

PREPARATION OF INTERNAL APPROVAL FORM NEW

INTRODUCTION

All proposals that are to be submitted to an external organization (government, industry, foundation, etc.) for support of University-based projects must be submitted for appropriate review and approval prior to mailing. The Internal Approval Form (IAF) is to be completed by Applicants and submitted to the Office of Sponsored Research and Programs (OSRP) **at least 2 work days prior to the mailing deadline**. Whenever the proposal, grant or contract requires signature by the University Chief Financial Officer, an additional day will be required for review prior to the submission.

OSRP will obtain final approval from an authorized University representative, make required number of copies, and mail (for next day delivery). Costs for copying and mailing will be borne by SRP. If special binding is required, arrangements for copying and binding, and costs are the responsibility of the Applicant. SRP will do its best to process proposals submitted with less than 2 work days remaining before the mailing deadline; however, copying, mailing and associated costs will be the responsibility of the Applicant. The following information is provided to assist Applicants in completing the IAF. Additional Information can be found on the OSRP Web Page (<http://www.srp.missouristate.edu>). Please contact OSRP (Ext. 6-5972) if you require assistance.

For those who will be entering information using Microsoft Word or Adobe PDF program:

1. The IAF has been prepared so that information is entered into cells, even if all borders are not shown.
2. In most cases, you should be able to enter the requested information within the appropriate cell without scrolling off the pages. Any additional information should be provided in an additional paper attachment.
3. You can use the the "down arrow" key, "TAB" key or the mouse to move among cells. No data can be entered beyond the original length of a cell because the document has been protected from any changes to the cells.
4. For the Pdf version you can click on the "Highlight Fields" section that will highlight in a light blue color all the required fields to be entered.

Important Information:

Assurances:

The Public Health Service (NIH is a component) and NSF have new compliance requirements regarding assurances. The University is re-required to secure and retain a written assurance from the Principal Investigator (PI) and Co-Principal Investigators (Co-PI) prior to submitting an application. While this assurance is no longer required as part of the submitted application, it remains a compliance requirement. Therefore, we must retain a unique signature and date for each submitted application. This assurance must be available to the sponsoring agency or other federal officials upon request.

Such an assurance must include at least the following certifications:

1. that the information submitted within the application is true, complete and accurate to the best of the PI's and Co-PI's knowledge;
2. that any false, fictitious, or fraudulent statements or claims may subject the PI's and Co-PIs to criminal, civil, or administrative penalties; and
3. that the PI and Co-PIs agree to accept responsibility for the scientific conduct of the project including submission of required progress reports if a grant is awarded.

In addition, NIH and NSF also require grantee institutions and investigators to comply with the requirements of 42 CFR Part 50, Subpart F, "*Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought.*" That subpart promotes objectivity in research by establishing standards to ensure there is no reasonable expectation that the design, conduct, or reporting of research funded under PHS grants or cooperative agreements will be biased by any conflicting financial interest of an investigator.

The "*Conflict of Interest*" section of the IAF has been revised to comply with this requirement. This also will be required of persons in organizations to which subcontracts are to be issued.

A. INVESTIGATOR INFORMATION:

Investigators: List the Principal Investigator/Project Director and others who are to be named as Applicants. If more than three are appropriate, include this information in the Remarks Section.

- **Principal Investigator (PI):** The person with overall responsibility for the technical and fiscal management of the project.
- **Co-Principal Investigators (Co-PI) and Collaborators:** These are other faculty members or other significant individuals who bring specific expertise to the project.

Sponsoring Agency: Identify the sponsor and include complete mailing address and any special requirements for packaging with the proposal.

Deadlines for Submission: Applicants must determine the deadline for mailing of proposals. Please make sure that you differentiate between whether the published deadline is for postmarking the package or arrival at the sponsor's office. The receipt date for electronic submission must be matched with the standard time the agency has indicated.

FINANCIAL INTEREST DISCLOSURE/CONFLICT OF INTEREST POLICY: **NEW**

Each investigator in an externally sponsored project must read the Financial Interest/Conflict Interest Disclosure Policy. If there is not any **actual or potential conflict of interest**, mark the appropriate box and sign the form. If there is an actual or potential conflict of interest, the Financial Interest/Conflict of Interest Disclosure Form must be completed and submitted with the IAF. Those who are going to receive compensation from the project through the University payroll process **do not** have to complete this form. The Policy and Form are available in the "Financial Interest/Conflict of Interest Disclosure" section of the SRP Web Page.

The financial Conflict of Interest Assurance and Disclosure Form is **REQUIRED** for all investigators for proposals submitted to NSF and PHS (including NIH), regardless of the response to the questions on the form.

B. SUBMISSION INSTRUCTIONS: **NEW**

Please indicate the method the proposal application must be delivered as well as the funding agency to which it must be directed.

