



NORTHERN ARIZONA UNIVERSITY

Office of Grant and Contract Services

Proposal Approval Form

Proposal No. \_\_\_\_\_

Grant & Contract Administrator \_\_\_\_\_

For OGCS Use Only:  MIN  N/A  ENV  SciEd

Date Received: \_\_\_\_\_ Proposal Deadline: \_\_\_\_\_  Receipt  Postmark

Type of Support Requested:  Grant, cooperative agreement or contract (OGCS review required)
 Gift or gift-in-kind (NAU Foundation review required)

PRINCIPAL INVESTIGATOR \_\_\_\_\_

EMPLOYEE IDENTITY NO. \_\_\_\_\_

ACADEMIC TITLE \_\_\_\_\_

DEPARTMENT \_\_\_\_\_

Administering unit, if different (signatures required): \_\_\_\_\_

Affiliation (signatures required):  CSE  MPCER  CESU  EMA  AZWI

Tele # \_\_\_\_\_ FAX # \_\_\_\_\_

NAU BOX \_\_\_\_\_

E-MAIL ADDRESS \_\_\_\_\_

CO-PRINCIPAL INVESTIGATOR(S) and EIN No(s).

1) \_\_\_\_\_

2) \_\_\_\_\_

3) \_\_\_\_\_

4) \_\_\_\_\_

PROPOSAL TITLE

SPONSOR \_\_\_\_\_

PROGRAM \_\_\_\_\_

If pass-through funds, please list the prime sponsor: \_\_\_\_\_

Start date \_\_\_\_\_ End date \_\_\_\_\_

TYPE OF PROPOSAL (select ONE)

- New  Competing Renewal (NIH)  Revision
 Continuation or  Supplemental funding

Current NAU Dept./Unit # \_\_\_\_\_

PURPOSE OF PROJECT (select ONE)

- Research  Instruction  Public Service
 Other (list): \_\_\_\_\_

PROJECT ABSTRACT (Please limit to 2 or 3 sentences)

Empty box for project abstract

WILL THIS PROJECT:

- Involve human subjects? Protocol Approval Date \_\_\_\_\_ Date IRB training completed \_\_\_\_\_
 Involve Invertebrate or Vertebrate Animals? Vertebrate Animal Protocol Approval Date \_\_\_\_\_
 Involve Radioactive Materials? Protocol Approval Date \_\_\_\_\_
 Involve the use of Recombinant DNA Technology? Which host organism and vector? \_\_\_\_\_
 Require special permits, licenses, approvals or fees? List: \_\_\_\_\_
 Build on preliminary research funded by Prop. 301 or the NAU Intra-mural grants program? Program and yr. of funding: \_\_\_\_\_

Additional documentation required for the following:

- Space, equipment or other support requirements beyond those currently available to the project: attach a description of the requirements and the plan to meet these needs.
 New construction or renovation: attach a copy of the proposed changes and approval from Facility Services.
 Subcontracts: submit the Request to Issue a Subcontract form for each proposed subcontractor and attach a copy of the subcontractor's signed proposal.
 NSF or NIH proposals: attach the Investigator Financial Disclosure form signed by all NAU key personnel.
 NIH new or continuation proposal: attach the NIH PI Certification form signed by the PI and Co-PIs.
 Administrative salaries: complete the Checklist for Direct Charging Administrative Salaries.

FISCAL INFORMATION

Table with 2 columns: Year One, Total All Years. Rows for Direct (\$), Indirect (\$), Total (\$).

F&A Rate (%) \_\_\_\_\_ Base:  S&W  MTDC  TDC  Other: \_\_\_\_\_

- Rate is:  NAU's federally approved rate  On-Campus  Off-Campus
 Colorado Plateau CESU or  Colorado Plateau Research Station approved rate
 Sponsor-restricted rate (attach documentation)
 One-time rate reduction or waiver (approval required; no F&A distribution to units)

Notes: \_\_\_\_\_

COST SHARING  is  is NOT required for this proposal. All cost share or match -- PI, Department, Center, College, University -- included in this proposal is identified below.

Table with 2 columns: Description of Cost Share (list each item separately; add additional pages if needed), Committed / Authorized by (signatures required)

Proposals must reach OGCS at least 5 working days prior to the deadline, or with prior review, 3 days in advance.

## Certifications/Approvals

### Investigators and/or Project Directors

My signature certifies that:

- (1) The information contained on this form and in the corresponding proposal is accurate and complete.
- (2) Except as identified on this form, the proposal does not obligate the University for funds for additional facilities, equipment, remodeling, extra operating funds, or matching funds, or for the establishment of new organizations, courses or programs not previously approved.
- (3) If an award is made, I am responsible for compliance with award terms and conditions and university policies and procedures; particularly for the technical conduct of the work, submission of technical reports, regulatory compliance, and financial management.
- (4) I have read and understand NAU's conflict of interest policy, have made all required financial disclosures, and will comply with any conditions or restrictions imposed to manage, reduce, or eliminate actual or potential conflicts of interest.
- (5) I am aware of federal requirements on lobbying, and am in compliance or have disclosed any lobbying activity.
- (6) I am NOT debarred, suspended, proposed for debarment, excluded or disqualified under the nonprocurement common rule, or otherwise declared ineligible from receiving Federal contracts, certain subcontracts, and certain Federal assistance and benefits. Excluded parties list available at <http://www.epls.gov/>
- (7) I am NOT delinquent on any federal debt, such as taxes, student loans, etc.
- (8) If an award is made, I agree to conduct the project in accordance with Federal law, State law, sponsor regulators, terms of the award, and University policy.

Name	Signature	Date

### Chairs, Directors, and Deans

My signature certifies that I have reviewed this proposal and all accompanying forms. The department, program, college and/or unit is aware of all requirements of this project and is committed to providing them.

Name	Signature	Date

### Proposal Review and Transmittal

The principal investigator is responsible for routing the proposal and PAF for authorizing signatures of chairs, directors and/or deans. Submit the completed PAF and proposal at least 5 working days prior to the sponsor's deadline, or with prior notice, 3 days in advance (additional time may be required for large proposals and/or major deadline dates). We will do our best, but cannot promise to copy or mail proposals received after the internal deadline.

*Proposals transmitted to the sponsor by mail:* OGCS will copy and transmit the proposal to the sponsor by ground or express mail as requested. Submit completed PAF plus the original and one copy of the proposal to OGCS; in addition, please e-mail an electronic copy of the entire proposal to [ogcs@nau.edu](mailto:ogcs@nau.edu).

*Proposals submitted electronically:* Submit the completed PAF and a paper copy of the proposal to OGCS. Proposal will be reviewed and authorized electronically.

Office of Grant and Contract Services  
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Tele. 928/523-4880 Fax: 928/523-1075

NAU Foundation  
Old Main, Bldg. 10, Flagstaff, AZ 86011-4094  
Tele: 928/523-6755 Fax: 928/523-8877