Office of Sponsored Projects & Grants Administration
Project Approval Form (PAF)
Instructions for Completion

Oregon TECH

Office of Sponsored Projects & Grants Administration

Proposal Approval Form (PAF)

1. PAFs are due 14 business days before the proposal deadline
2. For information and assistance, contact SPGA at 541.885.1734, via email SPGA@oit.edu, or visit online at www.oit.edu/SPGA

I. PROPOSAL TITLE AND SPONSOR

PROPOSAL TITLE:	
SPONSOR AGENCY: (Provide a link to RFP website or attach a copy of guidelines)	

II. PROJECT KEY PERSONNEL

PROJECT PERSONNEL	NAME	TITLE	DEPARTMENT/COLLEGE	PERCENT CREDIT*
Principal Investigator/ Project Director				
Co-PI/Co-PD/Co-I				
Co-PI/Co-PD/Co-I				
Co-PI/Co-PD/Co-I				

* Percent credit is not the same as key personnel's percent effort committed to the project. Percent credit is used by Grants Accounting to determine portions of the recovered Facilities and Administrative (F&A) Costs credited to investigators' departments and colleges. The total credit must add up to 100 percent.

III. PROPOSAL INFORMATION

PROPOSAL TYPE

- ☐ New
- ☐ Continuation – Banner Index: _____
- ☐ Renewal – Banner Index:
- ☐ Supplemental Funding – Banner Index:
- ☐ Resubmission – Original SPGA Ref. No.:
- ☐ Co-Submission – Partner Institution:

PRIMARY ACTIVITY

- ☐ Instructional/Program Development
- ☐ Applied Research
- ☐ Research or Instructional Equipment
- ☐ Service/Community Project
- ☐ Workforce
- ☐ Other (Specify):

AWARD TYPE

- ☐ Federal
- ☐ State
- ☐ City/County
- ☐ Foundation*
- ☐ Industry
- ☐ Subaward
- ☐ Other (Specify):

* Oregon Tech Foundation approval is required prior to submission of foundation proposals. Contact Oregon Tech Institutional Advancement at least two weeks prior to the proposal submission date.

SUPPORT DOCUMENTATION (ALL REQUIRED TO BE ATTACHED AND/OR ELECTRONICALLY SUBMMITED TO SPGA)

- ☐ Statements of Project Scope and Deliverables OR a Draft Proposal
- ☐ Proposal Draft Budget
- ☐ Executed Financial Conflict of Interest (FCOI) Disclosure Forms
- ☐ All Required Regulatory Compliance Documentation, as Appropriate.

Reset Form

Please provide the title of your proposal and a link to the RFP website, if available, here. If a web link is not available, a copy of the RFP guidelines must be attached to your submission.

Provide key personnel who will be involved in your research project. List their name, title, the department or college they are affiliated to and the **percent credit** it is anticipated your team has determined to request for distribution of the recovered F&A funds for the project.

Provide the proposal type. Please note, some types require the Banner Index associated with the existing projects. If this is a re-submission of a proposal you had previously submitted, you should include the proposal reference number the SPGA assigned to that proposal.

What **primary activity** will this project involve? You may only select one option.

Please identify the award type. Note that Oregon Tech Foundation approval is required prior to submission of foundation proposals.

These documents must be attached to your proposal.

Definitions

The **Principal Investigator (PI)** is the individual responsible for the preparation, conduct, administration, and deliverables of a research grant or sponsored project.

Co-PI's are key investigators in the management, development and/or execution of a research study or project.

Percent Credit is not the same as key personnel's percent effort committed to the project. For each project, the University charges Facilities and Administrative (F&A) costs using a rate approved by the federal government. Oregon Tech Finance and Administration provides a fraction of F&A to departments and colleges. Percent credit is used by Grants Accounting to determine portions of the recovered Facilities and Administrative (F&A) costs credited to investigators' departments and colleges. The total credit must add up to 100%.

Primary Activity refers to the activity that is primary to the proposal. Even though other options may also apply, you may only select that which you consider as primary. For example, your research may involve purchasing equipment and student involvement but if the primary activity is applied research, then only that category should be selected here.

