

# PROPOSAL CERTIFICATION FORM INSTRUCTIONS

## MONTANA TECH Office of Research and Graduate Studies (ORGS)

### I. SUBMISSION PROCEDURES

The Proposal Certification Form must be completed by the Principal Investigator for all proposals or applications submitted to outside organizations seeking financial support of research, creative activities, and/or any other special projects that may result in a contract, grant, or other agreement with Montana Tech. The **Proposal Certification Form** must be reviewed and signed by the Principal Investigator, Co-PI(s), Department Head(s), Dean(s), Physical Plant Director (if required), Environmental Health and Safety Director (if required), Institutional Review Board Campus Representative, and the Director of Contracts & Grants **PRIOR** to forwarding to the Associate Vice Chancellor for Research and Graduate Studies for final approval and certification. A new Proposal Certification Form is also required for renewal proposals submitted to sponsors for on-going, multi-year projects, if the sponsor requires a new application and a new budget each year. The form is used to obtain appropriate internal academic and administrative approvals, to generate a transmittal letter for the proposal, if needed, and to accurately track and report all Research Proposals at Montana Tech. The form is not sent to the funding sponsor. After obtaining all required signatures, please submit this form plus one copy of the Proposal to the Office of Research **PRIOR** to proposal deadline. Please allow 3 working days for Administrative Review.

**ORGS Proposal Number**—Leave blank. A number will be assigned upon receipt by ORGS.

**Date Submitted**—Enter current date you are submitting your proposal to the Research Office.

**Proposal Deadline**—If the sponsor has indicated a deadline for proposal submission, indicate the deadline date and whether the date is a postmark or receipt ("to be received by") deadline. It is important to indicate the date and time of the deadline since there are some limitations in the time of day (and number of days) we can get a proposal delivered. For example, at the time of this writing, Federal Express pick up is at 2:00 pm, however, other limitations or deadlines for smaller cities may exist. If the proposal is being submitted in response to a Request for Proposals (RFP) or Announcement, indicate the RFP or Announcement number, and **enclose a full copy of the RFP** if you want the Research Office to mail your proposal. Enter the number of copies required by the sponsor (including the signed original), add a copy for ORGS and then identify the total copies.

**PI Name/Co-PIs**—Enter the name of person to act in the capacity of Principal Investigator (PI) at Montana Tech. The first investigator listed is the person who will serve as lead for administrative purposes that will include serving as the primary manager in the event of an award. Enter the name(s) of all Co-PIs.

**Department**—List the Montana Tech department, organization, program, or unit where the PI is assigned. Unless additional information is provided, this will determine which organizational unit will receive Indirect Cost Recovery funds generated from the grant. Also include department names for all Co-PIs.

**Proposal Title**—Provide the title in its entirety.

**Abbreviated Title**—Provide an abbreviated title by which the title can be identified internally and entered into our database.

**Funding Source Name and Type**—Indicate the name of the funding sponsor(s) and **circle** the type of funding source for the primary sponsor.

**Requested Amount**—Provide proposed cost figures for the current budget period. If Montana Tech is sharing in the cost of the project, enter the value of the contributed costs including indirect costs and fill out **Section III** entitled "**Matching and IDC Reinvestment Information.**" Cost sharing is discouraged unless specifically required by the funding sponsor guidelines. If any additional matches are proposed by outside agencies, enter them in "other" and include their letters of support.

**Total Project**—Provide budget figures for the entire proposed project.

**IDC Requested**—List the total IDCs requested.

**Project Duration**—Enter the **entire** requested start and end dates for the project (i.e., 1/1/08-12/31/12).

## II. UNIVERSITY OBLIGATIONS

This section should be completed by the Principal Investigator. It is important to be especially careful to respond fully to all seven questions. It is imperative that **all University obligations and responsibilities** (both during the grant period and afterward) be clearly defined and explained. **IF YES**, to any of the questions is indicated, the appropriate approvals are required for each item and additional documentation should be attached to the form.

