Routing Forms - Department

University policy requires that all sponsored research grants and contracts, as well as any non-sponsored agreements (including, but not limited to, professional service, provider, and affiliation agreements) must be routed through the Office of Research Administration (ORA) and signed by a designated University official who has received approval from President Boren to sign grants and contracts. This desk reference provides instructions specific to the completion of these required forms.

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I. Location of Forms

1. Navigate to the ORA web site Forms page.  http://www.ou.edu/ouhsc/ora/home/forms.html  This page is organized by three headings: Grant-Related Forms, Industry-Related Forms, and Non-Sponsored Contract Forms. The same form may be found in only one or all of the heading areas, this simply means that this is a common form that may be used for different types of submissions. For instance, the Cover Page is a common form that is required for each and every routed submission to ORA. Consequently, you will see a Cover Page file in each of the three section headings on the Forms page of the ORA web site.

2. The ORA web site Forms page does not solely house Routing Forms. This is the home for many common forms that may be related to Research Administration (such as the ECAV form, Conflict of Interest Disclosure Form, and the Indirect Cost Rate Exception form).
II. General Routing Form Information

1. Many of the forms on the ORA web site Forms page are editable and savable. If you retrieve an edited and saved version of a form from your personal computer files for use as a template for a new form you will be submitting, you are encouraged to visit the ORA web site to ensure you have the most current version of the form. IF changes are made to any form, ORA will always update the Forms page of the ORA web site with the most current version.

2. To begin processing your proposal/agreement, ORA must have completed routing forms signed by all required parties. Consult your business manager or departmental Chair's office if you have questions regarding what signatures are required on routing forms. ORA will accept faxed or emailed versions of routing forms in lieu of original signatures!

3. Because of the detail necessary to complete ORA's PeopleSoft Proposal entries, ALL fields on the Cover Page and the Supplemental Forms must be completed before submitting the forms to ORA. Missing information will delay the processing of your proposal/agreement. Remember, the forms are to be completed with 'proposed' information. Provide the best information available at the time of routing. NOTE: If you see “ORA USE ONLY” in any area on any form, you should leave this blank.

4. To ensure that your GRANT proposal is reviewed and submitted without delays, please submit the appropriate routing forms and your GRANT proposal three (3) business days before the grant deadline.

5. The Cover Page and Supplemental Information forms allow for digital signatures for the PI, Department Chair, and Dean. Consult your business manager, Department Chair, and Dean's office if you have questions regarding your college/department's acceptance of electronic signatures.

III. Cover Page

1. The Cover Page is a two-page, common form that is required for each and every routed submission to ORA.

2. The Cover Page is an editable and savable form. For efficiency, you may find that you can complete this form only once for any given PI/Faculty member, save it to your personal computer, and easily retrieve it for future submissions for that PI/Faculty member. Most of the information on this form will not vary from submission to submission. However, you will need to review/complete the Department ORG or ORG/Dept (see below in 3iii) information, the appropriate Document Type, Proposal Type, as well as ensuring the PI/Faculty member completes the PI Certifications, Assurances and Disclosures (on Page 2) before he/she signs the form. Remember: you are encouraged to visit the ORA web site to ensure you have the most current version of the form.

3. Take note of the following things:
   i. the campus address should include a building name (if on-campus)
   ii. the department contact may or may not be the same as the PI/Faculty Member – you should list the staff or faculty member who is responsible for tracking and submitting the proposal/agreement
   iii. the ORG/Dept code is something ORA has never required on past routing forms, but is absolutely integral for our PeopleSoft Proposal entry – you should list the ORG code reflective of the ORG responsible for fulfilling the terms and conditions of a given award/agreement.

4. The Document Type section requires you to select the type of document that you are submitting to ORA. After completing and saving the Cover Page, you should click on the document type name and the Supplemental Information form specific to that type of proposal/agreement will open. This Supplemental Information form is also a required form. See Section IV below for brief descriptions of the different document types. NOTE: Opening any Supplemental Information Form before completing and saving your Cover Page may result in losing the data on your Cover Page.
5. The **Proposal Type** section requires you to select the type of proposal that you are submitting to ORA. You may place your cursor over the types for brief definitions. See also Section V below for brief definitions of the different proposal types.

