

PI MUST ATTACH COMPLETE PROPOSAL/APPLICATION WITH A BUDGET AND BUDGET NARRATIVE PRIOR TO ROUTING FOR APPROVAL.

Section A	Proposal Information	Date Received in OSP: _____
Project Title: _____ Project Director/Principal Investigator: _____ Co-PI: _____ Department or County: _____ Project Begin Date: _____ Project End Date: _____		Proposals are due in OSP five (5) working days prior to Due Date. If assistance is needed with budget or other documents, proposals should reach OSP ten (10) working days prior to due date.

Section B	Sponsor Information	Document Type Proposal <input type="checkbox"/> New <input type="checkbox"/> Pre-Proposal <input type="checkbox"/> Competing Continuation <input type="checkbox"/> Non-Competing Continuation Agreement <input type="checkbox"/> New <input type="checkbox"/> Amendment Other (specify) _____ If continuation or amendment, UACES fund number: _____
Legal Name: _____ Type: <input type="checkbox"/> Federal Agency <input type="checkbox"/> State Agency <input type="checkbox"/> Private Business/Foundation <input type="checkbox"/> U of A Institution of Higher Ed. <input type="checkbox"/> Non-U of A Institution of Higher Ed. Root Source of Funds (for sub-awards, what is the funding source of the prime recipient?) <input type="checkbox"/> Federal <input type="checkbox"/> State of Arkansas <input type="checkbox"/> Other: _____		

Section C				Submission Information			
Due Date: _____		Date PI Plans to Submit? _____		Method: <input type="checkbox"/> Grants.gov (Submitted by OSP)		<input type="checkbox"/> Other (Submitted by PI)	
UACES is applying as: <input type="checkbox"/> Prime Applicant <input type="checkbox"/> Sub-Applicant							
Attachments:	<u>Required</u>	<u>Included</u>	<u>Signature Needed</u>				
Proposal or Application Cover Sheet	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Proposal/Scope of Work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Budget/Budget Narrative	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Letter of Commitment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
OSSDP/FSIP Forms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Certifications/Assurances	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
If a Sub-Award, Forms Required by Prime Recipient	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Other: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

Section D Budget	
Sponsor Funds:	\$ _____
UACES Match:	\$ _____
Third-Party Match:	\$ _____
Total Cost:	\$ _____
If awarded will this project require new personnel? <input type="checkbox"/> Y <input type="checkbox"/> N	
If "Yes," has HR been contacted? <input type="checkbox"/> Y <input type="checkbox"/> N	
Contact Name and Date: _____	

Indirect Costs
Rate: _____ %
MTDC <input type="checkbox"/>
TDC <input type="checkbox"/>
TFF <input type="checkbox"/>
OTHER: _____
If Indirect Cost Rate is below current federal negotiated rate (31% MTDC), attach sponsor indirect cost guidelines.

Section E Sub Awards
If the proposal includes sub-awards, Attachment A must be completed for each sub-recipient.
Are AES/UAF personnel involved in project? <input type="checkbox"/> Y <input type="checkbox"/> N
Will any portion of the requested funds be sub-awarded to another entity? <input type="checkbox"/> Y <input type="checkbox"/> N
How many sub-awards are included in budget: _____
<i>For each sub-award included in the budget for a Non-U of A institution, PI must obtain a commitment form before project can be implemented.</i>
<i>If AES personnel are involved, an MOA will be necessary. OSP will contact PI after award to discuss.</i>

Section F Special Review Checklist
Must be completed by PI for processing to continue
Research Compliance: Federal regulations govern the use of human subjects, animals, bio-hazardous materials, radioactive materials, select agents/toxins and biohazards, and certain information or material subject to export controls.
This proposal includes the use of the following (check each item):
<input type="checkbox"/> Y <input type="checkbox"/> N Animals
<input type="checkbox"/> Y <input type="checkbox"/> N Human Subjects
<input type="checkbox"/> Y <input type="checkbox"/> N Select Agents/Biohazards
<input type="checkbox"/> Y <input type="checkbox"/> N Export Controlled Information or Material
<input type="checkbox"/> Y <input type="checkbox"/> N Radioactive Material
If any of the above are checked "Yes," PI must obtain Institutional Review Board (IRB) approval prior to beginning project, and Complete Section G of this form.

Section G IRB/IACUC Review
Has this project received IRB/IACUC approval prior to submission? <input type="checkbox"/> Y <input type="checkbox"/> N
If "Yes," note approval code and attach a copy of IRB/IACUC approval: _____
If "No," when will project be submitted for review?
<input type="checkbox"/> Simultaneously with this submission
<input type="checkbox"/> Following notification of award
Which institution's IRB/IACUC has or will be utilized?
<input type="checkbox"/> UAF <input type="checkbox"/> UAMS <input type="checkbox"/> Other: _____
Note: Many funders do not allow work to begin or expenses to be incurred prior to receipt of IRB/IACUC approval. Details will be included in Grant Agreement, when received. Approval document must be submitted to OSP upon receipt.

OSP Notes and Comments	
<input type="checkbox"/> OSP Returned to PI for correction on _____	
<input type="checkbox"/> Agreement Attached	
<input type="checkbox"/> Legal Review Recommended	
Upon Approval, return to:	NOTES TO PI (Address Prior to Submission to Sponsor)
<input type="checkbox"/> PI	
<input type="checkbox"/> OSP	

Section H**Principal Investigator/Project Director Disclosures and Assurances**

Section must be completed by the PI for processing to continue. For proposal submission to be approved, the PI must check "Yes" to each item. Any items checked "No" or left unchecked will result in the proposal document being returned to PI. It is the PI's responsibility to ensure they have reviewed all items and links noted prior to submitting proposal.

