

Proposal Development

Solicited proposal. Solicited proposals are submitted to a specific funding source in response to a specific program announcement and should be written to address the guidelines issued by that sponsor for that program. Deadlines (receipt, time stamp from submission portal or submission email, postal or overnight delivery receipt, or postmark) may recur annually or several times a year. If the proposal will be submitted through a different institution (university or private industry) with some role and funds for Montana Tech, it is considered a sub-award proposal and requires Montana Tech review and approval prior to submission to the lead institution.

Tools to connect researchers with solicited opportunities and potential collaborators include:

1. [Pivot-RP](#)
2. [Grants.gov](#)

The Pre-award grant manager is also available to assist you in setting up automatic alerts based on key words and/or funding agencies to aid in the search for funding opportunities.

Unsolicited proposal. The PI develops the idea and uses the proposal to make a formal request to a sponsor for support, but not in response to a specific program announcement, but often, to a standing program at a government agency. To search for unsolicited funding opportunities, check the web site of the potential sponsor for available programs, and determine the availability and time period for which the particular program accepts unsolicited proposal

Response to a Request for Proposals (RFP) or Broad Agency Announcement (BAA). The proposed project must respond to the specific work statement developed by the sponsor or negotiated with the sponsor.

Informal Proposal, Pre-Proposal, or Concept Paper. This is a description of the proposed project (a.k.a. white paper) that does not involve a commitment of University resources or a signature on behalf of Montana Tech, and would not result in an award. This is a mechanism for a PI to communicate to the potential sponsor a short scoping document (usually 1-3 pages).

Informal Industrial Proposals. In the case of a potential industrial sponsor, many discussions may proceed a formal proposal and "ball park" budgetary numbers may be discussed to agree to scope. However, a formal statement of work and delineated budget may not be sent to the sponsor without prior routing of the PCF. When/if the sponsor invites a full proposal, a [Proposal Certification Form](#) (PCF) is required.

Renewal and Continuation Proposals. A competing renewal proposal (also called a competing continuation) is a request for continued funding of a project for which funding is about to terminate. Non-competing continuation proposals, which request the next year's funding within a multi-year grant, usually consist of a progress report, budget, and other relevant materials such as research results, reprints, vitae for new personnel, etc. They may also include a report of expenditures including the residual balance and any budget carryover from the previous year.

Competing renewals must be routed and approved in the same manner as new proposals, including preparing a new PCF. For non-competing continuations, if the sponsor requires a proposal (not just a progress report), the proposal must be routed and approved in the same manner as new proposals. This procedure assures that appropriate officials at Montana Tech are informed of the current status and any changes from the original proposal before an institutional endorsement is provided.

Subcontracts/ Subawards. Projects requiring work to be done outside of MT Tech or needing consultants require sub-contracts to be issued through OSP. Principal Investigators should work with the Pre-Award Office to develop Memorandums of Understanding, Letter Contracts, Work Statements, and sub-contract budgets. Please refer to the procedures above.

Memorandums of Understanding (MOUs). Memorandums of Understanding (MOUs) are legally binding agreements that put into place the expectations for a partnership, and may commit Montana Tech resources. All MOUs should be reviewed by OSP, with additional consultation by UM legal if the Director of OSP deems this review to be necessary.

International agreements are subject to additional scrutiny, due to federal export control regulations and concerns. The Vice Chancellor for Research will provide interested parties a standard MOU for international agreements, which has been developed in consultation with UM legal. Any/all requests from a Montana Tech faculty/staff member for a new international partnership should be forwarded to the Research Office and/or Vice Chancellor of Research. The RO/VCR will discuss with the faculty/staff whether the standard form is sufficient to meet the needs of the international partner. Any changes to the standard form will be in consultation with UM legal. In general, international partnership agreements should identify a particular 'champion' that will be the point of contact for the

agreement, such as a participating Montana

Tech faculty/staff. Prior to approving the international MOU, the RO/OSP will:

- Determine the institutional history (including financial) with the proposed international partner;
- Discuss the standard MOU template with the initiating faculty/staff;
- Discuss any changes to the standard MOU template with UM legal;
- Require initiating faculty/staff to provide certification of [export control](#) training.
- Coordinate the required signatures, i.e., the MOU will be forwarded to the Chancellor for signature.
- The Chancellor will notify the initiating faculty/staff when the MOU is signed.
- The initiating faculty/staff and/or Chancellor will notify the international partner.
- The fully executed MOU will be housed in the Research Office and on the Research Office website, with a courtesy copy provided to Finance and Administration.

Contact Tim Tutty for questions: grants@mtech.edu