

**HARVARD MEDICAL SCHOOL
SPONSORED PROGRAMS ADMINISTRATION
PROPOSAL ROUTING FORM INSTRUCTIONS**

Effective: 5 October 2004

DEFINITION

- The Sponsored Project Proposal Routing Form, formerly the Assurance of Compliance, should be completed for every request to an external sponsor for new funding or additional funding of an existing project.
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DETAILED PROCESS STEPS:

Principal Investigator – the primary researcher on the project for the department listed in the Org # box.

Faculty Mentor – if the proposal is for a fellowship or a mentored career award, the faculty sponsor of the PI.

Department Administrative Contact – person SPA should contact with questions regarding the proposal.

Phone – Department administrative contact's phone number.

Org # – the five-digit number assigned to each department by FOA. This corresponds to the second segment of the 33-digit account string.

Project Title – the title of the research project.

Sponsor – the granting entity from which HMS will directly receive the funding.

Prime Sponsor – the granting entity from which the sponsor receives funding, if HMS is a subcontractor or if the sponsor is a flow-through agency. For example, if HMS is being funded by Brigham and Women's Hospital, they are our sponsor, but if BWH is being funded by NIH, then NIH is the prime sponsor.

Anticipated Start Date – the date the PI plans to start work on the project.

Project End Date – the date the PI expects the project to end. This is often based on the number of years the sponsor will fund a project before the competing process begins again.

Number of budget periods – the number of budget periods that fall between the anticipated start date and the project end date. A budget period generally lasts one year, but can be more or less.

Grant number – a unique identifier often used by sponsors to identify a particular project. For new projects, there will not be a grant number in most cases.

Total costs requested – all costs requested in the proposal submitted, both direct and indirect costs, for all years anticipated for the project.

Submission type – the status of the proposal being submitted. There are five types:

- new – never submitted to this sponsor under this title and grant mechanism
- noncompeting continuation – progress report for the prior year in order to receive next year's anticipated funding
- competing renewal – continuation of overall funding for an existing project
- supplement – additional funding for a new piece of an existing project
- revision – resubmission of a prior proposal with changes, generally at a sponsor's request

Date due at sponsor – the date the sponsor states the proposal must either be mailed by or received by. If HMS is a subcontractor or part-of account, the date our sponsor states the proposal is due.

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Due date type – cut-off method sponsors use, generally specified in the instructions, to determine if a proposal is received on time. There are two types: postmarked-by date and received-by date.

Submission medium – method by which the sponsor requests the proposal: electronically or by mail (paper-based).

Office submitting – which office will submit the final proposal to the sponsor: SPA or the PI's department.

Number of required copies – how many copies the sponsor has requested. Please include the original as one.

Special submission instructions – if SPA is submitting the proposal, any special instructions that need to be highlighted.

Human subjects – indicate if human subjects will be used in this project. If the PI has not yet sent in a protocol application to the Office for Research Subject Protection or has but it has not yet been approved, the protocol number is "Pending". If an approved protocol exists, indicate the ORSP-assigned protocol number (for example, M11002-101). Latest approval date must be less than one year old. If the project has been deemed exempt by the IRB, please still indicate the protocol number, but "Exempt" should go in the latest approval date field. PIs cannot self-exempt the project; a protocol must always be submitted to the ORSP office in order to be approved as exempt. Noncompeting continuations cannot have pending approvals.

Animals – indicate if vertebrate animals will be used in this project. If the PI has not yet sent in a protocol application to the Office for Research Subject Protection or has but it has not yet been approved, the protocol number is "Pending". If an approved protocol exists, indicate the ORSP-assigned protocol number (for example, 762-R98). Latest approval date must be less than one year old. Noncompeting continuations cannot have pending approvals.

Select agents – indicate if any of the biological agents or toxins found on the Federal Select Agent List will be used in this project. The list can be found on the Centers for Disease Control website at www.cdc.gov.

Infectious agents – indicate if any infectious agents other than those on the Federal Select Agent List will be used in this project.

Recombinant DNA – indicate if rDNA methods will be used in this project.

Embryonic stem cells – indicate if human embryonic stem cells will be used in this project.

Cost sharing – indicate if there will be costs associated with this project that will be borne by the department's non-sponsored accounts. This does not include PI salary over the NIH cap or other sponsored cost-sharing. A cost sharing form will be required at award stage.

Matching funds - indicate if there will be costs associated with this project where the sponsor requires the school to produce funds to match what the sponsor supplies.

Additional staff/space needed – indicate if new personnel will need to be hired or if new space will be needed in addition to current space and staffing levels.

Administrative salaries included – if this proposal is to a Federal sponsor, indicate if administrative salaries are included in the budget of this project.

Other Harvard departments involved – if other Harvard departments are involved in this project and are included in the budget, please list which departments (for HMS) or which Harvard schools.

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Affiliated hospitals and institutions involved – if affiliated institutions are involved in this project and are included in the budget, but not as a subcontractor, please list the institution.

Subcontractors involved – please list all subcontractors involved in the project, including any affiliated institutions. Affiliated institutions must either be listed in the affiliated institutions section or in the subcontractor section, depending on how they are worked into the budget.

Some attachments are required for all submissions, and/or if certain conditions apply:

- Budgets for all periods – for multi-year requests, please include budgets for all periods; noncompeting continuations need only a budget for the specified year. NIH budgets under SNAP and the modular budget process require internal budgets for each period.
- Conflict of interest forms – all key personnel, except subcontractors, should complete a conflict of interest form for proposals to National Institutes of Health (NIH), National Science Foundation (NSF), American Heart Association (AHA), American Cancer Society (ACS) and any other sponsor that specifies in their instructions that the grantee institution must adhere to self-regulated conflict of interest policies. This includes proposals where HMS is a subcontractor to a sponsor whose prime sponsor is one of these entities. A completed Page 1 of the HMS Conflict of Interest Form should be attached to the proposal sent to SPA. If a potential conflict is identified, Page 2 of the Conflict of Interest Form should be forwarded, along with the face page of the application, to the Faculty Affairs Office.
- Copy of RFA/RFP or sponsor guidelines – a copy of the sponsor guidelines for submission should accompany the proposal sent to SPA.
- Signed paperwork from all other departments and institutions involved – subcontractors should provide signed paperwork necessary to submit proposal. This may include a signed face page or letter of intent, budget and statement of work. Other Harvard departments that are included in the project should provide a signed proposal routing form approved by the school in which the department resides, as well as budget and statement of work. Other paperwork from these collaborators may be needed as the sponsor requires.
- NIH approval for proposals requesting direct costs of \$500,000 or more in any year – it is the policy of NIH to accept proposals for \$500,000 or more in direct costs in any year only if the PI has secured written approval from NIH at least 6 months in advance of the submission. Proposals that have not had this approval have been administratively rejected by NIH prior to any review.

Signatures – all proposal routing forms must be signed by the PI, the faculty mentor if applicable, and the department head or their designated signatory.