

Instructions for Completing TTU Proposal Endorsement Form

The Proposal Endorsement Form (PEF) provides a mechanism to: 1) ensure all individuals, academic units, and administrative units associated with a proposal to be submitted to an external agency for consideration of funding are aware of their roles/responsibilities on the project; 2) ensure necessary approvals prior to proposal submission; 3) facilitate compliance checks for projects; and 4) allow tracking of submitted proposals.

A completed PEF with required signatures must be submitted to the Office of Research along with a copy of each proposal and associated budget at least 24 hours before the proposal is to be submitted to the agency for review and consideration of funding. A new PEF is required for significant project revisions (e.g., following changes in scope and/or budget prior to award issuance; for new/continuation/supplemental funding requests; a change of any kind related to TTU's cost share commitment; or significant changes in academic faculty effort).

The following instructions detail item-by-item information for completing the PEF which may be typed or filled out on the web and then printed out.

1. Project Title -- Provide descriptive heading for your proposed project.
Must be the same title that appears in the proposal.

2. Funding Agency -- Input agency information:

- i. Name
- ii. Address
- iii. Contact information

Submission Type -- Check one:

New Proposal -- The proposal is for a new project.

Continuation -- The proposal is requesting funding to continue the project beyond the approved project period.

Revision -- Proposal is a revision of a proposal submitted at an earlier date.

White Paper -- A preliminary proposal or research idea. Only the PI signature is needed.

Proposed Project Period -- Input start/stop dates (MM/DD/YYYY).

Note that these dates represent the entire anticipated project period.

3. Grant Personnel

Provide name, personnel code, college, department, phone extension, campus box number, and center affiliation (if applicable) for each individual working on project whether or not agency support is requested.

Personnel codes (reference: National Science Foundation Grants Proposal Guide):

001 -- PI; the investigator(s) assuming primary responsibility for the project.

002 -- co-PI; the individual(s) who will, along with the PI, be responsible for the scientific or technical direction of the project.

003 -- Support Personnel; includes a person who may or may not hold a doctoral degree or its equivalent and is not reported in one of the other categories. Examples include postdoctoral scholars, professional technicians, physicians, veterinarians, system experts, computer programmers, design engineers, etc.

004 -- Bookkeeper; person responsible for maintenance of project-specific expenditures.

005 -- Subcontract Monitor; individual responsible for monitoring the performance of the subcontractor (see [9. Other--Subawards](#) section on page 3 for more details).

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007 -- Senior Personnel; a member of the TTU faculty other than the PI or co-PI who will participate in the project. Faculty from other institutions would also be included in this category.

4. Category

Select one from the following list:

Federal, State, Private, Local, Gifts, State Appropriation(s), Endowment, Tuition, Bonds

5. Project Type

Select one from the list below. Choose the category that best describes the major effort of the project/program.

Research, Instruction, Public Service, Scholarship/Fellowship, Capital Project, Academic Support, Institutional Support, Operational/Maintenance, Clinical Trial, Student Services

6. Agency

- a. Project Funds Requested -- Provide total project funds requested from agency listed in item 2. This total includes both direct costs and Facilities and Administrative (F&A/indirect) costs.
- b. Funded Fac. & Admin Cost Rate -- Input rate.
 - The federally negotiated F&A rate based on a percentage of modified total direct costs (MTDC) is to be charged on all federal projects.
 - The applicable rate effective as of July 1, 2008 is 39.5% of MTDC for activities conducted mainly or exclusively on campus and 15% of MTDC for activities conducted mainly or exclusively off campus.
 - MTDC is the sum of Total Direct Costs EXCLUDING capital expenditures (buildings, individual items of equipment (those items with a useful life of more than one year and acquisition cost greater than \$5,000), alterations and renovations). Also EXCLUDED is that portion of each subaward in excess of \$25,000 and flow-through funds. Flow-through funds are those funds that flow through the university accounting system but the university does not provide support to these activities. An example is fraternity or society funds in which the university acts as a banker.
 - The state established F&A rate based on a percentage of total direct costs, including equipment, is to be charged on all state projects (rate currently 15%).
 - The minimum that may be charged for projects funded by industry is the federally negotiated rate.
 - In cases in which the agency will not support the normal TTU F&A rates, attach supporting documentation. Note: this information is normally provided in solicitations, request for proposals/applications, program announcements, etc.
 - Other rates may be required for federal instruction/training projects or projects conducted off campus. Reference 'Indirect Costs on Grants and Contracts | Policy 3.0' at http://www.tntech.edu/research/pnp3_idc.htm for more details.
 - **If full F&A rate is not requested, cost sharing is not allowed unless it is involuntary (TTU Office of Research Policy 2.0).**
- c. Funded Fac. & Admin Cost Amt. -- Provide amount of F&A funds requested from agency (calculated by multiplying 6b by appropriate base).

