RSP Proposal Routing Form Instructions

Section 1: Investigator Information

- Indicate the Clark Atlanta University Principal Investigator (PI). This must be a CAU Faculty, Staff, or Administrator, even if CAU is not the overall lead institution. Complete this section with the same information that is being used in the proposal.
- Indicate whether you are planning to run the project through a Department or Center that is not your primary appointed unit by choosing the appropriate Department or Center name from the drop-down menu.
- List any CAU Faculty, Staff, or Administrators who will be Co-Investigators, Key/Senior Personnel on the proposal and indicate their department and school/unit. In the unlikely case that you have more than 4 CAU Co-Is, attach a separate sheet, if applicable, with the additional requested personnel information.

Section 2: Proposal Information

- **Prime Sponsor Name** – The Prime Sponsor is the third-party entity ultimately funding the project. For example, the sponsors may be federal, state, or local governments, foundations/non-profits, for-profits, etc.
- **Lead institution Name (if not CAU)** – List the lead institution name if CAU is submitting the proposal as a sub-contractor, sub-awardee, collaborator, or professional service provider to another institution.
  - For example, Cornell is submitting a proposal to the USDA and is including CAU as a sub-awardee on the project. In that case, the prime sponsor is USDA, and the lead institution is Cornell.
- **Sponsor Type** – Choose the appropriate type from the drop-down list
- **PHS agency** – Check the box if the Sponsor is found in either list below:

<table>
<thead>
<tr>
<th>PHS Agencies</th>
<th>Agencies that have adopted PHS policies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration for Children and Families (ACF)</td>
<td>Food and Drug Administration (FDA)</td>
</tr>
<tr>
<td>American Cancer Society (ACS)</td>
<td>Juvenile Diabetes Research Foundation (JDRF)</td>
</tr>
<tr>
<td>American Lung Association (ALA)</td>
<td>Lupus Foundation of America (LFA)</td>
</tr>
<tr>
<td>Agency for Health Care Research &amp; Quality (AHRQ)</td>
<td>National Institutes of Health (NIH)</td>
</tr>
<tr>
<td>Arthritis Foundation (AF)</td>
<td>Office of the Assistant Secretary for Health (OASH)</td>
</tr>
<tr>
<td>American Heart Association (AHA)</td>
<td>Office of Global Affairs (OGA)</td>
</tr>
<tr>
<td>Agency for Toxic Substances and Disease Registry (ATSDR)</td>
<td>Office of the Assistant Secretary for Preparedness and Response (ASPR)</td>
</tr>
<tr>
<td>Centers for Disease Control and Prevention (CDC)</td>
<td></td>
</tr>
<tr>
<td>Health Resources and Services Administration (HRSA)</td>
<td>Susan G. Komen for the Cure</td>
</tr>
<tr>
<td>Substance Abuse and Mental Health Services Administration (SAMSHA)</td>
<td></td>
</tr>
</tbody>
</table>
• **Program Name** – Provide the prime sponsor’s full program name to which the proposal is being submitted.

• **Program Subtopic** – If applicable

• **Program Solicitation #** – Provide the specific solicitation number of the request for proposals (RFP) or guidelines. This can also be called a Funding Opportunity Number
  - This can usually be found in the RFP guidelines and is typically used with government grants or contracts.

• **CFDA # (if Federal)** – Provide the Catalog of Federal Domestic Assistance (CFDA) number for federal program solicitations. A complete CFDA number is a five-digit number represented as XX.XXX, where the first two digits represent the Funding Agency, and the second three digits represent the program. For programs sponsored by the NIH, if you are not aware which CFDA is specific to that RFP please leave the field blank.
  - This can be found in the RFP guidelines, or you can search at www.cfda.gov.
  - 93.395 is the CFDA number for assistance from the Department of Health and Human Services, National Institutes of Health Cancer Treatment Research

• **Funding type** – Choose the appropriate type from the drop-down list:
  - **Grant** – financial assistance mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity. A grant is used whenever the awarding office anticipates limited programmatic involvement with the recipient during the performance of the project.
  - **Contract** – This is a procurement agreement. A contract usually requires explicit deliverables and a defined scope of work. Examples of contracts include teaming or research agreements, professional service agreements, etc.
  - **Cooperative agreement** – Financial assistance award with substantial sponsor programmatic involvement.
  - **IDIQ – Task Order Contract**
  - **Purchase Order** – low dollar threshold awards
  - **Other** – provide an explanation

• **Proposal Title** – Enter the full title of your proposal. The title should be limited to 180 characters to comply with most electronic submission systems’ character limits.

