

# Routing of Sponsored Programs Documents at Indiana University

SPA-11-018



## About This Policy

Effective Date:

07-01-2012

Last Updated:

06-07-2017

Responsible University Office:

Office of the Vice President for Research

Responsible University Administrator:

Vice President for Research

Policy Contact:

Steve Martin

Associate Vice President for Research

stemarti@iu.edu

## Related Information

\* [IU Policy SPA-11-013 Signatory Authority and Legal Name for Sponsored Programs at Indiana University](#)

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

[Scope](#)[Policy Statement](#)[Reason For Policy](#)[Procedure](#)[Definitions](#)[Sanctions](#)[History](#)[Back to top ^](#)

## 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.

[Back to top ^](#)

## Policy Statement

It is the policy of Indiana University that all 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.

## 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.

## Procedure

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 the Office of Research Administration. The Quali Coeus (KC) Proposal Development document is used to obtain this approval. Quali Coeus can be accessed at [one.iu.edu](http://one.iu.edu) or from the ORA website. The KC Proposal Development document summarizes significant administrative and budgetary contents of a sponsored program request, indicates special needs, and assures concurrence by the project director's department, school or unit administration.

### **A routing form is required for any of the following:**

- New proposals (including projects transferring to IU) and resubmissions
- Pre-proposals requiring a detailed budget and/or a signature from an authorizing official
- Competing renewal/continuation proposals
- Supplemental funds request (including task orders, or increases in proposed funding prior to the award being received)
- Budget revisions involving an increase in cost share (only if submitting to the agency)
- Change of Project Director or Co-Project Director

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 Proposal & Award Services.

### **A KC Proposal Development document should not be used and is NOT required for any of the following. However, administrative review and approval by ORA 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
- No-cost extensions
- Just-In-Time documents (e.g. other support, human subjects documentation)
- Non-competing continuation applications
- NIH training grant appointment forms and termination notices
- Addition of a subcontract or significantly increasing the amount of an existing subcontract
- Budget revisions requiring agency approval to either an active project or pending proposal
- Any request requiring prior approval from the funding agency
- Grant Transfers from IU, and Relinquishing Statements
- Termination of award
- Amendment to decrease award
- Change in lead IU unit.
  - A memo requesting the change should be initiated by the project director, approved by the department Chairs and Deans of both the original unit and the new submitting unit, and provided to ORA.

For miscellaneous documents, contact ORA Proposal & Award Services.

[Back to top ^](#)

## Definitions

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

[Back to top ^](#)

## 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.

[Back to top ^](#)

## 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, IUPU Columbus, and the Regional Centers for Medical Education"
- Important Notice 06-4 "Routing of Sponsored Projects Documents for University Administration, Bloomington, East, Kokomo, Northwest, South Bend and Southeast Campuses"

Updates:

- Updates version of this policy dated 07-01-2012