IV. Cover Page – Document Type Descriptions

1. **Affiliation Agreement** – There is no money associated with this Document Type. An OUHSC college/department may require this arrangement with an outside facility or organization so that its students can receive training or teaching at that outside facility (i.e. – clinical rotations) or, also for incoming students from other institutions receiving training at OUHSC.

2. **Clinical Trial Agreement** – This is an agreement typically with an Industry Sponsor (Pharmaceutical Company or Biotechnology Company) whereby the sponsor financially supports human subject research utilizing the sponsor’s study drug or device.

3. **Confidentiality Agreement** – This document type is used when proprietary or confidential information must be disclosed. OUHSC may be receiving, disclosing, or both receiving and disclosing proprietary information.

4. **Cooperative Agreement** –

5. **Fee For Service Agreement** – This is a unique, non-sponsored agreement which requires F&A costs and a sponsored account (CAccount) with Grants & Contracts Accounting. This type of agreement would be used when a PI/Faculty Member will perform a true analysis or test for an outside entity (e.g., assay). There would be no data collection and the budget might be set up on a ‘per test’ or ‘per analysis’ basis.

6. **Grant** – This is any request or proposal for external funding for research, training, or service. Many grant proposals may include an application for funding and a budget. It may or may not require electronic submission and it may be in response to a Funding Announcement or Request for Proposal. This Document Type would also be selected if OUHSC will subcontract with another Institution on that Institution’s award.

7. **License Agreement** – This document type would be selected if OUHSC will be licensing from an outside entity (typically for research purposes) any type of intellectual property, lab space, or software. There are other offices on campus that may be responsible for negotiating and executing a license agreement. Before selecting this option, please contact your Pre-Award Administrator in ORA for details on which supplemental form would be most appropriate.

8. **Material Transfer Agreement (Provider)** - This Document Type represents an agreement between OUHSC and an outside entity whereby an OUHSC PI/Faculty Member will be providing the entity with some sort of Material for that entity’s use per the terms/conditions of the agreement.

9. **Material Transfer Agreement (Recipient)** – This Document Type represents an agreement between OUHSC and an outside entity whereby an OUHSC PI/Faculty Member will be receiving some sort of Material for his/her use per the terms/conditions of the agreement.

10. **Medical Provider Agreement** – This Document Type would be selected when an OUHSC Faculty Member is agreeing to provide medical care as a provider for an insurance or governmental payer such as BlueCross BlueShield or Medicare.

11. **Other** – This Document Type is reserved for an agreement that does **NOT** meet the criteria of the others listed. Before selecting this option, please contact your Pre-Award Administrator in ORA for details on which supplemental form would be most appropriate.

12. **Other Service** – This Document Type should be selected if the agreement does **NOT** meet the criteria for an Affiliation Agreement, a Fee For Service Agreement, or a Professional Service Agreement. Before selecting this option, please contact your Pre-Award Administrator in ORA for details on which supplemental form would be most appropriate.
13. **Professional Service Agreement** – This Document Type typically represents a scenario where an OUHSC Faculty Member will perform a professional service for an outside entity. Examples of professional service may include a speaking engagement, participation on a Board of Directors, or consulting. The fees charged for these types of services typically represent PPP monies.

14. **Research Agreement** – This is an agreement that is most often between an Industry Sponsor (Pharmaceutical Company or Biotechnology Company) and OUHSC whereby the sponsor financially supports basic research performed by an OUHSC PI/Faculty Member. If the sponsor is NOT an Industry Sponsor, the Industry-Sponsored/Clinical Trial Agreement Supplemental Information form appropriately captures the information that ORA needs to process your agreement.

### IV. Cover Page – Proposal Type Definitions

1. **Continuation** – For future years of a multiple-year award, when annual financial reporting is required.
2. **Modification** – Any change to a current, active award. This includes funding, time period, or effort changes.
3. **New** – An initial proposal submission.
4. **Renewal** – Reapplication for a new award on an existing project, a “competing continuation” in NIH terminology.
5. **Revision** – A second version of an original proposal submission.
6. **Supplemental** – Request for additional funding on an existing project.

