

INSTRUCTIONS FOR COMPLETING TENNESSEE TECH UNIVERSITY'S PROPOSAL ENDORSEMENT FORM (PEF)

INTRODUCTION

The Proposal Endorsement Form (PEF) provides a mechanism to:

- 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;
- ensure necessary approvals prior to proposal submission;
- facilitate compliance checks for projects; and
- 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. (See signature page of PEF for all required signatures.)

WHEN IS A NEW PEF REQUIRED?

A new PEF is required for new funding requests.

Note: Significant changes in scope or budget, changes in effort, change in cost share commitment, and continuations **do not require a new PEF and will be captured on either the Grant Activation Form (GAF) or Request for Budget or Project Revision form. A fillable PEF can be found on the Office of Research website at the following link: <https://www.tntech.edu/research/forms.php>. After clicking on the form, save it to your computer. You may then open the form in Adobe Acrobat Reader or Adobe Acrobat to complete and print for signatures.*

The following instructions detail item-by-item information for completing the PEF.

INSTRUCTIONS

Proposal No.: Do not complete this section. A proposal number will be assigned by the Office of Research.

Proposal Title: Provide the same title that appears in the proposal.

Funding Agency: Enter the funding agency name.

Agency Address: Enter the agency address provided in the solicitation.

Program Officer Info: Enter agency contact name and contact information.

Submission Type:

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

Proposed Project Period: Input start and end dates (MM/DD/YYYY) for the proposed project. Note that these dates represent the entire anticipated project period.

Category: Select one of the following indicating the source of the funds from the drop-down:

- Federal
- Local
- Private
- State Appropriation(s)
- State
- Tuition

Project Type: Select the category that best describes the major effort of the project/program from the drop-down.

PEF PROJECT TYPE DEFINITIONS:

- ≡ **Research** – includes activities specifically organized to produce research, whether commissioned by an agency external to the institution or separately budgeted by an organization within the institution. Subject to these conditions, the category includes expenditures for individual and/or project research as well as that of institutes and research centers.
- ≡ **Instruction** – includes activities that are part of the institution’s instruction program; including credit and non-credit courses; academic, vocational, and technical instruction; remedial and tutorial instruction; and regular, special, and extension sessions.
- ≡ **Public Service** – includes activities established primarily to provide non-instructional services beneficial to individuals and groups external to the institution. Included in this category are conferences, institutes, general advisory services, reference bureaus, radio and television, consulting, and similar non-instructional services to particular sectors of the community.
- ≡ **Capital Project** – includes activities to construct new facilities or make significant, long-term renewal improvements to existing facilities.
- ≡ **Scholarships and Fellowships** – includes scholarships and fellowships in the form of grants to students, resulting from selection by the institution or from an entitlement program.
- ≡ **Academic Support** – includes activities to provide support services for the institution’s primary missions: instruction, research, and public service. This category includes the retention, preservation, and display of educational materials, such as in libraries, museums, and galleries; the provision of services that directly assist the academic functions of the institution, such as demonstration schools associated with a department, school, or college of education; media such as audio-visual services and technology such as computing support; academic administration (including academic deans but not department chairpersons) and personnel development providing administration support and management direction to the three primary missions; and separately budgeted support for course and curriculum development.
- ≡ **Institutional Support** – includes central, executive-level activities concerned with management and long-range planning for the entire institution, such as the governing board, planning and programming operations, and legal services; fiscal operations, including the investment office; administrative data processing; space management; employee personnel and records; logistical activities that provide procurement, storerooms, printing; transportation services to the institution; support services to faculty and staff that are not operated as auxiliary enterprises; and activities concerned with community and alumni relations, including development and fund raising.
- ≡ **Student Services** – includes activities in the offices of admissions and the registrar and activities with the primary purpose of contributing to students’ emotional and physical well-being and intellectual, cultural, and social development outside the context of the formal instruction program. It includes expenses for student activities, cultural events, student newspapers, intramural athletics, student organizations, intercollegiate athletics (if the program is not operated as an essentially self-supporting activity), counseling and career guidance (excluding informal academic counseling by the faculty), student aid administration, and student health services (if not operated as an essentially self-supporting activity).

