



Proposal Authorization Form

(See instructions on page 4.)

A. General Information

PRINCIPAL INVESTIGATOR NAME		DEPARTMENT/PROGRAM
OTHER HWS INVESTIGATORS/KEY PERSONNEL (AND ROLE)		
PROJECT TITLE		
SPONSOR (AND PROGRAM). Provide link to Announcement or RFP below*, or upload copy of Solicitation. If none, explain in Comments		
HWS SUPPORT REQUESTED OF SPONSOR \$	TOTAL PROJECT COST \$	PROPOSED PERIOD OF PERFORMANCE —
Official Submission Deadline per RFP	*Link to RFP, Solicitation, or Program Announcement	

B. Project Information

Does this project involve human subjects research?	☐ YES ¹	☐ No
Does this project involve living non-human animal subjects research?	☐ YES ²	☐ No
Does this project involve use of DNA or RNA molecules, viruses, bacteria, cells or organisms constructed with rDNA methodology or techniques, in the laboratory or greenhouse?	☐ YES	☐ No
Does this project involve the use of infectious agents, toxins or hazardous materials?	☐ YES	☐ No
Does this project involve travel abroad? <i>If so, where?</i>	☐ YES	☐ No
¹ If yes, you are required to seek review and approval or exemption from the Human Subjects Institutional Review Board (IRB) prior to beginning work on your project, as specified in the Faculty Handbook , Section VI.2. The Use of Human Subjects in Research.		
² If yes, you may be required to seek review and approval from the Institutional Animal Care and Use Committee (IACUC) as specified in the Faculty Handbook , Section VI.3. Animal Care and Use in Research. If you have a current approval, attach a copy of the letter.		

C. Subaward/subcontract information

Does this project involve a subaward or subcontract?	☐ YES	☐ No
<i>If Yes:</i> ☐ HWS will issue the sub ☐ HWS will receive the sub		

Sub Institution and Contact Information

INSTITUTION	
CO-PI/CONTACT	
ADDRESS	
TELEPHONE	E-MAIL

D. Budget**1. Matching Funds and In-kind Contributions**

☐ Required matching funds or Colleges' contribution	\$
☐ Voluntary matching funds or Colleges' contribution	\$
Source of matching funds (requires pre-approval):	
☐ Required In-kind contributions	\$
☐ Voluntary in-kind contributions	\$
Source of in-kind contributions (requires pre-approval):	
☐ There are no matching funds or in-kind contributions for this project.	

2. Personnel

☐ Faculty release time is required, as follows (requires preapproval):
☐ No additional staffing is required for this project.
☐ Required assistance can be provided by present department personnel at no increase in departmental wages or salary budget, and without overtime charges.
☐ Funds for all personnel participating in the project are included in the proposal budget, including student wages and secretarial assistance.
☐ Additional personnel must be hired for this project, as follows:

3. Facilities, Equipment, and Information Technology

☐ No additional laboratory or office space is required by the project.
☐ Present space is inadequate. Additional space will be required, as follows:
☐ No equipment is required for this project.
☐ All equipment required for this project is currently available in the department or can be borrowed at no cost.
☐ Funds for purchase or lease of new equipment or software required are included in the budget.
☐ The Colleges will be expected to purchase or lease equipment (see 1. <i>Matching Funds</i> for details).
☐ The Colleges will be expected at a future date to replace or update equipment/software (see 5. <i>HWS Commitment</i> for details). No equipment is required for this project.
☐ Sensitive, restricted, and/or personally identifiable information (PII) data will be handled for this project.
☐ A data management plan is required by the sponsor for this proposal.
☐ Information Technology Services must have ample time to review the project and budget prior to determining required services or support.
☐ Help Desk/Technician ☐ Network Storage ☐ Developer (Web, video, etc.) ☐ Information Security ☐ AV/Event Support ☐ Instructional Technology Support ☐ Procurement ☐ Other:

4. Indirect Cost Calculation

☐ HWS's federally negotiated rate of 60.6% applied to all salaries and wages, not including fringe benefits.
☐ Funding organization restricted rate of _____ %, applied to (base used):
☐ Indirect costs/overhead are not permitted by funding organization (must be documented in writing).