• **Proposal Type** – Choose the appropriate type from the drop-down list:
  - **New** – Proposal that has not been submitted previously to this RFP
  - **Resubmission** – Proposal that has been previously submitted but not funded
  - **Renewal** – Proposal requesting funding for a new segment of a currently funded project (i.e., phase of a project)
  - **Competing Continuation** – Proposal requesting submission to complete an additional segment of a current original award. This applies primarily to NIH awards.
  - **Supplement** – Proposal requesting additional funds to complete an existing or new activity of a currently funded project.
◆ Primary Activity Type – Choose the appropriate research activity type from the drop-down list
  • Research (Research includes the following):
    ▪ Applied Research – Research conducted to gain the knowledge/understanding to meet a specific, recognized need
    ▪ Basic Research – Research was undertaken primarily to acquire new knowledge without any particular application or use in mind; also called fundamental research
    ▪ Translational Research – Research that helps make findings from basic research useful for practical applications that enhance human health and well-being. This definition usually includes moving research from pre-clinical to clinical applications.
    ▪ Creative Activity – Original contributions to scholarship. For example, creative writing, architecture, visual arts, performing arts, etc.
  • Construction – Large-scale alteration and renovation activities under grants with specific statutory authority for construction or modernization activities
  • Training:
    o Curriculum/Program Development – Development of software, multimedia applications, and library resources as part of a discipline-based or general education curriculum
  • Service:
    o Evaluation/Assessment – A type of study that employs special techniques unique to the assessment of social programs
      Professional Development/Instruction/Training (Conference) – Scholarly, professional, or occupational instruction primarily for graduate students or University employees and includes training awards made to CAU that provide for the selection of student recipients by academic units.
  • Major Instrumentation – Funding to acquire equipment, including grants of equipment or full or partial funding to enable the purchase of equipment and where the title of such equipment vests with CAU.
  • Institutional:
    o Fellowship/Scholarship – Funding received to train or provide subsistence during training, to either graduate students or postdoctoral candidates training in research techniques
  ♦ Proposed research requires – Check all that may apply to your proposal and provide details
    ▪ For instance, professional liability insurance is not provided by the university.
  • Additional Space – Office/laboratory/other space that is currently unavailable to you or your department.
  • Space and/or Equipment Renovations – Equipment or other needs that necessitate renovations to the current space for it to be in compliance or to perform the research.

Section 3: Budgetary Information
  • Proposed Performance Period – Give the proposed/estimated project Start and End dates. The review process for proposals generally takes 3-12 months depending on the agency and program, so plan accordingly for anticipated starting dates.
  • Proposed Budget Includes – (check all that apply)
- **Release Time** (academic year), **Summer Salary** (faculty and staff summer salary are for those whose contracts are less than 12 months), **Supplemental Salary** (faculty/staff supplemental salary must be requested for each position), Undergraduate Student(s), Graduate Student(s)

- **Participant Support Cost** – these costs cannot be budgeted without prior approval and are not included in the indirect cost calculation. These costs are only allowable for certain RFPs.

- **Equipment** – amounts greater than $5,000 are considered capital equipment

- **Postdoctoral Fellow(s)** – Holds a Ph.D. and is used for advanced studies and training under the mentorship of a CAU faculty member. Post-docs perform higher-level research work more independently than a Staff Research Associate.

- **Consultant(s)** – personnel providing expert opinion, analysis and testing services, product and process development, or other professional services based on existing knowledge

- **Subrecipient(s)/Subcontract(s)** – if checked, you **MUST** submit a fully executed Subrecipient commitment form, Budget, statement of work, Institutional Letter of Support, and their F&A agreement if applicable with the Routing Form

- **New Personnel (to be hired)** – if checked, you **MUST** contact HR for proper classification of the new position.

- **Does the Sponsor Limit F&A (indirect) costs?**
  - If yes, include the maximum allowed rate/percentage, and write 0% if no F&A is allowed.
    - If you are unsure, please check the RFP guidelines under **budgetary information**.