C. PROPOSAL/PROJECT INFORMATION:

Using the information in the proposal budget, provide information about the anticipated costs for the project. Direct costs include those expenditures for personnel (salary and fringe), equipment, supplies, travel, consultants (non-MSU employees), subcontracts (payments to be made to other Universities, businesses, etc.) and other expenses. Indirect costs (sometimes referred to as F&A — facilities and administration) are to be charged for all externally sponsored projects at the University's federally approved rate of **42% of salary and fringe benefits** unless the sponsoring agency indicates a reduced rate or no indirect costs can be included. Any

reductions in the University's federally approved Indirect Cost rate must be justified in the Remarks Section. Further details on how to determine salary and fringe benefits for faculty, staff and students are provided in the "Development of Budget" section of the SRP Web Page.

CFDA #: Federally funded programs have a designated number in the Catalog for Federal Domestic Assistance. The CFDA # is needed for grants or contracts received by the University either directly from a federal source or indirectly from a state agency, other university or company. In most cases the number is provided in the program announcement or can be found on the federal agency's web site. If federal funds are to come from a non-federal source, contact this source and request the CFDA # for the program.

PROJECT TYPE: Select the categories that best describes the general purpose(s) for the project.

Research — purpose includes either basic (new knowledge) and applied (application of existing knowledge to solve problems) research or a combination of basic and applied research. Research projects generally result in the dissemination of results in scholarly journals or other publications and/or the development of products that could be subject to intellectual property protection. The research category could also encompass the creation of artistic and literary works.

Basic Research - Systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. **NEW**

Applied Research - Research designed for the purpose of producing results that may be applied to real world situations. **NEW**

Education - purpose is to provide courses, conferences, workshops, seminars, etc. that are to be provided to University students and employees, as well as for other organizations.

Service - purpose is to provide assistance to organizations or individuals.

Equipment - purpose is to acquire equipment for use by the University in its education, research and service activities.

NOTE:

Control of Confidential Information: Will the project involve the exchange of confidential information, thereby requiring that those with access must agree to not release the information? The sponsoring agency usually will have a form available for completion of those individuals who will have access to this information. These forms should be reviewed by SRP prior to submission to the sponsoring agency. If a form is not prescribed, SRP can assist in the preparation of a form.

Intellectual Property Rights: Will the project involve materials potentially subject to legal protection, e.g. development and/or testing of proprietary materials, production of results that could be subject of patents, copyrights or trade secrets? Will the project require that MSU and its personnel must waive their intellectual property rights? If answered in the affirmative, contact SRP in advance of proposal submission to ensure that the project is conducted in accordance with University policy and sponsor's policies and regulations.

Export Control - include an oral or written disclosure of information, visual inspection, or actual shipment outside the U.S. of technology, software/code or equipment to a foreign person. **NEW**

Other - please provide a brief statement in an additional document if the purpose(s) do not fit into the listed categories. Attach this document to the IAF.

D. COMPLIANCE INFORMATION

REQUIRED PROPOSAL REVIEWS: Depending on the nature of the proposal, review by University Committees may be required prior to submission. Information on committee responsibilities, review forms and points of contact and other information associated with these questions can be found in the "University Committees' Responsibilities and Forms" section of the SRP Web Page. Please mark those that are applicable and explain relevance and/or status of review in Remarks Section on IAF.

Protection of Human Subjects Institutional Review Board (IRB): Does the project involve human subjects, e.g. completion of surveys, serving as subjects in experiments, etc.? All projects to be conducted by MSU personnel involving human subjects are to be submitted for review and approval to the IRB. Some sponsoring

agencies require that the proposal package contain certification from the head of the IRB that the proposal has been approved. Others may require this certification prior to awarding the grant or contract.

Institutional Animal Care and Use Committee (IACUC): Does the proposal involve the study or use of vertebrate animals? All projects to be conducted by MSU personnel involving vertebrate animals are to be submitted for review and approval by the IACUC. Some sponsoring agencies require that the proposal package contain certification from the head of the IACUC that the proposal has been approved. Others may require this certification prior to awarding the grant or contract.

Institutional Biosafety Committee (IBC): Does the proposal involve the study or use of recombinant DNA techniques and other biohazards (i.e., infectious or venomous agents); Will you be consulting with researchers on bio-safety procedures; or will you have to train faculty, staff, and students involved in bio-hazardous research to obtain compliance with appropriate rules; Are there issues with biosafety personnel at state and federal agencies, industries, and other universities; and Does surveillance of laboratory accidents involving bio-hazardous agents be part of your research? Some sponsoring agencies require that the proposal package contain certification from the head of the IBC that the proposal has been approved. Others may require this certification prior to awarding the grant or contract.

International Student Exchange Programs: Projects involving international student exchanges require prior review and approval by the Dean of the University College.

Long Term Commitments: Does the proposal commit the University to sustain a project's activities after the termination of a sponsor's support? If answered to the affirmative, department/unit/dean/vice president signatures indicate internal resources exist to sustain the project, and that appropriate approvals have been obtained where utilized resources are beyond control of a department/unit.

