Pre-Award

PI /PD   Proposal Checklist

Communication between the Principal Investigator (PI) and/or Project Director (PD) and ORGS is encouraged at **every stage** of the preaward process to ensure successful submission of the grant proposal.

Contact ORGS
☐ Inform ORGS of external funding opportunity and provide basic grant information:
   (1) sponsor name
   (2) grant program/RFA/RFP
   (3) submission deadline
   (4) co-PIs or collaborators involved
☐ Discuss PI and institution eligibility requirements

Review Grant Program Guidelines
☐ Determine all documents the sponsor requires that comprise the "proposal package" (cover letter, narrative, bio sketch, budget, budget justification, timeline, letters of support, etc.)
☐ Identify formatting rules (font, margins, page limits, etc.)
☐ Identify restrictions, limitations, special provisions (IDC cap, cost-share, award limit, etc.)
☐ Follow sponsor outline or checklist (if available)
☐ Identify relevant SFA rules that apply to the project

Proposal Development
☐ Use sponsor templates or forms (if applicable)
☐ Draft all required documents of the proposal package
☐ Ask colleagues to review work and provide feedback
☐ Request ORGS to edit documents for basic grammar and punctuation (optional: provide 5 business days)
☐ Email **Microsoft Word** and **Excel** versions of your documents to your ORGS contact as they are completed

Considerations
☐ **Human Subjects.** Does your proposal involve research of human subjects including the distribution of surveys? If so, you must submit an IRB application to the Institutional Review Board (IRB) and obtain approval. Proof of your application to the IRB is often required by the sponsor at the time of submission, and upon award the IRB approval letter must be on file with ORGS.

☐ **Animals.** Does your proposal involve live animals? If so, you must submit an Animals in Research Protocol application to the Institutional Animal Care and Use Committee (IACUC) and obtain approval. Proof of your application to IACUC is often required by the sponsor at the time of submission, and upon award the IACUC approval letter must be on file with ORGS.

☐ **Cost-share.** Does the sponsor **require** cost-sharing or matching with university funds or resources? If so, discuss your needs with the individual authorized (chair, dean) to commit funds or resources to your project. A Cost-Share Detail form indicating which departmental fund the matching money will be taken from must be completed. This form should be attached to the Proposal Clearance Form (PCF) to be reviewed during the proposal clearance process. Cost-

sharing must be documented and records may be audited. Voluntary cost-sharing is generally prohibited.

☐ **Subawards**. Does your proposal involve a portion of the project to be completed by a collaborating organization/institution? If so, the subawardee organization(s) usually must provide ORGS with one or more of the following prior to submission:

- Subawardee Certification form (for federal or federal pass-through awards)
- Statement of Work
- Budget
- Budget justification
- Copy of their Negotiated Indirect Cost Rate Agreement (NICRA)
- Letter of Participation/Commitment (signed by their AOR)
- Any other documents required by sponsor as part of the submission package

☐ **Vendor Contracts, Consultants, Evaluators.** Does your proposal involve an external professional's expertise on the project? If the consultant is known, usually a letter from the consultant indicating the consultant's role on the proposal, the consultant's experience with the type of research and an established consultant rate is required.

☐ **Conflict of Interest.** Some sponsors require a specific conflict of interest disclosure. In addition, SFA requires disclosures annually and as needed as circumstances change.

Budget

☐ Work with ORGS to develop the budget according to sponsor and university requirements
☐ Outline project start and end dates
☐ Common Budget Categories:
  - Personnel. Information needed for each individual: (1) name, (2) role on the project, (3) percentage of time (effort) spent on the project, (4) appointment term (9-month, 12-month, etc.), (5) annual/institutional base salary, (6) amount to be charged to the project, (7) amount to be cost-shared by the department (if applicable), and (8) any sponsor restrictions (salary cap)
  - Fringe benefits (be sure to use most current rate)
  - Equipment (defined as a single item of property costing >/= $5,000)
  - Materials and Supplies
  - Travel (for SFA personnel)
  - Subawards
  - Vendor Contracts, Consultants, Evaluators
  - Participant Costs, Scholarships and Tuition
  - Other Direct Costs (based on sponsor guidelines)
  - Indirect Cost (use allowable, current rate. If requesting waived or reduced IDC, complete IDC Reduction/Waiver form)
☐ Cost-sharing (only if required by a sponsor, no voluntary cost-share permitted)

Budget Justification

☐ Explain roles and effort commitment for all personnel listed in the budget
☐ Provide detailed descriptions and cost of items under each budget category; subtotal each category
☐ Indicate why each cost is necessary for the project
☐ Ensure figures in the justification match figures in your budget

Obtain Proposal Clearance (SFA internal proposal approval process)

PIs can route a proposal for clearance as soon as the final, ORGS -approved budget and draft narrative are complete. ORGS must receive the PCF and accompanying documents at least 3 business days prior to submission deadline.

- ☐ Complete, print and sign Proposal Clearance Form (PCF)
- ☐ Paperclip budget and narrative to PCF
- ☐ Initiate the clearance process by turning in PCF and accompanying documents to chair
- ☐ PCF must be approved and signed by all parties prior to submission:

  PI/co-PIs > Chair(s) > Dean(s) > ORGS > Vice President(s) > President

Submission

*Approved proposals are submitted by ORGS. PIs **do not** submit proposals directly to the sponsor, except in unusual circumstances and when cleared in advance by ORGS.*

- ☐ Review proposal package one last time; confirm proposal is complete and sponsor instructions are met
- ☐ Provide ORGS written documentation that the proposal is ready for submission