.nih.gov/rdna/nih_guidelines_oba.html.
- o Class E and F project: IBC notification required simultaneously with initiation of rDNA work.
- o Class D projects: IDBC approval required prior to initiation of rDNA work.
- o Class C and above. Not allowed at SU campus.

5.g. *Radiation* Indicate the planned or potential use of radioactive materials or radiation-producing equipment. Examples of each are included on the OSP checklist. OSP will contact the Environmental Health Office (EHO) to confirm they are aware of your activities and that appropriate procedures, approvals and licenses are in place, as appropriate. Contact EHO at x4132 or http://eho.syr.edu/ for additional information and guidance.

5.h. *Hazardous Materials* OSP will contact the EHO to confirm they are aware of your activities and that appropriate procedures, approvals are in place, as appropriate. Contact EHO at x4132 for additional information and guidance.

Foreign Activities/Export Controls

5.i. *Foreign activities.* Information pertaining to foreign activities is reviewed for two reasons: 1) personnel and materiel protections (e.g., travel insurance and safety) and 2) export controls. Sponsored programs may

advise applicants of additional costs associated with international travel or research.

Individuals planning on international travel are reminded to sign up for International SOS, which provides 24-Hour worldwide assistance and emergency service for University international travelers on SU business http://www.internationalsos.com. For online access to SOS services, contact Risk Management at x 5334 for the University's group membership access code.

Export controls laws affect information not covered by the fundamental research exception, and equipment, technology and services provided to non-US countries (both here and abroad) that appear on federal control lists.

Please list in the space provided all research instrumentation, equipment or materials you plan on bringing abroad (exporting from the US). Depending upon the country and the equipment/technology, OSP may have to secure a license prior to the export/travel. OSP will contact PI/PD for additional information.

ASSURANCES, CERTIFICATIONS AND APPROVALs

PI and Senior/Key Personnel (co-PIs, co-Investigators, etc)

The individual certifies that the application is complete, true (excluding scientific hypotheses and scientific opinion) and accurate to the best of his/her knowledge and does not infringe on the property rights of others.

If the application is awarded, the PI agrees to accept responsibility for the conduct of the project and to comply with award terms and conditions including timely submission of all progress reports and responsible management of funds according to both the award's terms & conditions and University policies and practices.

Each signatory also acknowledges that any false, fictitious or fraudulent statement or claims may subject him/her to criminal, civil or administrative penalties.

The PI, and as applicable other signatories, is/are responsible for informing OSP of any material changes to compliance certifications that may occur while the application is pending or if awarded, during the duration of support.

Intellectual property: The PI, all Key/Senior Personnel and all other University personnel on the project agree (or will agree if yet to be hired) to assign, and hereby do assign to the University all intellectual property rights developed in the course of the project.

Neither the PI nor any Key/Senior Personnel or others working on this project (including subrecipients or consultants), are to the best of their knowledge, debarred, suspended or proposed for debarment by any Federal department or agency.

Chairs, Directors, Deans, others
Select role from drop down box

Signatures of department chairs, center directors, and deans authorize their commitments of support, resources or cost-sharing reported on the first page of the OSP Checklist, and will be provided in the event of an award.

In cases where the PI and co-PIs are in different administrative units, all respective department chairs/directors and deans (with the exception of Arts & Sciences) must sign the OSP checklist.

When the PI has joint appointments in multiple schools/colleges, all represented deans (except Arts & Sciences) must sign the checklist.

The "Other" signature is available to accommodate procedures applicable to a specific department, school or college. For example, this might include business administrators.