- ≡ **Operations/Maintenance** – includes the administration, supervision, operation, maintenance, preservation, and protection of the institution’s physical plant. They include expenses normally incurred for such items as janitorial and utility services; repairs and ordinary or normal alterations of buildings, furniture, and equipment; care of grounds; maintenance and operation of buildings and other plant facilities; security; earthquake and disaster preparedness; safety; hazardous waste disposal; property, liability and all other insurance relating to property; space and capital leasing; facility planning and management; and central receiving.
- ≡ **Clinical Trial** – includes activities conducted as part of a research study designed to test how well new medical approaches work in people.

Grant Personnel: “Grant personnel” refers to anyone who would fall under one of the six categories mentioned in the personnel codes listed on the PEF. This section is divided into three parts. Please provide the name, T-number (assigned to all TTU faculty and staff), personnel code (see list below), college, department, and center affiliation (if applicable) for each individual working on the project whether or not agency support is requested.

PERSONNEL CODES (REFERENCE: NATIONAL SCIENCE FOUNDATION GRANTS PROPOSAL GUIDE):

- ❶ **001-PI:** The investigator(s) assuming primary responsibility for the project. Any individual who holds a full-time position, such as tenured, tenure track, non-tenure track research, director of a state-designated Center or University Center may serve as a Principal Investigator/Project Director for sponsored activities, and be responsible for a contract or grant. In addition, an individual who holds the position of Lecturer, Instructor, Adjunct/Affiliate, Emeritus, or part-time faculty (50% appointment) may serve as a Principal Investigator/Project Director for sponsored activities if he or she receives the approval of his or her chair and dean as shown by their signatures on this form and a tenured or tenure-track research faculty or director is named as co-investigator on the project. Note: Only one individual can be designated as the PI.
- 002-Co-PI:** The individual(s) who will, along with the PI, be responsible for the scientific or technical direction of the project.
- ❷ **007-Senior Personnel:** A member of the TTU faculty other than the PI or co-PI who will participate in the project.
- ❸ **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.
- 4-Bookkeeper:** The person responsible for maintenance of project-specific expenditures. An individual cannot serve as both the PI and bookkeeper on a project and the bookkeeper cannot be paid on the project. Tennessee Tech University (TTU) recovers administrative and clerical salaries as indirect costs and has a formal agreement with the federal government that establishes its indirect cost rate. Therefore, TTU will continue its practice of not directly charging administrative and clerical salaries in sponsored programs, except in rare cases described in another document titled “Guidance About Charging Salaries of Administrative and Clerical Personnel on Grants and Contracts” posted at <https://www.tntech.edu/research/researchcompliance/policies1.php>.
- 5-Subrecipient Monitor:** The individual responsible for monitoring the performance of the Subrecipient (<https://www.tntech.edu/research/researchcompliance/subcontracts.php>).

REQUESTED FUNDS AND REQUIRED COST SHARE:

The table at the bottom of page 1 of the PEF should include all budget related items as submitted to the funding agency (i.e. all requested funds and required cost share). In the “Agency” column, rows 1-4 and 6 will be completed. The other columns will reflect all required cost share amounts including any waived and/or contributed indirect costs that are used to meet the cost share requirement. See examples on the following pages.

DEFINITIONS

- Total Direct Costs (TDC): those costs that relate to “activities or services that benefit a specific project.” Includes salaries and wages, fringe benefits, materials, supplies, services, travel and subawards/consultants.
- Modified Total Direct Costs (MTDC): Modified total direct costs exclude capital expenditures (buildings, individual items of equipment; alterations and renovations); that portion of each subaward in excess of \$25,000; and flow-through funds. In cases of contract renegotiation, indirect costs will need to be accessed on the first \$25,000 of the new contract.

**Note that for some agencies, Participant Support Costs are also excluded from MTDC.*

- Indirect Cost Rate: Tennessee Tech’s federally negotiated Facilities and Administrative (F&A) rate is to be charged on all projects unless specifically limited by the solicitation. The applicable rate is 42% of MTDC for activities conducted mainly or exclusively on campus and 11.5% of MTDC for activities where 50% or more of Tennessee Tech’s portion of the project (not the project as a whole) is conducted off campus. The minimum that may be charged for projects funded by industry is the federally negotiated rate.

