

Instructions for Completing the PI Certification and Proposal Information Form

The PI Certification and Proposal Information Form provides basic information needed to review and approve proposals, serves as a checklist for compliance obligations, and provides information for institutional files and databases on grants and contracts. It is for internal purposes only and is not transmitted to the sponsor with the proposal submission.

Proposal Information

PI Name: The first and last name of the Principal Investigator (PI) or Project Director (PD). This is the lead person on the proposal and project team.

PI Department: The departmental affiliation of the PI/PD. This is also the department that will be responsible for the project.

PI S0#: The University ID of the PI/PD.

Proposal Title: The title of the proposal as indicated on the application documents to be submitted to the sponsoring agency. This should be a descriptive title of the work proposed.

Short Title: An abbreviated title for internal use in the University's Banner system. This title is limited to 35 characters (including spaces) and helps University offices identify the proposal when questions arise.

Sponsor: Enter the name of the primary source of the funding (the organization/agency that is being applied to for funding), such as NSF, NIH, NEA, Missouri Arts Council, Missouri Foundation for Health, DESE, etc.

Is this a subcontract?: If another institution is submitting the proposal to the sponsoring agency and will issue a subaward to SEMO, check yes. If SEMO is submitting directly to the sponsoring agency, check no.

- If yes, who is the lead applicant institution?: Enter the name of the institution that will submit the proposal to the sponsoring organization/agency.

Proposal Type:

- New - a new proposal for a project not previously funded by this sponsoring agency
- Renewal - a proposal requesting additional year(s) funding for a project already funded by this sponsoring agency, but whose funding period(s) is/are about to expire
- Continuation - a project already approved for multiple years, but which requires submission of a budget and/or other documents for the next year in the project period.
- Supplement - a proposal for additional funds for an ongoing project during an already approved performance period, usually to add a closely related component to the project, provide additional funding for student researcher assistants, or, occasionally, to cover highly unusual or adverse circumstances.

Proposed Project Start Date: The date that you are requesting that the sponsor funding be available to begin the project. (Note that this is a request only and is generally subject to sponsor ability and discretion.)

Proposed End Date: The date that you will end the proposed project, assuming that the requested start date is met by the sponsor. If the project is a multiyear project, this would be the last day of the final year.

Proposal Submission Deadline Date: The date that the proposal is due at the sponsoring agency. Note that if SEMO is a subcontract on the proposal, the lead applicant institution generally sets an earlier deadline date to allow time to review the materials prior to submitting the proposal to the sponsor.

Project Type:

Select the project type that most closely defines the proposed activity:

- Basic Research - A systemic, intensive study with the aim of attaining fuller knowledge or understanding of a particular subject.
- Applied Research - Research that advances the “state of the art” by expanding upon previous knowledge through the study of improvements in technology, materials, scientific processes, methods, and/or devices.
- Capital Equipment/Construction – A project whose sole or major purpose is to the purchase of major equipment or construction or renovation of facilities.
- Service – A public service project/activity undertaken to benefit a community, state, or region
- Clinical Study/Trial - A research study that uses human volunteers to answer specific health questions; for example, to evaluate the effectiveness and safety of medications or medical devices.
- Other – Use this only for projects that clearly do not fit in any of the other categories. Please provide a short description of the activity.

University Commitments

Please check all that apply and provide additional information as needed.

Cost Sharing/Matching Funds: Cost-sharing (or matching funds) is the portion of the overall project budget not paid by the sponsoring agency. Check this box if the project budget includes funds (cash or in-kind items) from the University or third parties, in addition to those being requested from the sponsoring agency. Note that voluntary cost-sharing/matching funds are strongly discouraged. All cost-sharing/matching funds must be approved by the entity providing them.

University Cash Cost-Sharing/Matching Funds: Indicate whether the cost-sharing/matching funds are mandatory (required by the sponsoring agency) or voluntary (not required by the sponsoring agency). Provide the University index number to be charged for the cash matching if the proposal is funded.

University In-Kind Cost-Sharing/Matching Funds: Indicate whether the cost-sharing/matching funds are mandatory (required by the sponsoring agency) or voluntary (not required by the sponsoring agency). Indicate the University entity (department, college, etc.) providing the item(s).

Third Party Cost-Sharing/Matching Funds: Indicate the source of any non-University funds or contributions included in the project budget. Examples: Name of business, another university, etc.

This type of cost-sharing/matching funds is generally only included to meet sponsor requirements. Note: Documentation of commitment is required from non-University sources.

Overload: Check if the proposal budget includes funds for faculty overload or staff overtime. Appropriate Division Head (VP, Provost, etc.) must be obtained *prior* to routing the proposal for internal approvals.

Reassigned Time: Check if the proposal or proposal budget includes funds for, or a commitment of, course release or release of service time for faculty or restructuring of duties for staff. Appropriate Division Head (VP, Provost, etc.) must be obtained *prior* to routing the proposal for internal approvals.

Potential renovations, space needs, construction, or other facility changes: Check if any of these items are required to conduct the project, house equipment to be purchased for the activity, etc. Coordination with FM is required *prior* to routing the proposal for internal approvals, and additional funding may be required from the sponsor budget or a University department or division.

New course or curriculum development: Check if the proposed project includes a new course or curriculum development. Note that the normal curricular approval process must be followed, and approval must be obtained *prior* to routing the proposal for internal approvals.

Compliance Data

Human Subjects: Indicate whether or not the project includes human subjects. If yes, enter the IRB approval number. If a protocol has been submitted to the IRB but has not yet been approved, state "pending." If a protocol has not been submitted, indicate that submission is planned. Note that some sponsors may expect submission or approval of a protocol prior to submission. In all cases, approval must be received prior to beginning work with human subjects on the project.

Animal Subjects: Indicate whether or not the project includes animal subjects. If yes, enter the IACUC approval number. If a protocol has been submitted to the IACUC but has not yet been approved, state "pending." If a protocol has not been submitted, indicate that submission is planned. Note that some sponsors may expect submission or approval of a protocol prior to submission. In all cases, approval must be received prior to beginning work with animal subjects on the project.

Other Compliance Areas: Please indicate whether or not the project includes any of these areas. ORSP will follow up on any applicable areas to determine any additional requirements for submission. Failure to disclose any of these items may cause extensive delays in beginning the project, be cause for declination of an award, and, in some instances, may result in University disciplinary procedures and/or civil or other penalties.

Certifications

By signing the form and submitting the proposal, the PI is certifying to the items listed. Many of these certifications are required by sponsor guidelines and/or federal regulations. Please read all items carefully, and if you have any questions or have items that must be disclosed, contact ORSP for further guidance.