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d. 39.5% of MTDC -- Input calculated value.

7. Cost Sharing

- a. Salaries, Wages, and Benefits -- Provide total amount of Salaries, Wages, and Benefits to be cost shared and the source of the cost share (center, department, unit, etc.). Also if cost sharing on these is to be provided by an entity outside TTU, provide amount and source. The cost shared is an amount in addition to that requested from the agency.
- b. Other Modified Direct Costs -- Input other modified direct costs to be cost shared.
- c. Total Modified Direct Costs -- Input total of 7a and 7b.
- d. 39.5% of MTDC -- Input value calculated from 39.5% of cost shared MTDC (7c).
- e. Other Cost Sharing (equipment, etc.)--Input other cost sharing not included above.
- f. Total Cost Sharing -- Input total of 7c, 7d, and 7e.

Check whether cost sharing is **Voluntary (not required)** or **Involuntary (Required)**.

8. Other

Check each box with either a 'Yes' or 'No' response.

Does this proposal include extra compensation? If yes, agency approval required.

Does this proposal/project involve any restricted data, inventions, or proprietary information? This question relates to intellectual property and export control issues. It does not relate to IRB-related activities as these are addressed further below.

Subawards/consultants included in proposal? If so, list Subcontract Monitor in Section 3-Grant Personnel. The Subcontract Monitor generally will be the individual to ensure that: 1) deliverables are received; 2) financial obligation of the institution does not exceed the contract pricing; and 3) services are in compliance with the terms and conditions of the contract.

Will this project include any export control restrictions?

Will this project involve restrictions on research participation or dissemination of results? This question relates to export control issues.

Involves Human Subjects? Date submitted for IRB Committee review: Self-explanatory. It is preferred by the Office of Research staff and often required by the funding source that research involving human subjects be submitted for IRB Committee review prior to proposal submission. Check solicitation for additional information.

Involves Animal Care and Use? Date submitted for Animal Care and Use Committee review: Self-explanatory. Check solicitation for additional information.

Involves recombinant DNA molecules/infectious or biohazardous agents/radiological hazards? If 'Yes', please specify: Self-explanatory. Check solicitation for additional information.

Computer Purchase Required? Self-explanatory.

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Equipment to be Purchased? Equipment is defined (per TTU [Inventory Control Policies and Procedures: 1. Equipment](#)) as all nonexpendable personal property, such as machinery, implements, tools, furniture, vehicles and other apparatus with a unit cost of \$5,000 or more and a minimum useful life expectancy of one year. The cost of equipment includes the purchase price, transportation costs, installation costs and other direct costs of readying for use.

Space available for computer/equipment purchases? Self-explanatory. Department Chair/Center Director/Dean approval required.

9. Certifications -- Self-explanatory.

10. Comments -- Self-explanatory.

APPROVALS (In Sequence) -- Self explanatory.

Submit the completed PEF with signatures along with a copy of the proposal and associated budget to the Office of Research at least 24 hours before the proposal is to be submitted to the agency. Once the submitted information has been reviewed and approved by the Office of Research staff, either the PI or Center of Excellence contact person will be notified that the PEF has been signed. At that point, the proposal package is approved for electronic submission (by the Office of Research staff) or postal service/carrier delivery, per agency requirements.