IV. PROJECT INFORMATION

PROJECT REQUIRES (mark all that apply)	PROJECT SUPPORTS (mark all that apply)
☐ Sponsor Directed Cost Share	☐ Student Tuition
☐ Proprietary Information/Non-Disclosure Agreement	☐ Capital Equipment
☐ Intellectual Property/Invention Disclosure	☐ Faculty Academic Year Release
☐ Additional Space or Renovation of Existing Space	☐ Faculty Summer Salary
☐ Multiple Facilities & Administrative Costs Rates	☐ Consultant Services
☐ University Commitment beyond Award End Date	☐ Subcontracts
☐ University Letter of Commitment	☐ Lab Development/Renovation
PRIMARY ACTIVITY	

V. PROPOSED BUDGET REQUEST

REQUESTED FROM SPONSOR	START DATE	END DATE	DIRECT COSTS ($)	F&A ($)	TOTAL BUDGET ($)
Initial Budget Period					
Cumulative Budget*					

* The cumulative budget is the total project budget, including the initial Budget Period.

VI. PROPOSAL COST SHARE REQUEST

(leave blank if cost share is not required)

SOURCE OF COST SHARE	START DATE	END DATE	IN KIND ($)	INDEX (CASH ONLY)	AMOUNT (CASH ONLY) ($)
Student Tuition					
Faculty Release Time					
Under-recovery of F&A*					
TOTAL					

* Under-recovery of F&A costs represent University costs produced by the difference between Oregon Tech's approved Federal F&A rate and sponsor-authorized F&A rate.

VII. REGULATORY COMPLIANCE

MUST ANSWER ALL QUESTIONS

1. **Human Research Subjects:** YES ☐ NO ☐
   If YES – Are all required Institutional Review Board (IRB) protocols approved?
   ☐ YES – Oregon Tech IRB Protocol No. _____ Signature of PI: _____
   ☐ NO – Protocol Approval Pending
   a) PI must make sure that sponsor permits pending oversight protocol approval at the time of proposal submission.
   b) Oregon Tech IRB approval is required before data collection begins and/or prior to acquisition, use and storage of biohazardous material and/or equipment, or human subjects.
   If YES – Does this work require IRB oversight at another institution?
   ☐ YES – Name of Institution:
   Oregon Tech PI must notify Oregon Tech IRB Committee before submitting a request and supporting documents to the other institution.
   ☐ NO
2. **Subject to U.S. Export Control Laws:** YES ☐ NO ☐
   If YES – Are Technology and Data Control Plans approved?
   YES – Data and Technology Control Plans approved. Signature of PI: _____
   NO – Data and Technology Control Plans Approval Pending

What is required could depend on the funding opportunity announcement, sponsor, university policies, project scope, etc.? Please mark all that apply. See definitions below for additional information.

What types of funding support will the project provide? Please mark all that apply.

Provide the start and end dates of your proposed project as well as the direct costs, F&A and the total budget for the initial period (usually the first year) of the project. Total Budget is the sum of direct and F&A costs. The **cumulative budget** is the corresponding budget elements for the entire project's duration.

Please provide cost-sharing information only if cost sharing is required.

All questions in this box must be answered. Please note that there are two areas where a digital signature is required by the PI. You may use your Adobe digital signature for these signatures.

Definitions

Cost Sharing occurs when a quantified portion of the costs of an award are not paid by the sponsor, but paid instead using resources within a department, college or other institutional index.

Direct Costs are defined the National Institutes of Health (NIH) as follows. "A direct cost is any cost that can be specifically identified with a particular project, program, or activity or that can be directly assigned to such activities relatively easily and with a high degree of accuracy. **Direct costs** include, but are not limited to, salaries, travel, equipment, and supplies directly benefiting the grant-supported project or activity."

Proprietary Information is information a sponsor wishes to keep confidential.

Non-Disclosure Agreement is a legally enforceable contract that establishes confidentiality between two parties—the owner of protected information and the recipient of that information.

Intellectual Property refers to a work or invention that is the result of creativity (or research) to which one has rights, and for which one may apply for a patent, copyright, or trademark.