Export Control Regulations: Projects involving "Export" which is defined very broadly to include an oral or written disclosure of information, visual inspection, or actual shipment outside the U.S. of technology, software/code or equipment to a foreign person. **NEW**

E. BUDGET AND COST SHARING INFORMATION: **NEW**

Cost Sharing Reporting Requirements:

To report cost-sharing expenditures, Principal Investigators (PI) work with Missouri State University grants accountants who report the expenditures to the sponsor as part of the regular fiscal reporting. If cost sharing is to be provided by a third-party agency (other than through a subcontract), documentation equivalent to that cited earlier is required from that agency. The PI is required to obtain the following documentation:

Salary Costs: Grant project personnel such as faculty members, graduate assistants, undergraduate students, postdoctoral associates, technicians, and other support personnel, and interviewers and evaluators. For each person involved in the project, list name (if known), position and percentage of time on the project. Include annual salary increases, effective each July 1. When projects are charged for personnel salaries, the associated fringe benefits are also charged.

Facilities and Administrative Costs: Costs that refer to those incurred for common or joint objectives and therefore cannot be identified readily and specifically with a particular sponsored project ([OMB Circular A-21](#))

Subcontracts: Funding requested for an external organization that is to be a participant in the project, e.g., other universities, non-profit organizations or companies, is to be described in this line item on a budget form. Missouri State requires that the proposed partners confirm their commitment to the project in writing signed by an authorized representative of the organization.

F. PERSONNEL EFFORT & COMPENSATION

Credit-Sharing: **NEW**

PI and Co-PIs are to determine the percent of the total credit for a project. This would include their creative input to the project, the time to be dedicated to the project, as well as the time and effort that they and their administrative unit will dedicate to the administrative unit will dedicate to the project.

A space has been provided for each PI and Co-PI to insert the percent of the Shared Credit that should be assigned to them for a specific project. These percentages will be reviewed by department heads/supervisors and deans/VPs during the submission process for the IAFs'. Once an award is made, these percentages will be the basis for distribution of recovered indirect costs in accordance with the [Distribution of Indirect Costs Policy](#). These percentages also will be used to assign credit of these awards to the PI/Co-PIs and their home units in monthly and annual reports of institutional funding.

NOTE:

Missouri State personnel who are to receive compensation from the sponsored project and/or whose time is contributed as a part of the University commitment must complete this section. If a reduction/reassignment of time and of University duties and responsibilities is required for work to be performed on this project, the Applicant must indicate in the this section of the IAF what the source of funds will be to replace the Applicant in performing those duties and responsibilities. For faculty with 9-month appointments, maximum summer salary is limited to the equivalent of 3 months of academic year salary from all sources (teaching and externally funded projects) unless restricted by sponsor's policies. In most cases, faculty and other exempt persons (academic administrators and professional staff) who are to be compensated from an externally funded project will receive these funds as a part of their base annual, academic year or summer salary. Under some circumstances additional compensation may be warranted. A policy for extra compensation is to be submitted to the Board of Governors for approval. Once approved this policy will be distributed to departments and units and will appear in the "Other Policies Related to Sponsored Projects" section of the SRP Web Page. Signatures by department/unit/dean/vice president indicate approval of the requested release time, source of funding for replacements, and requests for extra compensation. Once the grant/contract is received, Personnel Action Forms are to be submitted identifying the grant/contract account number as a source of payments to the appropriate individuals.

G. ABSTRACT Non technical summary of the project suitable for publication in University publications.

ABSTRACT: Please provide a non-technical summary that would be suitable for use in University publications.

H. UNIVERSITY ENDORSEMENTS

APPROVALS: Proposals are to be signed by Principal Investigator(s), submitted for review and approval to the department head (or unit/center head), and dean (or vice president) prior to forwarding to SRP. Additional signatures are required if the project requires the commitment of resources that are not under the direct control of those who have signed under the "Required Approval" section. For example, use of facilities or funds not under the control of the dean of a college requires approval of those who are responsible for these resources.

This section must be signed by all the relevant authorities giving their agreement and commitments to the project and the cost sharing commitments that have been detailed in the proposal. Any additional endorsements that may be required will be identified by the Office of Sponsored Research and Programs and routed for signatures.

NOTE:

REMARKS: Provide additional information not fully explained in other sections of the IAF, by providing on a separate sheet any additional information deemed important and necessary, and staple it to the IAF.

FINAL CHECKLIST: Please review the materials being submitted with the IAF to ensure that all necessary information is provided for submission of the proposal to the sponsoring agency. If the project involves other universities or companies, the IAF must include commitments by the organizations' authorized representatives specifying their responsibilities (what will be done and what will be delivered) and budget. The budget should be in the format required by the sponsor and be incorporated into the proposal where appropriate. In those cases where MSU must complete Certification and Assurances Forms (Drug Free Workplace, Equal Employment Opportunity, etc.), the sponsoring agency also may require these other organizations complete these forms prior to submission of the proposal.

Once the IAF has been signed by all persons, the Office of Sponsored Research and Programs will provide you with an electronic copy (Scanned PDF document) for your records.