Tennessee Technological University
Office of Research

Proposal No. _____

PROPOSAL ENDORSEMENT FORM

1. Title: _____
2. Funding Agency _____

Contact Information
(address/agency contact) _____

Submission Type
New Proposal ___ Continuation ___ Revision ___ White Paper ___ Proposed Project Period ___/___/___ to ___/___/___
Only the PI's signature is needed.

3. Grant Personnel

Table with 7 columns: Name, Personnel Code, College, Dept., Ext., Box, Center. Includes Personnel Codes: 001-PI; 002-Co-PI; 003-Support Personnel; 004-Bookkeeper; 005-Subcontract Monitor; 007-Senior Personnel

4. Category _____

5. Project Type _____

6. Agency

a. Project Funds Requested \$ _____
b. Funded Fac. & Admin Cost Rate* _____
c. Funded Fac. & Admin Cost Amt. \$ _____
d. 39.5% of Modified Total Direct Costs \$ _____

* Attach supporting documentation for F&A rate not approved by Office of Research. If full F&A rate is not requested, cost sharing is not allowed unless it is involuntary (TTU Office of Research Policy 2.0)
Modified Total Direct Costs: This is the sum of Total Direct Costs EXCLUDING capital expenditures (buildings, individual items of equipment (those items with a useful life of more than one year and acquisition cost greater than \$5,000) alterations and renovations). Also EXCLUDED is that portion of each subaward in excess of \$25,000 and flow-through funds. Participant Support Costs are typically excluded from the MTDC calculation by NSF. Check with the funding agency to ensure compliance.

7. Cost Sharing**

Table with 6 columns: Center, TTU, Source of TTU Cost Share, Other, Source of Other Cost Share. Rows include Salaries, Wages, & Benefits; Other Direct Costs; Total Direct Costs; 39.5% of MTDC; Other Cost Sharing (equipment, etc.); Total Cost Sharing.

** Cost Sharing: ___ Voluntary (not required) ___ Involuntary (Required)

8. Other

Yes No

- Is extra pay requested? If 'yes', agency approval is required (OMB A-21)
Does this proposal/project involve any restricted data, inventions, or proprietary information?
Subawards/consultants included in proposal? If so, list Subcontract Monitor in Section 3 - Grant Personnel.
Will this project involve restrictions on researcher participation or dissemination of results?
Will this project include any export control restrictions?
Involves Human Subjects? Date submitted for Institutional Review Committee for Human Subjects (IRB) review:
Involves Animal Care and Use? Date submitted for Animal Care and Use Committee review:
Involves recombinant DNA molecules/infectious or biohazardous agents/radiological hazards?
Computer purchase required?
Equipment to be purchased?
Space available for computer/equipment purchases?****
****If no, are additional project funds requested to meet space, electrical, and/or maintenance needs?

9. Certifications: By signing and submitting this form, (1) the principal investigator(s)/co-PI's/project director(s) provide(s) the certifications shown on the attached Certifications, Disclosures and Assurances Form and (2) the Center Director(s) certifies that the project addresses one or more goals of the Center.

10. Comments: (e.g., Center Research Area)

APPROVALS (In Sequence) MUST be signed by PI and Co-PIs, and appropriate administrators [Director(s), if applicable, Chairperson(s), Dean(s), and, if applicable, Research Liaison Officer] PRIOR to submission to Office of Research.