**Reference the University’s Policy on Indirect Costs on Grants and Contracts at <https://www.tntech.edu/research/researchcompliance/indirect-costs.php> for more details and further clarification on when to use the off-campus rate.*

- Total Indirect Costs (F&A costs): Costs associated with activities or services that benefit more than one project and are often difficult or impossible to trace, e.g., administrative staff, clerical and support staff, facilities, utilities, etc. Indirect costs are calculated by multiplying the Indirect Cost rate by the MTDC. **In cases in which the agency will not support the federally negotiated TTU F&A rates, documentation supporting such will need to be attached.**

Cost Sharing: If there is cost sharing, which is an amount in addition to that requested from the agency, indicate whether it is mandatory or voluntary. See the University’s Policy on Cost Sharing on Contracts and Grants at <https://www.tntech.edu/research/researchcompliance/cost-sharing.php>.

If there is no cost sharing required, you will leave the Department Cost Share, Center Cost Share, TTU Cost Share and Other and/or In-Kind Cost Share columns blank.

If cost share is required, you will enter it in one or more of the four columns titled Departmental Cost Share, Center Cost Share, TTU Cost Share, and Other and/or In-Kind Cost Share depending on the source of the cost share. The source of each amount of cost share will be entered in the boxes at the top of page 2 of the PEF. Examples are included below and on the following page.

Example 1: No cost share required and full indirect cost rate used

Agency Calculation: $\$75,000 \times 42\% = \$31,500$; $\$100,000 + \$31,500 = \$131,500$

	Agency	Department Cost Share	Center Cost Share	TTU Cost Share	Other and/or In-Kind Cost Share
1. Total Direct Costs	\$100,000				
2. Modified Total Direct Costs	\$75,000				
3. Indirect Cost Rate Used	42%	%	%	%	%
4. Total Indirect Costs	\$31,500				
5. Indirect Cost Waived	--	--			
6. Total Project Funds	\$131,500				
Cost share: <i>Mandatory</i> <input type="radio"/> or <i>Voluntary</i> <input type="radio"/> If cost share is included, provide documentation.					

Example 2: Cost share required and full indirect cost rate used

Department Cost Share Calc.: $\$23,151 \times 42\% = \$9,723$ (contributed indirect costs); $\$23,151 + \$9,723 = \$32,874$

	Agency	Department Cost Share	Center Cost Share	TTU Cost Share	Other and/or In-Kind Cost Share
1. Total Direct Costs	\$100,000	\$23,151			
2. Modified Total Direct Costs	\$75,000	\$23,151			
3. Indirect Cost Rate Used	42%	42%	%	%	%
4. Total Indirect Costs	\$31,500	\$9,723			
5. Indirect Cost Waived	--	--			
6. Total Project Funds	\$131,500	\$32,874			
Cost share: <i>Mandatory</i> <input checked="" type="checkbox"/> or <i>Voluntary</i> <input type="checkbox"/> If cost share is included, provide documentation.					

Example 3: Cost share required and reduced indirect cost rate used

Agency Calculation: $\$75,000 \times 20\% = \$15,000$; $\$100,000 + \$15,000 = \$115,000$

Department Cost Share Calculation: $\$23,151 \times 42\% = \$9,723$ (contributed indirect costs)

TTU Cost Share Calculation: $42\% - 20\% = 22\%$; $\$75,000 \times 22\% = \$16,500$ (waived indirect costs)

	Agency	Department Cost Share	Center Cost Share	TTU Cost Share	Other and/or In-Kind Cost Share
1. Total Direct Costs	\$100,000	\$23,151			
2. Modified Total Direct Costs	\$75,000	\$23,151			
3. Indirect Cost Rate Used (Attach supporting documentation if different from TTU rate)	20%	42%	%	%	%
4. Total Indirect Costs	\$15,000	\$9,723*			
5. Indirect Cost Waived	--	--		\$16,500*	
6. Total Project Funds	\$115,000	\$32,874		\$49,374	
Cost share: <i>Mandatory</i> <input checked="" type="checkbox"/> or <i>Voluntary</i> <input type="checkbox"/> If cost share is included, provide documentation.					

**Note: In some cases, waived or contributed indirect costs cannot be used as part of a cost share requirement. In those cases, the waived and/or contributed indirect costs will be captured on page 2 of the PEF.*

Source of Cost Share: Enter of source of each amount of cost share at the top of page 2 of the PEF.

