PROPOSAL SUBMISSION CHECKLIST (detailed)

Proposals for external funding are submitted by eligible Principal Investigators (PI) to SPA Pre-Award for review and institutional signature prior to submission to sponsor.

☐ Check that Project has been initiated in Portal

☐ Obtain Proposal Guidelines from the Sponsoring Agency
   Request for Proposal (RFP), Program Description, Agency Forms and Certifications (if applicable), etc. Individual agency forms identify specific requirements for completing the various proposal elements including the cover page, proposal narrative, budget, current and pending support, and biographical sketch. Review sponsor guidelines (e.g., RFP, RFA, BAA, etc.) to determine requirements and appropriate application procedures. In most cases, noncompliance with agency requirements will result in return of proposal without agency review.

   Review the guidelines ahead of time and mark those items within the RFP that will need more attention and address accordingly. **PLAN AHEAD WHEN POSSIBLE.**

   ☐ Award terms and conditions that UGARF/UGA would be agreeing to at proposal submission should be vetted before proposal is submitted.

☐ Unusual proposals (as determined by Grants Administrator should be escalated to the Director of SPA Pre-Award. Proposals to the following sponsors should always be escalated and possibly subject to backup review:
   ☐ U.S. Department of State
   ☐ U.S. Department of Justice
   ☐ U.S. Department of Labor
   ☐ National Endowment for the Arts
   ☐ National Endowment for the Humanities
   ☐ Corporation for National & Community Service
   ☐ United States Agency for International Development (USAID)

   *The Director of SPA Pre-Award may determine what additional steps are needed for review.*

☐ Verify University Requirements
   Proposals may be submitted by eligible faculty only ([Eligibility to Submit Proposals](#)).

   ☐ Limited Submission
      Please contact Limited Submissions office for verification. Provide the Portal FP# to limsub@uga.edu.

☐ Signatures
   Who has authority to sign off on the proposal submission? In almost all cases, this will be the SPA Pre-Award Grants Administrator.

   In rare circumstances, a proposal could require the signature of someone outside of SPA Pre-Award, e.g., some proposals require the President’s signature or an affidavit from the EOO Office. SPA Pre-Award will
PROPOSAL SUBMISSION CHECKLIST (detailed)

determine this based on the RFP and agency instructions and alert the PI as soon as possible. Please note that the additional signatures will be obtained in accordance with established procedures at UGA.

☐ Signature from President or Provost
  ☐ SPA Pre-Award Staff completes the Routing Slip (also known as blue routing sheet) and prints on blue paper: www.b.usfin.uga.edu/fo_rms/p_res_rout_ing_sli_p.pdf

Some letters require editing and/or a hand-signed signature, with no stamp or graphic allowed. Include the following with the blue routing sheet.

  ☐ Abstract explaining the scope of the research and funding source;
  ☐ List of institutional commitments and notation of whether they are new or existing; and
  ☐ Allow a minimum of one week lead time.

In the comments section, provide instructions for the return of the document (i.e., Please call [name of SPA Pre-Award Grants Administrator, (706) XXX-XXXX.]

☐ Send to the VP for Research for approval/signature.

☐ Hand-carry request to President’s or Provost’s Office. *Signature request must have required (blue) routing sheet affixed to the support paperwork.

There are times when the president may be out of the office for 10 days or more (although that is rare). Call ahead to Amy Andrews on (706-542-6529 or aandrews@uga.edu) when you’ve determined the deadline so you can plan accordingly.

  * Signature should be obtained from the lowest possible authority. If the President or the Provost can sign, use the Provost. If the Provost and the VP for Research can sign, use VP for Research.

☐ Verify Facilities & Administrative (F&A) or Indirect Cost Rate
Provide documentation if required. (If different from UGA allowable rates, provide a copy of agency allowable rate or guidelines.)

Is the federally negotiated F&A rate being used? If not, one of the following must apply:

  ☐ The sponsor is a non-profit and has a written policy capping F&A
  ☐ The sponsor is federal and F&A is limited by statute or by RFP/RFA/Solicitation
  ☐ The PI has obtained an F&A waiver from VP for Research or delegate
  ☐ The funding is from a non-profit for graduate student salary/fringe only

☐ Verify whether there is cost share, Office of Research match, or third party match.
  ☐ Approved by department head/dean
  ☐ Will be approved retroactively

☐ Significant Financial Interest Disclosure
If a proposal is to an agency using the Public Health Service Financial Conflict of Interest (PHS FCOI) regulations, then Significant Financial Interest (SFI) Disclosure must be obtained prior to proposal submission for all investigators. A list of agencies that use the PHS FCOI regulations can be found here:
PROPOSAL SUBMISSION CHECKLIST (detailed)

http://sites.nationalacademies.org/PFA/fdp/PFA_070596 The PI can manage his/her SFI Disclosure in the Office of Research eResearch Portal at any time by logging in and clicking on manage SFI Disclosure. Non-UGA employees must complete the Annual Disclosure of Financial Interests for Non-University of Georgia Investigators. For all external proposal submissions, basic COI is captured by the Portal and should be in process when the proposal is submitted. Filling out the transmittal form in the Portal begins this process.

☐ Subcontracts
(A collaborative arrangement in support of a research project through a formal agreement.)
☐ Consortium Statement/Letter of Commitment or Intent to Collaborate approved by authorized official of subcontractor
☐ Name and contact info of negotiator
☐ Statement of Work
☐ Budget
☐ Any other forms required by Sponsor

☐ Final review
☐ Is the proposal being submitted to the correct RFP/RFA/Solicitation? If there is any uncertainty, confirm in writing with PI.
☐ Review the required components of proposal in Sponsor Guidelines to the investigator’s proposal. Most proposals will have the following components for review:
  ☐ Proposal Narrative
    At a minimum, a Statement of Work is required.
  ☐ Budget
    If the agency does not specify a budget format, please use the form below.
  ☐ Budget Justification
    The narrative explanation of the itemized budget should parallel the budget line items.
  ☐ Subcontracts (if applicable)
    If known subcontractors are identified in the proposal narrative and/or budget, please provide the following documentation for each subcontractor: a Statement of Work, a budget and budget justification, and an institutional letter of approval.
  ☐ Indirect Costs
    Our federally negotiated indirect cost rates will be used whenever possible. Should an agency limit or prohibit indirect costs, please provide documentation.
  ☐ Supplemental Documentation (if applicable)
    ☐ Office of Research match – A letter should be provided to SPA Pre-Award by the investigator confirming the match
    ☐ Third party match – Documentation of match should be provided by the party providing it.