

## TRANSMITTAL INSTRUCTIONS FOR AGREEMENT/CONTRACT/UNDERSTANDING

(Non-Funding Agreements)

**Conflict of Interest disclosure requirement – If ANY key personnel on the proposed project have a potential conflict of interest with the entity(ies) involved it must be disclosed on the disclosures/certifications page of the transmittal sheet. If a potential conflict is acknowledged, the personnel who may have a conflict must inform the Conflict of Interest Coordinator. A description of what conflict of interest is and the different types of it can be found at <http://www.admin.mtu.edu/admin/prov/facbook/appb/bapp2.html>**

This Transmittal Form needs to be included with every agreement/contract/understanding submitted to the Sponsored Programs Office (SPO). A new Transmittal Form is required for significant project revisions (i.e. change in scope). This form may be filled out on the web and then printed out.

### SECTION I – PROJECT INFORMATION

- A) Project Title (if applicable) – Descriptive heading for your proposed project.
- B) Project Director/PI – Name of the Project Director/PI.  
Title – University title(s) of the Project Director/PI.  
Phone/Email information for Project Director/PI.  
Dept/Center/Institute – Home department of the Project Director/PI.
- C) Non-Michigan Tech Entity(ies) Involved – Name(s)/Contact/Address, etc of the external entity(ies) involved with your project.
- D) Deadline – The last date your proposal will be accepted. Enter the deadline date in the space provided.  
Postmarked – Check this box if the agreement/contract/understanding must be postmarked by the deadline date.  
Receipt – Check this box if the agreement/contract/understanding must be received by the entity(ies)'s deadline date.  
Electronic Submission – Check this box if the agreement/contract/understanding is to be submitted electronically.

*NOTE: If your agreement/contract/understanding is received by the SPO two weeks (10 business days) prior to the deadline, mailing costs will be absorbed by the SPO. If the agreement/contract/understanding is NOT received by the SPO office two weeks (10 business days) prior to the deadline, you need to include an account number where mailing costs may be charged. If you request special mailing options (2nd day or overnight) you need to include an account number where these costs may be charged.*

- E) Agreement Type – Check all that apply.
- New or Renewal
  - MOU/MOA – Memorandum of Understanding/Memorandum of Agreement
  - Master – Master Agreement
  - Cooperative Agreement
  - Non-Disclosure Agreement (if you check this box skip Section II and sign where indicated at bottom of page 1)
  - Material Transfer Agreement (if you check this box skip Section II and sign where indicated at bottom of page 1)
  - Software & License (to purchase)
  - Other - Check this box if the agreement type does not fit in one of the categories listed above.
- International Agreement
- Standard? Yes or No
  - Are there financial commitments? Yes or No
  - If exchange: Reciprocal or One way
- Graduate
- MS    •PhD    •MS/PhD.
- Undergraduate
- AAS    •BS/BBA    •AAS/BS/BBA
- F) Agreement Duration
- Enter the Start/Effective Date
  - Enter the End/Expiration Date
- G) Unusual Requirements – List any unusual requirements such as overhead limits, special terms & conditions, etc.

### SECTION II - DISCLOSURES/CERTIFICATIONS

The Project Director acknowledges whether any potential conflicts of interest exist with the entity(ies) involved by checking the appropriate box. If there is a potential conflict, the Conflict of Interest Coordinator must be informed. By signing the form the Project Director certifies that he/she has read, understood and complies with Michigan Tech's Conflict of Interest Procedures.

The Project Director indicates how many months he/she has committed to the project and sign in the space provided. The Project Director Supervisor then signs in the space provided to indicate approval and endorsement of the agreement/contract/understanding. If your project will involve a Center/Institute you will need to have the appropriate Director sign, if necessary

If the education/training is at the Graduate level or if it affects any graduate program, the Dean of the Graduate School must sign the transmittal form. If the education/training is at the Undergraduate level or for ANY credit course a signature is required from the Provost on the transmittal form. If the education/training will be via Distance Learning the Dean of Distance Learning must sign the transmittal form.

# Michigan Tech

## AGREEMENT/CONTRACT/UNDERSTANDING

(Non Funding Agreements)

Date Submitted: \_\_\_\_\_

Internal#: \_\_\_\_\_

### I. PROJECT INFORMATION

A. TITLE (if applicable) \_\_\_\_\_

B. PROJECT DIRECTOR/PI TITLE PHONE/EMAIL DEPT/CENTER/INSTITUTE(S)

PI \_\_\_\_\_

Exchange/Liaison \_\_\_\_\_

C. NON-MICHIGAN TECH ENTITY(IES) INVOLVED (if more than three, please attach an additional sheet)

	Entity 1	Entity2	Entity3
Name	_____	_____	_____
Contact	_____	_____	_____
Address 1	_____	_____	_____
Address 2	_____	_____	_____
City/State/Zip	_____	_____	_____
Country	_____	_____	_____
Phone	_____	_____	_____
Fax	_____	_____	_____
Email	_____	_____	_____