Information needed for Internal Tracking: In cases where waived or contributed indirect costs are not included in the table on page 1 because they were not allowed to be counted towards the required cost share or no cost share is required, enter the amount of waived and contributed indirect costs in the boxes provided on page 2. For example, if the use of a 20% indirect cost rate was required and no cost share was required, the waived indirect costs (22% x MTDC) would be entered in the box provided for waived indirect costs on page 2 of the PEF. A second example would be if a cost share of \$20,000 in direct costs was provided but contributed indirect costs could not be included. In that case, 42% of the MTDC cost shared would be entered in the box for contributed indirect costs on page 2 of the PEF.

Compliance, Special Notices, Other: By initialing the box at the top of this section, the PI verifies that the responses are true and accurate to the best of his/her knowledge. Check each box with either a “Yes” or “No” response. **These items must be completed by PI and not a proxy.**

- Is extra pay requested? “Extra compensation includes extra pay for research or other activities during the academic year and overload pay for additional teaching outside the normal teaching load. TN eCampus and online courses are counted along with on-ground courses. The combination of these activities must not exceed the 400-hour limit during a nine-month period” (found on TTU’s website at <https://www.tntech.edu/hr> from the “Extra Pay and Summer Pay Instructions” link under the Payroll section).
- 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.
- Are subawards included in proposal? If so, list a Subaward Monitor (Personnel Code: 005) in the Grant Personnel section of the PEF. The Subaward Monitor generally will be the individual who ensures 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 involve restrictions on researcher participation or dissemination of results? This question relates to export control issues.
- Will this project include any export control restrictions? See the University’s Policy on Export Control and Trade Sanctions at <https://www.tntech.edu/research/researchcompliance/export-controls.php>. Also see the CITI training at <https://support.citiprogram.org/customer/portal/articles/1985819-export-compliance-ec-course>.
- Involves Human Subjects? Date submitted for the Institutional Review Board for the Protection of Human Subjects (IRB) Committee review: 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. Also see the Office of Research Policy 730: Institutional Review Board for the Protection of Human Subjects (found at www.tntech.edu/research/researchcompliance/policies1.php) and the IRB site at <https://www.tntech.edu/research/committees/humansubjects/index.php>.
- Involves Animal Care and Use? Date submitted for the Institutional Animal Care and Use Committee (IACUC) review: Check solicitation for additional information. Also see the Office of Research Policy 740: Animal Care and Use (found at www.tntech.edu/research/researchcompliance/policies1.php)

and the IACUC site at <https://www.tntech.edu/research/committees/animalcare.php>.

- Involves recombinant DNA molecules/infectious or biohazardous agents/ radiological hazards? If “Yes,” please specify and contact Environmental Health and Safety Services at (931) 372-3524. Check RFP for additional information.
- Computer purchase required? If yes, contact Information Technology Services at (931)372-3387 or helpdesk@tntech.edu.
- Equipment to be purchased? If yes, contact Purchasing at (931) 372-3491. Equipment is defined (per the TTU Procurement Manual found at https://www.tntech.edu/purchasing/policies_procedures.php as “any physical resource (other than land, buildings or attractions thereto) that will benefit a program for more than one (1) year and will cost more than \$4,999.99.” 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? If space is not available for expected purchases, contact Facilities at (931) 372-3227 and get approval from Dept. Chair/Center Director/Dean.
- The next five items are certifications, disclosures, and assurances regarding debarment, suspension, lobbying, and other responsibility matters. If an individual answers “yes” to any questions, he/she must explain in detail on a separate sheet of paper, which must be provided to the Office of Research at the time of proposal submission.
- The final four items concern conflict of interest. If an individual answers “yes” to any questions, he/she must explain in detail on a separate sheet of paper, which must be provided to the Office of Research at the time of proposal submission.

Comments: In this section, provide any other notes or information relevant to the proposal submission.

Certifications: Read this section to ensure that you understand your responsibilities in the grant process.

Approvals: The PEF must be signed by the Principal Investigator, all Co-PIs, and appropriate administrators as applicable (including the Center Director, Departmental Chairs and Deans (of the PIs/Co-PIs/Senior Personnel), and the Office of Research).

Submit the completed PEF with signatures along with a copy of the proposal and associated budget to the OR at research@tntech.edu 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 OR 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 OR staff) or postal service/carrier delivery, per agency requirements.