Principal Investigator(s)	Date	Co-PI/Senior Personnel/Support Personnel	Date
Co-PI/Senior Personnel/Support Personnel	Date	Co-PI/Senior Personnel/Support Personnel	Date
Co-PI/Senior Personnel/Support Personnel	Date	Co-PI/Senior Personnel/Support Personnel	Date
Co-PI/Senior Personnel/Support Personnel	Date	Co-PI/Senior Personnel/Support Personnel	Date
Co-PI/Senior Personnel/Support Personnel	Date	Co-PI/Senior Personnel/Support Personnel	Date

ADMINISTRATIVE SIGNATURES REQUIRED

Center Director(s)	Date	Project Director's Dean or Liaison Officer	Date
Center Director(s)	Date	Project Director's Dean or Liaison Officer	Date
Departmental Chairperson(s)	Date	Engineering Dean or Liaison Officer	Date
Departmental Chairperson(s)	Date	Office of Research	Date
Departmental Chairperson(s)	Date		

CERTIFICATIONS, DISCLOSURES AND ASSURANCES

**Directions: PI, Co-PIs, Senior Personnel and Support Personnel initial where appropriate; then sign form
 One form per investigator, senior or support personnel**

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

(Reference: Office of Research Policy 11.0, Certification Regarding Debarment, Suspension, and Other Responsibility Matters)

The Investigator(s)/Project Director(s) certify to the best of their knowledge and belief, that they

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

CERTIFICATION REGARDING DRUG-FREE WORKPLACE

(Reference: Office of Research Policy 12.0, Certification Regarding Drug-Free Workplace)

In compliance with the Federal regulations regarding the Drug-Free Workplace Act of 1988 and in accordance with TTU's policy dated March 15, 1989, to all faculty and staff, persons employed on grants or contracts are prohibited from the unlawful manufacture, distribution, dispensing, possession or use of controlled substance in the University's workplace (property owned or controlled by Tennessee Technological University) or while performing duties as an employee of Tennessee Technological University. Controlled substances include such drugs as opium, opium derivatives, hallucinogens (like marijuana, mescaline, peyote, LSD, psilocybin), cocaine, amphetamines, codeine, heroin and morphine.

Employee Agreement

As a condition of employment, I have read the University's policy (P/P 27.0) and TTU's statement on maintaining a drug-free workplace and will

- (a) abide by the terms of the policy and the statement*; and
- (b) notify my supervisor of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction.

*Copies of the policy and the statement are available in the Office of Research and Graduate Studies.

CONFLICT OF INTEREST

(Reference: Office of Research Policy 9.0, Conflict of Interest for Externally Funded Projects and TBR Policy 1:02:03:10, Conflict of Interest)

Each Investigator/Project Director must respond to each question. If an individual answers "yes" to any questions, he/she must explain in detail on a separate sheet of paper which must be forwarded to the Office of Research at the time of submission of a proposal.

1. Are you or any member of your immediate family (spouse, parents, parents-in-law, siblings, children, other relatives living at the same address as the employee, or reported as dependents on federal income tax forms) an officer, director, partner, trustee, employee, advisory board member, or agent of the external organization funding this project or of any organization from which goods and services will be obtained under this project?
 _____ Yes _____ No
2. Do you or any immediate family member have any significant financial interest including, but not limited to, salary or other payments for services (greater than \$10,000 per year from sources other than the employee's TBR institution), equity interest (greater than \$10,000 in value or more than 5% of the ownership interest in a single entity), and intellectual property rights in the external organization funding this project or of any organization from which goods and services will be obtained under this project?
 Yes _____ No _____
3. Do you have any affiliation with the external organization that would diminish your ability to fulfill your paramount obligations to your students, your colleagues, or the University; or have you involved any student in a proprietary capacity with the external organization? _____ Yes _____ No

_____ I certify that I do NOT have any significant financial interests associated with the aforementioned proposal/project.
 _____ I DO have a significant financial interest associated with the aforementioned proposal/project. I have disclosed this interest in accordance with the Tennessee Board of Regents' System and Institutional Policy.

CERTIFICATION OF LOBBYING

Each Investigator/Project Director must respond certifying that no lobbying will be done prior to or after the proposal has been approved. If an individual answers "yes," he/she must explain in detail on a separate sheet of paper which must be forwarded to the Office of Research at the time of submission of a proposal.

To the best of your knowledge has any lobbying activities been conducted relative to this proposal? _____ Yes _____ No

SIGNATURE

Typed Name	Signed Name	Date	Role (PI, Co-PI, Senior Personnel, Support)
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