D. DEADLINE \_\_\_\_\_  Postmarked  Receipt Acct # \_\_\_\_\_ [attach mailing instructions]  
 Electronic Submission

E. AGREEMENT TYPE - Check all that apply (attach list of new and existing courses used)

<input type="checkbox"/> New Agreement	<input type="checkbox"/> MOU/MOA	<input type="checkbox"/> International Agreement	<input type="checkbox"/> Graduate
<input type="checkbox"/> Renewal of Existing Agreement	<input type="checkbox"/> Master	<u>Standard</u> from web? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> MS <input type="checkbox"/> PhD
	<input type="checkbox"/> Cooperative Agreement	Are there financial commitments? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> MS/PhD
	<input type="checkbox"/> Non-Disclosure Agreement <sup>1</sup>	If exchange: <input type="checkbox"/> Reciprocal or <input type="checkbox"/> One Way	<input type="checkbox"/> Undergraduate
	<input type="checkbox"/> Material Transfer Agreement <sup>1</sup>		<input type="checkbox"/> AAS <input type="checkbox"/> BS/BBA
	<input type="checkbox"/> Software & License (to purchase)		<input type="checkbox"/> AAS/BS/BBA
	<input type="checkbox"/> Other		

F. AGREEMENT DURATION Start/Effective Date \_\_\_\_\_ End/Expiration Date \_\_\_\_\_

G. UNUSUAL REQUIREMENTS (please list)

1) Overhead limits, special terms & conditions, etc

#### Internal Use ONLY

\_\_\_\_\_ Date \_\_\_\_\_

Execution Date \_\_\_\_\_

I certify that I have read and understand the terms and conditions of the attached agreement and agree to abide by its terms.

PI: \_\_\_\_\_ Date \_\_\_\_\_  
(Co-PI's, if any, sign on reverse side)

<sup>1</sup>Page two not necessary for Non-Disclosure Agreements and Material Transfer Agreements

## II. DISCLOSURES/CERTIFICATIONS

**Conflict of Interest:** The proposed project or relationship with the Sponsor (*check one*)  **does** or  **does not** present a Category III, IV, or V conflict and require the disclosure of significant financial interests or relationships that present an actual or potential conflict of interest or conflict of commitment for investigators involved in this project. If answered in the affirmative, then all investigators so involved must have provided a complete disclosure of this conflict to the Michigan Tech Conflict of Interest Coordinator, as instructed by current University policy. By signing this form, all investigators certify that they have read, understood, and are in compliance with Michigan Tech's Conflict of Interest Procedures and made all disclosures required by them for additional information and guidance. **(You MUST check one of the above boxes.)**

**Lobbying:** The undersigned certify that to the best of their knowledge no federally appropriated funds have been or will be paid on their behalf to any person for influencing an officer or employee of any agency, a Member of Congress, or an employee of a Member of Congress in connection with the awarding of this contract, grant, or cooperative agreement. If any funds other than federally appropriated funds have been or will be used for such purpose, the undersigned agree to complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

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### Approvals/Assurances/Certifications/Endorsements/Signatures

*I/We certify to the best of my/our knowledge that:*

- 1) The statements on this form (excluding scientific hypotheses and scientific opinions) are true and complete, and
- 2) I understand the willful provision of false information or concealing a material fact in the attached agreement or any other communication is a criminal offense.

Endorsement indicates approval for the project, cognizance of risks, administrative and fiscal obligations, and confirmation that appropriate space, facilities, and financial supports, if necessary, will be available if the proposal is approved by the potential sponsor. In addition, you are certifying that the attached proposal has been reviewed and determined to be ready for submission.

Months Committed to Project\*

\_\_\_\_\_ Cal \_\_\_\_\_ Acad \_\_\_\_\_ Sumr \_\_\_\_\_  
 Project Director/Principal Investigator Signature & Date Project Director/Principal Investigator Supervisor Signature & Date

\*Nine month faculty should use Acad and/or Sumr

\_\_\_\_\_  
 Dean Signature & Date (if applicable)

### Other Required Signatures

If Graduate **and/or** Dean of the Graduate School \_\_\_\_\_ Date \_\_\_\_\_

If Undergraduate or for any credit course **and/or** Provost \_\_\_\_\_ Date \_\_\_\_\_

If Distance Learning **and/or** Director of Distance Learning \_\_\_\_\_ Date \_\_\_\_\_

If International Programs & Services **and/or** Director of Int'l Prgms/Svcs \_\_\_\_\_ Date \_\_\_\_\_

If Software & License (to purchase) Chief Information Officer \_\_\_\_\_ Date \_\_\_\_\_

### (CHECK AND INITIAL)

	College	Graduate School	Provost	Director of Distance Learning	Int'l Programs & Services
Reject	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Submit	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____

Comments \_\_\_\_\_