### V. Grant-Related Routing Forms

1. The Cover Page is a two-page, common form that is **required** for each and every routed submission to ORA.
2. The most commonly used Supplemental Information forms that you will use for grant-related proposals are:
   - Sponsored Activities/Research/Training/Public Service Supplement Information
   - Material Transfer Agreement (Provider)
   - Material Transfer Agreement (Recipient)
3. Take note of the following things in regards to the Sponsored Activities/Research/Training/Public Service Supplement Information Form:
   i. the Project Site should include a building name (if on-campus) and may differ from the Campus Address of the PI
   ii. if the F&A rate is limited by the sponsor/funding agency, navigate to the linked IDC exception form, complete and submit for the appropriate approvals
   iii. the “Sponsor” is defined as the entity making payment of the award monies to OUHSC – you do not need to complete the Sponsor Information contact/mailing details IF the sponsor is a major granting agency (e.g. NHLBI, NIAMS)
   iv. the “Flow-Through Sponsor” is the third party who may be soliciting for proposals, but not the ultimate monies provider - you do not need to complete the Flow-Through Sponsor contact/mailing details IF the flow-through sponsor is a major granting agency (e.g. NIH, DHHS)

   **FOR EXAMPLE:** The National Cancer Institute (NCI) has awarded a grant to OUHSC through the Gynecologic Oncology Group (GOG). The GOG will pay the award monies to OUHSC and is therefore designated as the Sponsor while NCI is designated as the Flow-Through Sponsor.

   v. If the PI or Other OUHSC Personnel is committing effort to the project that will not be paid off of the grant/award, a Chartfield Spread is required so that the unpaid effort will be appropriately accounted for.
   vi. If you are acquiring Other OUHSC Personnel required approvals through Faculty Signature, Chair Signature, and Dean Signature, you may return several signed pages to ORA rather than gathering all signatures on one page. The ORA understands that flexibility is a necessity here. As a reminder, electronic signatures are acceptable to ORA so long as your department, chair and dean allow for it.
   vii. If you have more Other OUHSC Personnel OR more Consultants/Independent Contractors/Service Providers/Subcontractors than the space provided on this Supplemental
Form, locate the Additional Personnel/Subcontracting Form on the ORA web site Forms Page, complete, and attach to your Cover Page and Supplemental Page before submitting to ORA.
4. Take note of the following things in regards to the Material Transfer Agreement (Provider and Recipient) Supplemental Information Forms:
   
i. There is a new section on these forms located at the bottom of the forms. The section is called “Special Notes to ORA regarding this Material Transfer Agreement”. You may note any additional details that may aid us in the processing of your agreement. An example of what might be useful here could include: the expected date to receive or send materials (this will help us prioritize the agreement), if the materials are under a patent, that the receipt of materials is necessary to fulfill an aim on a grant, etc.

VI. Industry-Related Routing Forms

1. The Cover Page is a two-page, common form that is required for each and every routed submission to ORA.

2. The most commonly used Supplemental Information forms that you will use for industry-related proposals are:
   - Confidential Disclosure Agreement Supplemental Information
   - Industry-Sponsored/Clinical Trial Agreement Supplemental Information
   - Material Transfer Agreement (Provider)
   - Material Transfer Agreement (Recipient)
3. Take note of the following things in regards to the Confidential Disclosure Agreement Supplemental Information Form:

   i. enter the most descriptive ‘Project Title’ that you have available at the time of completion of the form. If the sponsor has provided no descriptive project information, we’d suggest following up with the sponsor to request a minimal description of the project to include here.

   ii. For definitions of the “Provider”, “Recipient” and “Both Parties Disclosing”, place your cursor over each word.

      a. **Provider** – PI/Faculty Member will provide confidential or proprietary information to Sponsor.

      b. **Recipient** – Sponsor will provide confidential or proprietary information to PI/Faculty Member.

      c. **Both Parties Disclosing** – Both PI and Sponsor will provide confidential or proprietary information to the other.

   iii. the Project Site should include a building name (if on-campus) and may differ from the Campus Address of the PI.

   iv. when the Confidential Disclosure Agreement is being signed in regards to an anticipated clinical trial, the “**Sponsor**” will typically be the party that you are in contact with regarding the agreement.

   v. when the Confidential Disclosure Agreement is being signed in regards to an anticipated clinical trial, there may NOT be a “**Flow-Through Sponsor**”. If there is a third party who may be the protocol writer, drug maker, or device maker, you should list that entity as the Flow-Through Sponsor.