By signing below, I certify I have read the following statements and further certify the statements contained herein and in the accompanying proposal are accurate and truthful to the best of my knowledge and belief:

- Y N Investigators/directors have read/understood the UACES Code of Ethics:
<https://division.uaex.edu/division/docs/policies/pmgs-09-4.pdf>
- Y N All investigators/project directors have read and understood the UACES' conflict of interest and Investigator Significant Financial or Business Interests Disclosure policies and have made all disclosures required by them and, prior to expenditure of any award funds, shall have reached an agreement with UACES providing conditions or restrictions necessary to manage, reduce, or eliminate such conflicts of interest:
<https://www.uaex.edu/support-units/sponsored-programs/docs/Financial%20Conflict%20of%20Interest.pdf>
- Y N The proposal submitted is herewith is (i) complete in its technical content; (ii) adheres to the rules of proper scholarship, including providing proper credit for text and graphics from other sources; and (iii) complies with federal standards for integrity of research.
- Y N By signing below, the Faculty, Agents, Staff, Department Heads, Assistant Directors, and/or District Supervisors certify that adequate space, faculty time, and equipment are available to conduct the project, the proposal is technically sound, and the investigator/program director is able to assume responsibility for the proposed activities.
- Y N If the proposal submitted herewith is funded and accepted, I will conduct the project in accordance with the Terms and Conditions of the sponsoring agency and Extension policies and will be fully responsible for meeting the requirements of the award, including but not limited to, providing the proper stewardship of the funds, submitting the required programmatic effort reports and deliverables in a timely manner, adhering to the responsible scientific conduct; avoiding any false, fictitious, or fraudulent statements or claims which may subject the PI to criminal, civil, or administrative penalties, and adhering to all federal compliance requirements.
- Y N If funds are requested for equipment, PI has determined that no other UACES equipment is available, accessible, and/or suitable for the intended use.

Section I**Approvals**

The approvals provided on this form represent general approval of technical merit, allocation of Extension space/resources, and fiscal budgeting and do not represent specific approval of personnel titles, classifications, salary rate, or other issues governed by Extension policy. The PI/PD and other appropriate signatories are responsible for informing the Office of Sponsored Programs of any material changes to compliance certifications both while the project is pending and during the life cycle of the award.

_____ Principal Investigator	_____ Date	To be signed after all other signatures obtained	_____ Assoc./Asst. Director-ANR/FCS/4-H/County Programs	_____ Date
_____ Dept Head/Staff Chair/District Director	_____ Date		_____ Assoc. Director, Fin. and Admin	_____ Date
_____ Office of Sponsored Programs	_____ Date		_____ Assoc. VP, Agriculture-Extension (Needed if Award >250,000)	_____ Date

Division Level, If Required for Agreements

_____ Vice President, Administration	_____ Date	_____ Vice President, Agriculture	_____ Date
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If a line item in the budget calls for goods or services provided by a source outside the U of A System, it is possible a Sub-Award or (vendor) contract will be needed. To help determine which is appropriate for your project, the following may be considered guidelines. If you have any questions or need assistance, please contact OSP.

Generally, the determination of the relationship with an entity is verified through the institutional review of the proposal narrative, budget justification, and other related proposal documents, as well as through discussions with key personnel prior to proposal submission. When the relationship remains unclear, this form may provide assistance in making an accurate determination.

Definitions from Uniform Guidance (2 CFR, Part 200)

Sub-Recipient

200.93 Sub-recipient means a non-federal entity that receives a sub-award from a pass-through entity to carry out a portion of a federal program; but does not include an individual who is a beneficiary of such program. A sub-recipient may also be a recipient of other federal awards directly from a federal agency. A sub-recipient materially performs a portion of the statement of work incorporated in the project narrative.

Contractor (a.k.a. "Vendor")

200.23 Contractor means an entity that receives a contract as defined in 200.22, Contract.

200.22 Contract means a legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a federal award.

Worksheet

NAME OF OUTSIDE ENTITY: _____

Sub-Recipient: *A sub-award is for the purpose of carrying out a portion of a federal award and creates a federal relationship with the sub-recipient. Characteristics include an entity/individual which has:*

- Performance is measured against whether objectives of project are met
- Responsibility for programmatic decisions
- Responsibility for adherence to program compliance requirements
- Uses sponsor funds to carry out a program as opposed to providing good or services
- Responsibility to comply with sponsor requirements

Contractor (a.k.a. "Vendor"): *A contract is for the purpose of obtaining goods and services for the non-federal entity's own use and creates a procurement relationship with the contractor. Characteristics include and entity/individual which:*

- Provides goods or services within normal business operations
- Provides similar goods or services to many purchasers
- Operates in a competitive environment
- Provides goods and services ancillary to operation of the program.
- Is not subject to sponsor requirements

COMMENTS:

FINAL DETERMINATION: Sub-Recipient Contractor

If the project is determined to include sub-awards or if sub-awards are included in the line-item budget, each institution, entity, or individual involved must complete Sub-Recipient Commitment Form FINANCE 3-15 and provide noted attachments.