5. HWS Commitment beyond Grant Period (may include programmatic commitments, staffing, equipment maintenance of replacement, unusual reporting or other commitments):

☐ No continuing commitment is required beyond the grant period.
☐ The Colleges' continuing commitment is required as follows:

E. Compliance

1. For All Applicants:

☐ I certify that Time and Effort reports for all individuals associated with this grant will be submitted as required by HWS.
☐ I agree to submit all progress reports as required by the sponsor.
☐ I have read and will adhere to all OAFA, Information Technology, Campus Life, Finance and Business Office, Human Resources, Conflict of Interest, and other policies applicable to this project and will ensure that any Co-PIs, Key Personnel, postdocs, and students adhere to applicable policies and complete any necessary training as advised by HWS prior to commencing work on this project.

2. For Applicants Seeking Federal Funding:

☐ I have read and will adhere to HWS policies regarding training for Responsible and Ethical Conduct of Research (including Safe and Harassment-free Environments, Research Security, and Other Support), and will ensure that I (the PI) and any Co-PIs, Key Personnel, postdocs and students complete all applicable training prior to commencing work on this project.
☐ All key personnel have read the Colleges' Conflict of Interest policy and have completed and submitted the appropriate Conflict of Interest Disclosure Form.
☐ I understand that if this proposal is funded, I and all other Key Personnel associated with this project are required to complete an annual Conflict of Interest Disclosure form.

F. AUTHORIZATIONS AND CERTIFICATIONS

Applicant: Submission of this Proposal Authorization Form to the HWS electronic routing system for approval certifies that:

- 1 the information in this form and accompanying documents is true, accurate and complete to the best of the PI's knowledge;
- 2 that any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil, or administrative penalties; and
- 3 that the PI agrees to accept responsibility for the scientific/scholarly conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application. When multiple PIs are proposed in an application, this assurance applies to all named PIs.

Other Reviewers: Electronic approval constitutes certification that reviewers have read the proposal and/or budget according to their role, understand and accept the institutional or departmental commitments stated therein, and agree to the proposal's submission.

Provost: Electronic approval by the Provost authorizes submission of this proposal.

INSTRUCTIONS

Contact the Office of Sponsored Programs to discuss your project. The Director of Sponsored Research can help anticipate and address both institutional and sponsor requirements in your proposal narrative and budget.

This form must be completed for all proposals submitted to external organizations for support of research, scholarly activities or other projects that may result in external funds coming to the Colleges or in a contract, grant, or other agreement with Hobart and William Smith Colleges.

In order to ensure that all offices have ample time to dedicate to your proposal, it is **strongly encouraged** that you begin the approval process **at least two weeks** prior to the submission deadline.

At a minimum, review by OSP, the department chair (and the chair of any other HWS co-investigator) and Information Technology Services are required for a proposal to be submitted to the Provost for consideration. Once the Provost approves a proposal, the Director of Sponsored Research (as an authorized official) can submit the proposal to a sponsor. Approval is achieved through the online routing system.

- 1 PI uploads this form and supporting documentation (draft proposal, budget, budget justification, etc.) for review.
- 2 Director of Sponsored Research conducts a preliminary check of documentation before department chair review.
- 3 Department chair(s) review documents.
- 4 Representative from Information Technology Services reviews.
- 5 Additional representatives are added to the OPRA routing by OSP to review as needed (e.g., Business Office, HR).
- 6 Provost's approval commits the institution to the project.
- 7 Authorized Organizational Representative submits proposal to sponsor, unless other arrangements have been made.

For **all proposals**, please indicate the required support from IT Services for the project. This may include the setup and installation of software, services, or hardware; Audio/Visual support for on-campus or virtual events; network storage solutions; instructional technology support; web development; technology resource procurement; information security; and any other related needs. IT Services requires ample time to review these requests to ensure that the appropriate resources are aligned and allocated to the project effectively.

For **federal proposals**, PIs must also complete the FCOI disclosure form in OPRA in accordance with the [Financial Conflict of Interest Policy for HWS Researchers](#).

For **federal proposals**, upload a copy of your Data Management and Sharing Plan (if applicable) to OPRA that addresses the following (per the sponsor's guidelines):

- 1 The types of data, samples, physical collections, software, curriculum materials and other materials to be produced in the course of the project.
- 2 The standards to be used for data and metadata format and content. In cases where existing standards are absent or deemed inadequate, this should be documented along with any proposed solutions or remedies.
- 3 Policies for data access and sharing, including provisions for appropriate protection of privacy, confidentiality, security, intellectual property or other rights or requirements.
- 4 Policies and provisions for data reuse, redistribution and the production of derivatives.
- 5 Plans for archiving data, samples and other research products, and for preserving access to them.

Be sure to include allowable data management costs in your budget.

Contact Mack Hankin at HANKIN@hws.edu for assistance with IT questions related to data management and Tania Johnson at johnsont@hws.edu for grant compliance questions related to your DMP.