INSTRUCTIONS for
APPROVAL OF APPLICATION FOR GRANT OR CONTRACT (Routing Form)
(http://www.ucdenver.edu/academics/research/AboutUs/GrantsContractsOffice/Documents/fp4-05a.doc)

For policy information on routing, see Fiscal Policy 4-5, Application and Proposal Approval Process for Sponsored Projects.

The routing form should be attached to a grant application or contract proposal and completed (filled out, signed and delivered to OGC) whenever a project is being proposed. The routing form should also be completed and attached to modifications or extensions to existing projects when additional funding from the sponsor is expected. Changes in the date of a project (no-cost extension) where no additional funding is being provided by the sponsor must also be sent to OGC for Institutional Endorsement, but do not require completion of a routing form.

Completing the Routing Form
Complete all information at the top of the routing form:

- Contact name and information – Enter information of the person OGC should contact about issues related to the application.
- Funding agency – Enter the name of the entity the application or proposal will be submitted to, e.g., a university, NIH.
- Deadline - Enter the deadline date given by the Sponsor.
- Primary funding source – Enter the name of the entity that is the original provider of the funding, if other than the funding agency listed above.
- Needed by – Enter the date by which the contact person needs the application returned to them.
- Principal Investigator – Enter the name of the person who will be responsible for the project.
- Rank (Principal Investigator).
- Phone No. (Principal Investigator).
- School (Principal Investigator).
- Dept/Div (Principal Investigator).
- Org. No. (Principal Investigator).
- Fiscal Manager Name/Pos Number – Enter the UCD employee name and position number who is managing the fiscal aspects of the project. This person must be a UCD employee.
- Fiscal Staff/Pos Number – Enter the additional staff name and position number that will be assisting with the fiscal management of the project. The person does not have to be a CU employee. Up to two fiscal staff may be entered.

1. Project Title - Enter the title that will be used to refer to the proposed project.

2a. Proposed Period - The initial time-period of the grant application or contract proposal, starting when the award is expected to begin. For example, with a multi-year grant application where it is expected that the budget will be awarded annually, enter the applicable budget year (e.g., year one funding is from July 1, 2011 to June 30, 2012).

2b. Total Project Period - The entire time period anticipated for the proposed grant application or contract proposal, starting when the award is expected to begin and ending in the last annual budget period (e.g. the entire project is from July 1, 2011 to June 30, 2016).

3. Type of grant application or contract proposal - Check the box that best describes the type of grant application or contract proposal that is attached to the routing form. If it is a continuation, supplement or revision of an existing UCD grant application or contract proposal, also enter the current UCD project number and sponsoring agency award number.

4. Type of work being proposed - Check the box that best indicates the type of work being proposed. "Service Program" includes public service and other activities such as programs that a federal agency has defined in the written announcement as requiring the "other [facilities and administrative] rate" because the program is not-research and not-instruction.
5. Facilities – Is adequate space available to perform the proposed project?
If marked “No”, a Space Request form must be submitted to Real Estate Management (Mail Stop F418) for additional or new space. Indicate the source of funds for any renovations in the “Comments” section.

If marked “Yes”, identify the primary location as “on” or “off” campus (see Fiscal Policy 4-4).

A project is considered off-campus when UCD employees will conduct more than 50% effort on the project (excluding project activities that will be done by subcontractors) at an off-campus location. Off-campus locations are defined as locations other than UCD-owned or operated facilities (the costs of physical plant and library are not applicable to the project as Facilities and Administrative costs). For examples of “on” or “off” campus locations see the OGC website. If the UCD is paying the rental of space as a direct charge to the sponsored project, it may be an indicator that the project is considered off-campus.

A project is considered on-campus if UCD employees will conduct 50% or more effort on the project (excluding project activities that will be done by subcontractors) at an on-campus location. If UCD is leasing the space used for the project through Central Services and Administration (CS&A) funds, the project is being conducted at an on-campus location.

If you are not sure whether this project should be considered “on” or “off” campus, see the OGC website, or contact Grants and Contracts at 303-724-0090. The answer given here can be used along with the sponsor’s instructions to determine what percent Facilities and Administrative costs (F&A) will apply to #12 Summary of Proposed Budget.

6. Proposed use of animals - If animals are going to be used, answer, “Yes”. Contact the Animal Care and Use Committee (IACUC) office (303-724-1056) for the necessary forms and procedures that need to be completed. Enter the date of committee approval and protocol number where indicated on the routing form.

DHHS Applications:
- New and competing grant applications - DHHS allows for receipt of IACUC approval verification up to 60 days after submission of new and competing grant applications.
- Non-competing continuation applications - protocols must be re-approved within 12 months.

Non-federal grant applications and contract proposals - approval must be obtained before submission.

7. Proposed use of human subjects - If human subjects are going to be involved in the project, answer, “Yes”. Contact the human subject review committee Colorado Multiple Institution Review Board (COMIRB Office, 303-724-1055) for the necessary forms and procedures that need to be completed. Enter the date of committee approval where indicated on the routing form. Committee approval must be obtained before any work being done involving human subjects.

DHHS Applications:
- New and competing grant applications - DHHS allows for receipt of COMIRB approval verification up to 60 days after submission of new and competing grant applications.
- Non-competing continuation applications - protocols must be re-approved within 12 months.

Non-federal grant applications and contract proposals - approval must be obtained before submission.

8a. Radiation Safety - If radioactive materials are going to be used, answer, “Yes”. Contact the Committee on Ionizing Radiation (CIR) through the Radiation Safety Office (303-724-0345) for the necessary forms and procedures that need to be completed in order to receive approval for the use of the radioactive materials.

