

Routing of Sponsored Programs Documents at Indiana University

SPA-11-018



About This Policy

Effective Date:

07-01-2012

Last Updated:

07-01-2012

Responsible University Office:

Office of Research Administration

Responsible University Administrator:

Associate Vice President for Research

Policy Contact:

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Related Information

* [Signatory Authority and Legal Name for Sponsored Programs at Indiana University](#)

Related Forms

* [Grant and Contract Services: Proposal Preparation & Submission](#)

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Scope

This policy applies to all Indiana University faculty, staff and students involved in the development or submission of documents related to externally funded sponsored programs.

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Policy Statement

It is the policy of Indiana University that all formal proposals and documents related to externally funded sponsored programs be properly routed through the department, school and the appropriate campus office of the Office of Research Administration (ORA) before any commitments are made.

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Reason For Policy

This policy is to provide direction to prevent unauthorized commitments of institutional resources and for the proper routing of documents related to externally funded sponsored programs.

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Procedure

Proposals, pre-proposals and other documents to external agencies requesting funds and/or committing University resources (e.g. personnel, space, funds, equipment, etc.) must be reviewed, approved and signed by an authorized University official. The Kuali Coeus (KC) Proposal Development document is used to obtain this approval. This KC document summarizes significant administrative contents of a sponsored program request, indicates special needs, and assures concurrence by the project director's department, school or unit administration. The KC system can be accessed through OneStart.

The following campuses route their documents through ORA Grant Services in Bloomington:

IU Bloomington IU East IU Kokomo IU Northwest IU South Bend IU Southeast
The following campuses route their documents through ORA Grant Services in Indianapolis:

IUPUI Medical Education Centers IUPUI Columbus
A routing form is required for any of the following:

New proposal or pre-proposal
Renewal proposal – not previously committed such as competing renewal/continuation
Supplemental funds (including income over budget)
Budget revision to either an active project or pending proposal where any of the following conditions apply:
Increase in funding or cost share
Adding a subcontract or significantly increasing the amount of an existing subcontract (greater than 25% of the original subcontract amount or any increase over \$25,000, which ever is smaller)
Any request requiring prior approval from the funding agency, prior to the request taking effect.
Change of Project Director or Co-Project Director
Transfer grant (including Relinquishing Statements)
Termination of award
Amendment to decrease award
The above documents should be submitted to the external agency only after the associated KC Proposal Development document has been reviewed and approved by each unit responsible for committing University resources and approving obligations required by the project. Approvers include the submitting unit and all collaborating units, the dean or administrative unit head for each, and ORA Grant Services.

A routing form is NOT required for any of the following. However, administrative review by ORA Grant Services is required prior to submission to the agency.

Budget revisions with no increase in funds or cost share commitment whether or not an institutional signature is required
Time extensions
NIH Just-In-Time documents (e.g. Other support, human subjects documentation)
Non-competing continuation applications
NIH training grant appointment forms and termination notices
Change in submitting IU organization.
A memo requesting the change should be initiated by the project director and approved by the department Chairs and Deans of both the original unit and the new submitting unit.
For miscellaneous documents, contact ORA Grant Services.

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Definitions

Sponsored Program: Any activity that receives funding from outside the University. Sponsored programs may also be known as sponsored projects or sponsored agreements.

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Sanctions

Failure to adhere to this policy and procedures may result in delays or non-submission of sponsored program documents by the Office of Research Administration.

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Additional Contacts

Subject	Contact	Phone	Email
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Policy Implementation	James P. Becker	(812) 855-4884	jambecke@indiana.edu
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History

Replaces: III-20 "Policies Related to Contract and Grants Administration: Negotiating with Agencies and Routing Proposals" III-50 "Policies Related to Contract and Grants Administration: Changes Requiring Agency Approval" Important Notice 06-3 "Routing of Sponsored Projects Documents for the Indianapolis Campus, IUPUI Columbus, and the Regional Centers for Medical Education" Important Notice 06-4 "Routing of Sponsored Projects Documents forUniversity Administration, Bloomington, East, Kokomo, Northwest, South Bend and Southeast Campuses"