

Proposal Checklist for Principal Investigators

When Applying for Funding:

Issue	Action	Package
Agency and Program Rules and Regulations	Before submitting proposals, contract SPO for assistance with questions about unusual solicitations or agency policies, compliance issues, or regulations	One copy of proposal announcement must be submitted to SPO.
Animal Subjects or Custom Antibodies	Animal Subjects or Custom Antibodies Research involving vertebrate animal subjects or using custom antibodies must have the IACUC approval. Contact the UCM Office of Research Compliance if you have any questions.	One extra copy of the proposal and PRF must be submitted to the Office of Research Compliance .
Collaborative Subagreement(s)	Subagreement(s) outside entity, the potential subawardee must provide an institutionally authorized letter, scope of work and budget. This is required prior to submission of the proposal.	One cop of letter(s) scope of work and budget from subawardee(s) must be submitted to SPO .
Cost Sharing	When a proposal involves cost sharing with university funds or resources, the person authorized to commit the funds or resources must provide a letter of commitment. When cost share involves and outside entity they must also provide a detailed letter outlining the cost share.	One copy of letter must be submitted to SPO .
Environment, Health and Safety	Follow Environment, Health & Safety (EH&S) guidelines when planning to use any of the following: regulated carcinogens; regulated biological materials; hazardous chemicals, radioactive waste; or medical waste; toxic gases; or radioactive materials and radiation-producing machines, use of Class III-B or Class IV laser. Follow Material Management guidelines for: narcotics or controlled substances.	One copy of the proposal must be submitted to EH&S and make sure to contact them for instructions on what is required.
Exception to P.I. Policy	Only voting members of the Academic Senate may serve as Principal Investigator on a sponsored project. Others may serve only by special exception to policy. You must complete the PI Exception Form. The exception form should be accompanied by a justification.	One original signed copy of the PI Exception Form must be submitted to SPO .
Financial Disclosure	Disclosure of financial interest is required for all proposals. The disclosure forms include the PASS Addendum or the 700-U (for nongovernmental entities). If positive disclosure is identified the PI must contact the Office of Research Compliance .	One original signed copy of PASS Addendum or 700-U must be submitted to SPO .
Human Subjects	Research involving human subjects must have IRB approval. Contact the UCM Office of Research Compliance if you have any questions.	One copy of the proposal must be submitted to the Office of Research Compliance.
Vertebrate Animal	Research involving vertebrate animals must have IACUC approval. Contact the UCM Office of Research Compliance if you have any questions.	One copy of proposal must be submitted to the Office of Research Compliance.

Indirect Costs	Awards are funded according to the established campus indirect cost rate of 55% MTDC. Some sponsoring agencies do not reimburse indirect costs at the full rate. The university will honor these exceptions when the organization has written guidelines or will provide a letter stating agency policy on payment of indirect costs. To request an exception to campus policy, a letter requesting waiver must be sent prior to proposal submission to the Vice Chancellor for Research, through SPO.	A copy of the sponsor's written policy or letter must be submitted to <u>SPO</u> .
Material Transfer	When research will involve biological materials received from another institution, the provider's material transfer agreement must be reviewed and signed by <u>OTT</u> .	One copy of agreement to <u>OTT@ucmerced.edu</u> .
Select Agents	Federal laws require that research institutions collect information regarding certain select agents and register their presence with the federal government. When a proposal includes select agents, forward a proposal copy to <u>Environmental, Health & Safety</u> .	One copy goes to <u>EH&S</u> .
Space–New or Renovated	Chairs/Directors must approve plans to build new or renovate existing department space.	Provide cost estimate to <u>Dean's Office</u> for review and approval before proposal is sent to <u>SPO</u> .
Space - Rental	When a project involves leasing off-campus space, identify this on the <u>PASS Form</u> and include the off campus rate.	
Third – Party Commitment(s)	When a proposal involves a commitment from a third party to cost share, a letter of concurrence from the third party is required.	One copy of the concurrence letter(s) to <u>SPO</u> .

Proposal Submission:

Item	Description	What and When to Submit
<u>PASS Form & Addendum</u>	The <u>PASS Form</u> and <u>Addendum</u> are two internal campus documents that authorize proposal submission with the signatures of the PI(s), the dean, and the VC for Research. They are REQUIRED forms for all proposals.	The fully signed original turned in to SPO at least 10 working days before agency deadline.
Pre-proposal/ Letter of Intent	Some sponsors require a pre-proposal as part of the proposal review process. Submit pre-proposal through <u>SPO</u> and go through full review when budget is required.	Submit draft to <u>SPO</u> at least 10 working days before agency deadline.
Proposal	Prepare proposals according to sponsoring agency guidelines.	Submit draft to <u>SPO</u> at least 10 working days before agency deadline.
Electronic Proposal	Follow agency guidelines for electronic submission; check for special computer requirements; plan ahead and allow adequate time for submission.	Submit draft to <u>SPO</u> at least 10 working days before agency deadline.