8b. Biosafety - If biohazards (infectious agents, infectious genetic material, human gene therapy, recombinant DNA, recombinant RNA, Select Agents, etc.) will be used on the project, answer, “Yes”. A Biohazard Form must be completed and submitted to the Biosafety Officer in the Health and Safety Division, (303-724-0235, Box F484). These forms are subject to institutional review and approval by the campus Environmental Health and Safety Committee, the Infectious Agents Committee and/or the Institutional Biosafety Committee.
DHHS Applications:
- New and competing grant applications - DHHS allows for receipt of approval verification up to 60 days after submission of new and competing grant applications.

Non-federal grant applications and contract proposals - approval must be obtained before submission.

9. Cost Share - Indicate if the grant application or contract proposal reflects any cost sharing or matching funds either obligatory or mandatory, (i.e., costs that will be incurred on the project and not reimbursed by the sponsor). Cost sharing includes, but is not limited to, time and effort by UCD personnel on the project that is in excess of the amount of salary that would be paid from the award. See Fiscal Policy 4-8.

10. Disclosure of Financial Interest – All faculty are required to disclose financial interests on an annual basis through the Office of Regulatory Compliance. PIs are required to read and acknowledge agreement with the section by checking the box, “Agreed”.

11. Budgetary Items – If the answer to question number 7 is “Yes” (the work will include human subjects), answer the two questions (attach additional information to the routing form as required). The questions address the costs that are incurred because of patient care activities. All research related patient care costs that will be accrued at an outside institution such as a hospital (i.e. University of Colorado Hospital, The Children’s Hospital, etc.) or non-UCD clinic, including any applicable non-UCD facility charges as direct costs, are to be included in the proposed budget under patient care. In other words, projects that include plans to utilize institutional facilities that are external to UCD for patient care must include the costs for such activities in the proposed budget. It is recommended that the external institution be contacted directly to ascertain the anticipated costs for carrying out proposed patient care activities.

12. Clinical Trial – Complete this section if the proposal being routed is a clinical trial. All questions must be answered.

13. Summary of Proposed Budget – Using the categories provided, complete this section by including the amount(s) that are being proposed in the grant application or contract proposal. All proposed budgets must include all applicable direct costs and facilities and administrative (indirect) costs (see Fiscal Policy 4-4). The answer given to #5 Facilities can be used along with the sponsor’s instructions to determine what percent F&A to apply to the budget.

Note: The term subrecipient has the same meaning as the term subcontract used in Fiscal Policy 4-4 and in the Facilities and Administrative Negotiated Cost Rate Agreement.

Principal Investigator Certification - The faculty member designated as the PI for the proposed project is responsible for the technical content and quality of the proposed project, assures that the project and other professional activities are compatible, assures that no individuals on the project will have commitments in excess of 100 percent effort, and accepts responsibility for the proper technical and financial conduct of the project as indicated in the certification statement on the routing form. The PI should read and understand the certification (a-f) before signing the routing form.

Questions about the certification should be directed to Grants and Contracts, 303-724-0090.

Approvals – It is the responsibility of the Principal Investigator or designee to obtain approval signatures from the Department Chair or Director and the Dean or Designated Administrator for the proposed project, before being sent to OGC.

Department Chair indicates that the proposed project is appropriate to the department’s mission, that staff and budget commitments are in accordance with the departmental programs and space availability and the Chair accepts responsibility for technical and financial conduct of the project.

Indicates that the prospective principal investigator is a full-time faculty or academic staff member who possesses the stature, judgment, and technical competence necessary for the direction of the proposed project.

Indicates that the principal investigator has not been given notice of termination of faculty appointment, has not tendered a resignation of faculty appointment, and that there are no circumstances known to the Chair that would jeopardize the performance of grant obligation by the principal investigator. (This signature may be a designee or other individual in an acting capacity. When the Chair or designee is unavailable, the requirement for this signature may be waived by the dean.)

Dean or Administrator indicates approval of the academic content of the application, that space and personnel are available with which to pursue the project, and that the project is appropriate to and coordinated with the school or units, programs, and...
policies. It also verifies regulatory compliance, e.g., human subjects and/or animal care protocols are approved, biosafety issues are resolved; and it accepts responsibility for financial and technical conduct of the project. (This signature may be a designee or other individual in an acting capacity.)

Other (signatures obtained only when applicable)

a. Resident Counsel (legal review) indicates legality of the terms of the award document (grant, contract, or other) and/or legality of proposed activities or commitments expressed or implied in the proposal.

b. Vice Chancellor indicates that Central Administration resources are available and that the project is consistent with UCD programs, plans, and policies.

c. Chancellor indicates approval of any deviations from normal policies and procedures. Also attests by signature that the UCD is willing to undertake the project on the basis of the proposed budget and the conditions detailed in the proposal or contract and on the routing slip.

Institutional Endorsement - Grants and Contracts is the office that routinely provides institutional endorsement for proposed sponsored projects at UCD. Grants and Contracts approval indicates that University and sponsor policies have been met and that the application is complete. All approvals are obtained, the budget is in order and that unusual requirements or commitments are brought to the attention of the UCD administration, and assures proper coordination with and notification to the Board of Regents.

- Grants and Contracts requests five (5) working days to process and review paper grant application, and twelve (12) business days to process and review electronic grant applications. If it is a contract proposal, approval may take longer due to the negotiation process.

G&C Forms

Routing Form and Attachments: click here.

- Approval of Application for Grant or Contract (Routing Form)
- Veterans Affairs Medical Center Memorandum of Understanding for Effort on Grants and Contracts for Individuals with Joint University and Department of Veterans Affairs Appointments

Additional Clinical Trial Attachment

- Clinical Trials Required Form Effort Commitment and Certification

Special Approval Forms

- Facilities and Administrative Cost Variance Request (Indirect Cost Variance)
- Request for Intellectual Property Variance
- Request for Publications Variance