

PROPOSAL ROUTING FORM

WESTERN WASHINGTON UNIVERSITY

Rev. 6/06

Western Foundation

or

Office of Research and Sponsored Programs

This form must accompany all proposals being submitted through the Office of Research and Sponsored Programs (ORSP) or the Western Foundation to an external funding organization (including proposals for continuation grants, and proposals where WWU acts as a subgrantee). **It is the responsibility of the Project Director to complete this form, obtain all special approvals and signatures and submit it to the ORSP.** The Vice Provost for Research will only approve proposals accompanied by this completed form. The ORSP will review and reroute Western Foundation proposals.

Project Director(s) Last Name, First, M.I.	Department/Division/College	Rank (grad or undergrad if student)	WWU ID #	Time Devoted to project Summer Acad. Yr

Proposal Title _____

Project Director's Phone _____ Mail Stop _____ E-mail _____

Proposal Type: **New, Supplement, Continuation, Preliminary** _____ Deadline Date _____

Project Type: **Research, Training, Service, Equipment, Other** _____ Receipt Postmark Electronic

SPONSOR INFORMATION

Sponsor Name & Subdivision _____

Program Title _____

CFDA# (Federal Programs) _____

Sponsor Type: Federal, State, Local Gov't., Other _____

BUDGET INFORMATION

Budget Period: From _____ to _____

Direct Costs \$ _____

Indirect Costs* \$ _____

Total Costs \$ _____

UNIVERSITY COMMITMENT/COST SHARING

Matching Funds Required? *Yes No

In-Kind – list source _____

Cash (list below)

Source	Amount	*Approved By
_____	\$ _____	_____
_____	\$ _____	_____

Total Match \$ _____

INTERNAL FUNDING

Is this proposal a result of internal support? Yes No

If yes, which type of award? Summer Research Grant _____

Project Development Award _____ Pilot Project Award _____

PERSONNEL REQUIREMENTS

If funded, will permanent employees be hired to fill positions created for the term of this award? Yes No

If yes, specify number below:

Classified _____ Administrative Exempt _____

Office Use Only

Date Received _____

Budget Approval _____

Date Mailed _____

Carrier _____

Log # _____

Application ID# _____

Awrdr/Rjct Date _____

SPECIAL APPROVALS

➤ **Additional space required?** Yes* _____ No _____

*Signature, Director of Space Administration

➤ **Experimental vertebrate animals involved?** Yes* _____ No _____

(*Attach approval from Animal Care & Use committee)

➤ **Human Subjects involved?** Yes* _____ No _____

(*Attach approval from Human Subjects Review committee)

➤ **Hazardous activities involved?**

Toxic substances Laser

Radioactive materials SCUBA

Recombinant DNA Aircraft

Other _____

*Signature, University Safety Officer

➤ **Financial Disclosure** (federal proposals only): Do any key personnel have a significant financial or controlling interest in a commercial enterprise associated with this project? (Reverse side has an excerpt from *Interim Financial Disclosure Policy*).

Yes* _____ No _____

(* Attach Financial Disclosure Statement)

ASSURANCES AND CERTIFICATIONS

As Project Director(s), you certify that you will submit technical reports as required and adhere to sponsor and university regulations applicable to the grant.

Project Director _____ Date _____

Project Co-Director _____ Date _____

ACADEMIC UNIT APPROVALS

By signing below, you certify that staff, space, equipment, computer time, etc., are available to this project or budgeted herein.

Department Chair _____ Date _____

Dean _____ Date _____

Total #Yrs _____ **Total Awd \$** _____ **Current increment \$** _____ **Acct #** _____

EXCERPTS FROM THE WWU INTERIM FINANCIAL DISCLOSURE POLICY

In those circumstances in which the University is engaged in or intends to engage in a federally funded project with a commercial organization, or has subcontracted or intends to subcontract to an external organization under one of the University sponsored federal projects, a conflict of interest may occur when a faculty member/investigator's affiliation with the federal government or external organization involved in the project meets the following criteria:

- a. The faculty member/investigator is an officer, director, partner, trustee, employee, advisory board member, or agent of an external organization or corporation assisting in the funding of the federally sponsored project or providing goods and services under a sponsored project in which the faculty member/investigator is participating in any capacity.
- b. The faculty member/investigator is the actual or beneficial owner of more than five percent (5%) of the voting stock or controlling interest of such organization or corporation, **and**;
- c. the faculty member/investigator has dealings with such organization or corporation from which he or she derives income of more than \$10,000 per year, exclusive of dividends and interest.
- d. The faculty member/investigator's immediate family meet any of the criteria stated in a-c above.

A disclosure must be completed prior to the University's acceptance of the federally sponsored project or issuance of purchase order or subcontract for the acquisition of goods and services. The disclosure form is to be sent to the Office of Risk Management through the faculty member/investigator's department chair or dean. Positive disclosures will be reviewed by a Conflict Review Committee consisting of the Vice Provost for Research, the Assistant Attorney General, the Director of the Office of Research and Sponsored Programs and the Director for Risk Management.

DEFINITIONS

CONFLICT OF INTEREST: exists if a significant financial interest could directly and significantly affect the design, conduct, or reporting of federally funded activities.

KEY PERSONNEL: Principal investigator or any other person who is responsible for the design, conduct, or reporting of a research project funded by the federal government or proposed for such funding.

MEMBERS OF IMMEDIATE FAMILY: the investigator's or faculty member's spouse and dependent children as to federally sponsored activities; and, if state sponsored, the immediate family includes the spouse, dependent children, and other dependent relatives living at the same address as the investigator or faculty member.

SIGNIFICANT FINANCIAL INTEREST: Anything of monetary value, including but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include:

1. salary, royalties, or other remuneration from Western Washington University;
2. income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
3. income from service on advisory committees or review panels for public or nonprofit entities;
4. an equity interest that, when aggregated for the investigator and the investigator's spouse and dependent children, meets both of the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a five (5) percent ownership interest in any single entity; or
5. salary, royalties or other payments that, when aggregated for the investigator and the investigator's spouse and dependent children over the next twelve months, are not expected to exceed \$10,000 during the next twelve month period.

The Financial Disclosure Statement Form and complete text of the Interim Financial Disclosure Policy is available in the Office of Research and Sponsored Programs.