   **FOR EXAMPLE**: PPD, Inc., a Contract Research Organization (CRO), contacts John Doe, M.D. to sign a Confidential Disclosure Agreement in anticipation of an upcoming clinical trial written and conceived by GlaxoSmithKline (GSK) regarding one of GSK’s study drugs. In this case, because PPD is in contact with you regarding the CDA, PPD would be listed as the Sponsor while GlaxoSmithKline is designated as the Flow-Through Sponsor.

   vi. There is a new section on this form located towards the bottom of the form. The section is called “Special Notes to ORA regarding this Confidentiality Agreement”. You may note any additional details that may aid us in the processing of your agreement. An example of what might be useful here could include: that enrollment for this study will not be open much longer and completion of the CDA is imperative for study start to move forward quickly, you reviewed the terms of the agreement and all terms regarding PI’s responsibilities are agreeable, or (if Investigator Initiated) sponsor is awaiting OUHSC’s draft of the Confidentiality Agreement rather than sponsor providing to us, etc.
4. Take note of the following things in regards to the Industry-Sponsored/Clinical Trial Agreement Supplemental Information Form:

i. Remember to complete all fields on this form, including a proposed start/end date AND proposed budget information – although we understand this is subject to change, it is required information at the time of routing.

ii. If the PI or Other OUHSC Personnel is committing effort to the project that will not be paid off of the study budget, a Chartfield Spread is required so that the unpaid effort will be appropriately accounted for.

iii. If you are acquiring Other OUHSC Personnel required approvals through Faculty Signature, Chair Signature, and Dean Signature, you may return several signed pages to ORA rather than gathering all signatures on one page. The ORA understands that flexibility is a necessity here. As a reminder, electronic signatures are acceptable to ORA so long as your department, chair and dean allow for it.

iv. If you have more Other OUHSC Personnel than the space provided on this Supplemental Form, locate the Additional Personnel/Subcontracting Form on the ORA web site Forms Page, complete, and attach to your Cover Page and Supplemental Page before submitting to ORA.

v. The “Sponsor” is defined as the entity making payment to OUHSC for the project.

vi. The “Flow-Through Sponsor” is the third party involved, but not the ultimate monies provider – there may or may not be a Flow-Through Sponsor involved in any given project.

vii. The “Other Project Information” section requires disclosure of any external entities where patients may be seen, their personnel may be utilized, or use of their facilities may take place for a given project – obtain appropriate approvals (if required) from the affiliates before submitting the routing form to ORA.

vi. There are two new sections on this form located at the bottom of Page 2.  1) There is a checkbox for the PI to certify that he/she has read the terms/conditions of the agreement related to the form and that he/she is agreeable to the terms/conditions that apply to him/her as the PI.  2) Just below is a section called “Special Notes to ORA regarding this Industry-Sponsored/Clinical Trial Agreement”. This area should be used to note any PI concerns regarding terms/conditions of the Agreement to aid ORA in the negotiation and preparation of the Agreement. If the box described in 1) above is checked and there are no special notes – ORA will assume that any terms/conditions that apply to PI’s conduct of the study are agreeable as written.

5. Take note of the following things in regards to the Material Transfer Agreement (Provider and Recipient) Supplemental Information Forms:
i. There is a new section on these forms located at the bottom of the forms. The section is called “Special Notes to ORA regarding this Material Transfer Agreement”. You may note any additional details that may aid us in the processing of your agreement. An example of what might be useful here could include: the expected date to receive or send materials (this will help us prioritize the agreement), if the materials are under a patent, that the receipt of materials is necessary to fulfill an aim on a grant, etc.