## III. MATCHING AND INDIRECT COST REINVESTMENT INFORMATION

All cost sharing or matching referenced in the proposal must be listed, the source of funding must be indicated (Banner numbers), and the cost share/matching funds must be approved by those accountable for the funds (typically Department Head or Dean). The Director of Contracts and Grants will use this information to track and account for the cost sharing/matching funds. If cost sharing includes contributions from third parties, such as, non-profit agencies, state agencies, industry sponsors, and/or private individuals, the PI must obtain written documentation of these funds from the contributor.

**Matching Requirements**—List all costs proposed as matches. Under *Description*, list specific items (name of project director, faculty, type of equipment, cash, Fringe Benefit rate, IDC rate, etc.). Indicate the source of the match and the Banner Index Number associated with that source. The match must be approved and initialed by the individual who is fiscally responsible for the Banner Index Number referenced.

**Indirect Costs Reinvestment**—List the amount of any proposed reinvestment of collected IDCs. The Associate Vice Chancellor for Research & Graduate Studies must approve all Indirect Costs shared and/or reinvested **PRIOR** to proposal submission to the funding agency.

## IV. PROCEDURAL INFORMATION

This section is to be completed by the Principal Investigator and Co-Principal Investigators and reviewed by the appropriate Department Head(s) and Dean(s). Detailed information is available in the Principal Investigators Handbook on the Web at [www.mtech.edu/research/policies/Policies\\_and\\_Procedures.html](http://www.mtech.edu/research/policies/Policies_and_Procedures.html). PIs and all Co-PIs must initial **Item 13** to indicate that they have read, understand, and certify the conditions of Montana Tech's Conflict of Interest Policy on the Web at [www.mtech.edu/research/policies/Policies\\_and\\_Procedures.html](http://www.mtech.edu/research/policies/Policies_and_Procedures.html).

**Obtain all Signatures and Approvals PRIOR to Submitting to the Research Office or to the Funding Agency.**

## V. REVIEW AND APPROVAL

**PI and Co-PIs Signatures**—All Investigators involved in this project must sign and certify that all information on this form is correct and that all Investigators have read the information on the Web page and understand the responsibilities as Principal Investigator and Co-PI(s). These responsibilities include but are not limited to complying with the Montana Tech Conflict of Interest Policy, Research Integrity Policy, Invention and Patent Policy (MUS) (links to these policies are at [http://www.mtech.edu/research/policies/Policies\\_and\\_Procedures.html](http://www.mtech.edu/research/policies/Policies_and_Procedures.html)) and the applicable MTech Environmental Health and Safety Policy (located in the Principal Investigators Handbook).

**Department Head(s)**—Department Head/Program Director/Unit Leader must review the requirements of the proposal and, by signature, certify review of **Section II** and that staff time or individuals involved, space, equipment, facilities, hazardous material disposal, alterations, cost sharing funds, etc. required for this project are available or are a part of the direct costs requested in the proposal.

**Dean(s)**—Dean(s) / MBMG Director must review the requirements of the proposal and, by signature, certify review of **Section II** and that staff time or individuals involved, space, equipment, facilities, hazardous material disposal, alterations, cost sharing funds, etc. required for this project are available or are a part of the direct costs requested in the proposal.

**VCAA&R** (if required)—The Vice Chancellor for Academic Affairs must sign if indicated in **Section II**.

**Physical Plant Director** (if required) —If the proposed work will result in additional space or any building alterations, approval is required by the Physical Plant Director.

**Institutional Review Board**—If the proposed work will utilize human subjects, the signature of the Institutional Review Board Campus Representative is required.

**Environmental Health and Safety**—If the proposed work will result in the use of hazardous materials or the generation of hazardous wastes, the signature of the Environmental Health and Safety Director is required.

**Budget Approval**—The Director of Sponsored Programs and Grant Accounting must review and approve all proposals for budget accuracy and must sign as indicated.

**Associate Vice Chancellor for Research**—The Associate Vice Chancellor for Research must approve all proposed cost sharing/matching funds. The AVCR is also the only **Authorized Institutional Representative** for final approval and certification of ALL Grant and Contract applications submitted through Montana Tech.