

## Proposal Routing Form Instructions

### Section 1: Investigator Information

- Indicate the **Chapman University Principal Investigator (PI)**. This must be a Chapman Faculty, Staff or Administrator *even if Chapman is not the overall lead institution*. Provide all PI information as it appears in the proposal.
- Indicate whether you are planning to run the project through an **Institute or Center** that is not your primary appointed unit by choosing the appropriate Institute or Center name from the drop down menu.
  - *Projects run through an Institute or Center will have a modified distribution of the Facilities & Administration (F&A) rate if the proposal is awarded.*
- List any Chapman University Faculty, Staff or Administrators who will be **Co-Investigators** on the proposal and indicate their department and school/colleges. In the unlikely case that you have more than 4 Chapman Co-Is, attach a separate sheet with the requested information.

### Section 2: Proposal Information

- **Prime Sponsor Name** – The Prime Sponsor is the third party entity ultimately funding the project. Sponsors may be federal, state, local or international governments, foundations/non-profits or for-profits.
- **Lead institution Name (if not Chapman)** – List the lead institution name if Chapman is submitting the proposal as a sub-contractor, sub-awardee, collaborator or professional service provider to another institution.
  - *For example, Penn State is submitting a proposal to the USDA and is including Chapman as a sub-award on the project. In that case, the prime sponsor is the USDA and the lead institution is Penn State.*
- **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:

PHS Agencies	Agencies that have adopted PHS policies
National Institutes of Health (NIH)	Administration for Children and Families (ACF)
Agency for Health Care Research & Quality (AHRQ)	Alliance for Lupus Research (ALR)
Centers for Disease Control and Prevention (CDC)	American Cancer Society (ACS)
Food and Drug Administration (FDA)	American Heart Association (AHA)
Office of Global Affairs (OGA)	American Lung Association (ALA)
Office of the Assistant Secretary for Health (OASH)	Arthritis Foundation (AF)
Office of the Assistant Secretary for Preparedness and Response (ASPR)	Juvenile Diabetes Research Foundation (JDRF)
Agency for Toxic Substances and Disease Registry (ATSDR)	Lupus Foundation of America (LFA)

Health Resources and Services Administration (HRSA)	Susan G. Komen for the Cure
Indian Health Service (IHS)	CurePSP
Substance Abuse and Mental Health Services Administration (SAMHSA)	

- **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 an Funding Opportunity Number
  - *This can usually be found in the RFP guidelines, and are 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](http://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 performance of the project.
  - **Contract** – 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.
- **Proposal Title** – Enter the full title of your proposal. The title should be limited to 180 characters to comply with most electronic submission system’s character limits.
- **Proposal Type** – Choose the appropriate type from the drop-down list:
  - **New** – Proposal that has not been submitted previously
  - **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.
- **Activity Type** – Choose the appropriate research activity type from the drop-down list
  - **Applied Research** – Research conducted to gain the knowledge/understanding to meet a specific, recognized need
  - **Basic Research** – Research undertaken primarily to acquire new knowledge without any particular application or use in mind; also called fundamental research

- **Construction** – Large-scale alteration and renovation activities under grants with specific statutory authority for construction or modernization activities
- **Creative Activity** – Original contributions to scholarship. *For example, creative writing, architecture, visual arts, performing arts, etc.*
- **Curriculum/Program Development** – Development of software, multimedia applications, and library resources as part of a discipline-based or general education curriculum
- **Equipment** – Funding for the purpose of acquiring 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 Chapman.
- **Evaluation/Assessment** – A type of study that employs special techniques unique to the assessment of social programs
- **Fellowship/Scholarship** – Funding received in order to train or provide subsistence during training, to either graduate students or postdoctoral candidates training in research techniques
- **Professional Development/Instruction/Training (Conference)** – Scholarly, professional, or occupational instruction primarily for graduate students or University employees and includes training awards made to Chapman that provide for selection of student recipients by academic units.
- **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.
- **Proposed research requires** – Check all that may apply to your proposal and provide details
  - **Additional Insurance** – Insurance in addition to what is already provided by the University in regards to personnel, space, transportation, etc. Send an email to risk management at [abrooks@chapman.edu](mailto:abrooks@chapman.edu) if you have any questions.
    - *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 renovations** – Equipment or other needs that necessitate renovations to current space in order to be in compliance or to perform the research.
  - **IS&T: Data Storage/Specialized Software/etc.** – Storage of data or the use of specialized software on Chapman property.
  - **Off-campus location(s)** – Project performance at an off-campus location or includes off-campus field research.

### Section 3: Budgetary Information

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- **Proposed Performance Period** – Give the proposed/estimated project Start and End dates. The review process for proposals generally take 6 months, so plan accordingly for anticipated starting dates.
- **Proposed Budget Includes** – (check all that apply)
  - **Summer Salary, Release Time** (academic year only), **Undergraduate Student(s), Graduate Student(s)**
  - **Equipment** – amounts greater than \$5,000 are considered capital equipment
  - **Postdoctoral Fellow(s)** – Holds a Ph.D. and is used for the purpose of advanced studies and training under the mentorship of a Chapman 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

- **Subcontractor(s)** – *if checked, you MUST submit Subcontractor 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 Sponsor Limit F&A (indirect) costs?**
  - If yes, include the maximum allowed rate/percentage, write 0% if no F&A is allowed.
    - **If you are unsure, 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 (26% of salaries/wages), consultant services, travel, materials, supplies and equipment.
  - **Indirect costs** (or F&A, Facilities & Administrative) are those costs that the University accrues, but cannot easily assign to any specific activity, research or otherwise. Indirect costs generally include salaries of administrative and clerical staff that provide normal support activities to the university, office supplies, local telephone calls, or memberships.
- **Proposed Cost Sharing** – Cost sharing/matching means that Chapman will share in the cost of the proposed project. Generally, Chapman 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 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 is being cost shared, and the appropriate departmental budget code responsible for covering the amount proposed. Any cost sharing must be approved by your Dean or Director (Centers and Institutes).

**Section 4: Institutional & Regulatory Compliance Information**

**Special Research Considerations** – Check any that may apply to the proposal. 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:

<b><i>Infected/Etiologic Agents</i></b>
Bacteria
Fungi
Helminth
Parasites
Prions
Protozoa
Viruses
<b><i>Chemical Agents</i></b>
Highly toxic gases
Chemical carcinogens
Controlled substances

<b><i>Hazardous Materials</i></b>
Custom antibodies
Cleaning agents
Pesticides
Materials burned for fuel
<b><i>Radioactive Materials</i></b>
Spent nuclear fuel
Uranium mill tailings
Naturally occurring radioactive waste
Low-level radioactive waste

- **Export Controls Determination** – Check any that apply in order to help ORSPA determine whether or not federal export control regulations apply. Chapman 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 Chapman'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, agreements, or result in other legal issues.
  - **Security Classification/Clearance** – Project that will involve any classified information or require security clearance for personnel involved.

### **Section 5: Assurances and Approvals**

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- **Financial Conflict of Interest** – Please review and sign Chapman's "[Financial Disclosure Form](#)" for all Senior or Key Personnel Conducting Research, if this proposed project will create a new financial conflict not disclosed.
- **Signatures** – The signed form must be returned to ORSPA prior to submitting the proposal.
  - The PI is responsible for obtaining the following signatures, in order.
    - Principal Investigator
    - Co-Investigator
    - Dean/Chair/Director
  - When obtaining the appropriate signatures on the routing form, the following documents (at minimum) should be included with the routing packet:
    - proposal abstract
    - budget & budget justification
    - any supporting documentation
  - [Instructions to sign the routing form electronically](#)