VII. Non-Sponsored Contract Routing Forms

1. The Cover Page is a two-page, common form that is required for each and every routed submission to ORA.
2. The most commonly used Supplemental Information forms that you will use for non-sponsored proposals are:
   - Affiliation Agreement Supplemental Information
   - Confidential Disclosure Agreement Supplemental Information
   - Fee For Service Agreement Supplemental Information
   - Material Transfer Agreement (Provider)
   - Material Transfer Agreement (Recipient)
   - Provider Agreement Supplemental Information
   - Service Agreement Supplemental Information
3. Take note of the following things in regards to the Affiliation Agreement Supplemental Information Form:
   i. There is a new section on this form located at the bottom of the page. The section is called “Special Notes to ORA regarding this Affiliation Agreement”. You may note any additional details that may aid us in the processing of your agreement.

4. Take note of the following things in regards to the Confidential Disclosure Agreement Supplemental Information Form:
   i. enter the most descriptive ‘Project Title’ that you have available at the time of completion of the form.
   ii. For definitions of the “Provider”, “Recipient” and “Both Parties Disclosing”, place your cursor over each word.
      a. **Provider** – PI/Faculty Member will provide confidential or proprietary information to Sponsor.
      b. **Recipient** – Sponsor will provide confidential or proprietary information to PI/Faculty Member.
      c. **Both Parties Disclosing** – Both PI and Sponsor will provide confidential or proprietary information to the other.
   iii. the Project Site should include a building name (if on-campus) and may differ from the Campus Address of the PI
   iv. the “**Sponsor**” is the external agency representing the other party to this Agreement
   v. There is a new section on this form located towards the bottom of the form. The section is called “Special Notes to ORA regarding this Confidentiality Agreement”. You may note any additional details that may aid us in the processing of your agreement. An example of what might be useful here could include: that enrollment for this study will not be open much longer and completion of the CDA is imperative for study start to move forward quickly, you reviewed the terms of the agreement and all terms regarding PI’s responsibilities are agreeable, or (if Investigator Initiated) sponsor is awaiting OUHSC’s draft of the Confidentiality Agreement rather than sponsor providing to us, etc.
5. Take note of the following things in regards to the Fee For Service Supplemental Information Form:
   i. remember to complete all fields on this form, including a proposed start/end date AND proposed budget information – although we understand this is subject to change, it is required information at the time of routing
   ii. F&A Costs must be included in Fee For Service Agreements – contact your Contract Specialist in ORA for questions about the rate
   iii. the Project Site should include a building name (if on-campus) and may differ from the Campus Address of the PI
   iv. the “Sponsor” is the external agency representing the other party to this Agreement
   v. There is a new section on this form located towards the bottom of the form. The section is called “Special Notes to ORA regarding this Fee For Service Agreement”. You may note any additional details that may aid us in the processing of your agreement.

6. Take note of the following things in regards to the Material Transfer Agreement (Provider and Recipient) Supplemental Information Forms:
   i. There is a new section on these forms located at the bottom of the forms. The section is called "Special Notes to ORA regarding this Material Transfer Agreement". You may note any additional details that may aid us in the processing of your agreement. An example of what might be useful here could include: the expected date to receive or send materials (this will help us prioritize the agreement), if the materials are under a patent, that the receipt of materials is necessary to fulfill an aim on a grant, etc.

7. Take note of the following things in regards to the Provider Agreement Supplemental Information Form:
   i. remember to complete all fields on this form, including a proposed start/end date – although we understand this is subject to change, it is required information at the time of routing
   ii. the Project Site should include a building name (if on-campus) and may differ from the Campus Address of the PI
   iii. the “Sponsor” is the external agency representing the other party to this Agreement
   iv. There is a new section on this form located towards the bottom of the form. The section is called “Special Notes to ORA regarding this Provider Agreement”. You
may note any additional details that may aid us in the processing of your agreement.

8. Take note of the following things in regards to the Service Agreement Supplemental Information Form:

i. remember to complete all fields on this form, including a proposed start/end date and costs – although we understand this is subject to change, it is required information at the time of routing

ii. the Project Site should include a building name (if on-campus) and may differ from the Campus Address of the PI

iii. the “Sponsor” is the external agency representing the other party to this Agreement

iv. There is a new section on this form located towards the bottom of the form. The section is called “Special Notes to ORA regarding this Service Agreement”. You may note any additional details that may aid us in the processing of your agreement.