- **Proposed Budget Requested from Sponsor** – Enter your abbreviated proposed budget, broken down by Direct and Indirect costs for each year proposed. This information should have been discussed and reviewed with your department/college/school.
  - **Direct costs** are those that can be assigned directly to research activities associated with a particular sponsored project. Direct costs generally include salaries, wages, fringe benefits (current fringe benefits are: 30.49% for full-time faculty and staff; 10.58% for students), consultant services, travel, materials, supplies, subcontracts, Participant Support Cost, and equipment.
  - **Indirect costs** (or F&A, Facilities & Administrative) are based on CAU’s federally approved rates.

- **Proposed Cost Sharing** – Cost sharing/matching means that CAU will share in the cost of the proposed project. Generally, CAU does not allow cost-sharing unless it is required by the sponsor and indicated in the RFP. Some of the more common means of cost-sharing are a third-party match, waived or unrecovered F&A, faculty time, or in-kind (non-cash) contributions.

- If cost sharing is included, specify the amount, a description of what cost is being shared, and the appropriate departmental budget code responsible for covering the amount proposed. Any cost sharing must be approved by your Dean or Director in kind. If the cost share is cash, Finance and Administration must approve.
Section 4: Institutional & Regulatory Compliance Information:

Special Research Considerations – Check any that may apply to the proposed project. These special considerations require approval by the corresponding compliance body, i.e., Institutional Review Board (IRB) for human subjects research; Institutional Animal Care & Use Committee (IACUC) for live vertebrate animal subjects’ research; or the Science Safety Committee for research involving:

<table>
<thead>
<tr>
<th>Infectious/Etiologic Agents</th>
<th>Hazardous Materials</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bacteria</td>
<td>Custom Antibodies</td>
</tr>
<tr>
<td>Fungi</td>
<td>Cleaning agents</td>
</tr>
<tr>
<td>Helminth Pesticides</td>
<td>Pesticides</td>
</tr>
<tr>
<td>Parasites</td>
<td>Materials burned for fuel</td>
</tr>
<tr>
<td>Prions</td>
<td></td>
</tr>
<tr>
<td>Protozoa</td>
<td>Radioactive Materials</td>
</tr>
<tr>
<td>Viruses</td>
<td>Spent nuclear fuel</td>
</tr>
<tr>
<td>Chemical Agents</td>
<td>Uranium mill tailings</td>
</tr>
<tr>
<td>Highly toxic gases</td>
<td>Naturally occurring radioactive waste</td>
</tr>
<tr>
<td>Chemical carcinogens</td>
<td>Low-level radioactive waste</td>
</tr>
<tr>
<td>Controlled substances</td>
<td></td>
</tr>
</tbody>
</table>

♦ Export Controls Determination – Check any that apply to help RSP determine whether federal export control regulations apply. CAU faculty, staff, students, and affiliates must comply with federal export laws and regulations outlined by the Arms Export Control Act, the International Traffic in Arms Regulations (ITAR), the Export Administration Act, the Export Administration Regulations (EAR), and all economic and trade sanctions administered and enforced by the Office of Foreign Assets Control (OFAC). For more information, see CAU’s policy on export controls.

♦ Proposed research involves – Check all that may apply:
  - Intellectual Property/Patentable ideas – Projects that will result in any patents, copyrights, trademarks, trade secrets, or other intellectual property.
  - Proprietary Information – Projects that will involve any information that is not public knowledge that, if released, may breach any contracts, or agreements, or result in other legal issues.
  - Security Classification/Clearance - Project that will involve any classified information or require security clearance for personnel involved.

♦ Financial Conflict of Interest – Please review and sign CAU’s “Financial Disclosure Form” for all Senior or Key Personnel Conducting Research, if this proposed project will create a new financial conflict not previously disclosed.

Section 5: Assurances and Approvals

♦ Signatures – The signed form must be returned to RSP before submitting the proposal.
  - The PI is responsible for obtaining the following signatures, in order.
    a) Principal Investigator
b) Co-Investigator (Senior/Key Personnel)
c) Dean/Chair/Director
d) Other that may be appropriate based on the information provided in sections 3 and 4 above.

- When obtaining the appropriate signatures on the routing form, the following documents (at minimum) should be included with the routing packet:
  1) proposal abstract
  2) near final draft of the proposal
  3) budget & budget justification
  4) any supporting documentation

Instructions to sign the routing form electronically, if your electronic signature isn’t currently available, instructions are provided when you click on the signature tab.