Cumulative Budget is the total project budget, including the initial budget period.

Institutional Review Board (IRB) must review and approve any research projects that involve human subjects. All research conducted by any Oregon Tech faculty member, staff member, or student using human subjects must have prior approval from the IRB before the research is initiated.

Human Subjects in Research are living individuals about whom investigators (professionals or students) conducting research obtain (1) data through intervention or interaction with individuals or (2) identifiable private

information. Identifiable private information includes any acquired information via self-report, behavior, or observation in which the identity of research subjects is or may readily be ascertained by the investigators or be associated with the information.

Export Control Laws are federal laws that prohibit the unlicensed export of certain commodities or information for reasons of national security or protections of trade.

Principal Investigator/Project Director & Investigators* Certifications

By signing below, I/we hereby affirm and certify that:

1. All statements contained herein are true, accurate, and complete to the best of my/our knowledge.
2. I/We have successfully completed training on federal Financial Conflict of Interest (FCOI). I/We agree to provide a complete, accurate and truthful disclosure for this project as required by University policy and/or other regulations. I/We agree to disclose promptly to the Research and Sponsored Programs Office all significant financial interests, as defined in Chapter V – Grantee Standards of the National Science Foundation Grant Policy Manual (05-131),
   (i) that would reasonably appear to be affected by the sponsored research and/or
   (ii) entities whose financial interests would reasonably appear to be affected by the sponsored research.
3. I/We have submitted to the SPGA executed FCOI disclosure forms for this project.
4. I/We have read and agree to follow current University policies on Intellectual Property (OIT-24-10), the Institutional Review Board for Use of Human and Animal Subjects in Research (OIT-25-010) and other research policies as appropriate.
5. All proposed experiments, procedures, etc. involving human/animal subjects, or biohazards in the proposed project are contained in the regulatory protocols approved or pending approval by the IRB listed above OR no regulatory protocol is required according to University policy for Use of Human and Animal Subjects in Research (OIT-25-010).

* An "investigator" is defined by NSF is any person, regardless of title or position, who is responsible for the design, conduct, or reporting of research.

Principal Investigator/Project Director & Investigators Endorsement (please print name, sign and date)		
Name:	Signature:	Date:
Principal Investigator/Project Director		
Name:	Signature:	Date:
Co-Principal Investigator/Co-Project Director		
Name:	Signature:	Date:
Co-Investigator/Co-Project Director 1		
Name:	Signature:	Date:
Co-Investigator/Co-Project Director 2		
Abdy Afjeh, Ph.D., P.E.	Signature:	Date:
Vice Provost for Research and Academic Affairs:		

Administrative Authorization* (please print name, sign and date)		
PI/PD Department Chair:	Signature:	Date:
PI/PD College Dean:	Signature:	Date:
Co-PI/PD Department Chair:	Signature:	Date:
Co-PI/PD College Dean:	Signature:	Date:
Co-I/PD 1 Department Chair:	Signature:	Date:
Co-I/PD 1 College Dean:	Signature:	Date:
Co-I/PD 2 Department Chair:	Signature:	Date:
Co-I/PD 2 College Dean:	Signature:	Date:
VP for Institutional Advancement (Foundation Grants ONLY):		
Ken Fincher, Ph.D.	Signature:	Date:

* Signature by Administrative Authorities (department chair and/or college dean) confirms approval of all elements of the Proposal Approval Form (PAF), including space allocation/utilization/renovation, resource allocation, instructional reassignment, sponsor-required cost-share commitments, and proposed salary plans.

Please read the information in this section carefully.

Provide the names of each of these individuals but <u>do not submit the document to them for signature.</u>

When SPGA has reviewed the document, it will be sent for signatures to each of the individuals listed here via our electronic signature platform SignNow.

General Notes

This is a fillable PDF and should be filed out on your computer and submitted digitally to the SPGA. Please save a copy for your records prior to sending it. Please label the submitted document according to this format:

PILastName.dd.mm.yyyy

Be sure to attach all requested documents with your proposal and email to spga@oit.edu