



THE UNIVERSITY OF NORTH CAROLINA
ASHEVILLE

Policies and Procedures

Policy #: 84
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Approved by: JHM

Owner Dept: Sponsored Scholarship
Phone: 6476

Title: **Proposal Development and Pre-Award Administration**

Purpose: The purpose of this policy is to establish procedures designed to limit the liability of the University of North Carolina at Asheville's community in the development and management of externally sponsored grants, contracts, and cooperative agreements.

Scope: This policy applies to all administrators, faculty, researchers, and staff who seek to develop, submit, and manage externally sponsored grants, contracts, and cooperative agreements.

Policy: This policy establishes procedures with respect to grants, contracts, and cooperative agreements – as defined in 95 P.L 224 and its amendment 97 P.L. 162 – to finance sponsored programs within the University of North Carolina at Asheville. Individuals who fail to follow the guidelines specified in this policy and procedure assume all legal liability for the sponsored project. In addition, the University reserves the right to decline funding from a sponsoring agency for proposals not processed in accordance with the procedures outlined in this policy.

Reference: UNC-Office of the President [Administrative Memorandum 408](#) (11/17/2000)

Definitions: **Contract** – A contract is a written agreement, subject to negotiation between two parties, and is enforceable by law. A recipient's responsibility under contract normally involves the generation of some deliverable, and may contain provisions for the exclusive or proprietary use of results by the sponsor. A contract is subject to certain standards of performance on the part of the recipient and carries a significant level of accountability.

Cooperative Agreement – A cooperative agreement is a legal agreement that provides funds to a recipient to accomplish a public purpose and is subject to negotiation. Substantial performance on the part of both the sponsor and the recipient is expected and will be identified in the terms and conditions of the agreement. A cooperative agreement is subject to certain standards of performance on the part of the sponsor and of the recipient and carries a significant level of accountability.

Other Agreements – This category involves agreements for the legislative award of funds to an institution's line item budget in support of a particular activity. The terms of the legislative transfer are normally restrictive as to use of funds and deliverables. Institutions are instructed to issue grants or contracts for the conduct of the effort funded.

Receipt Deadline – This is the date by or before which the sponsor must receive proposals.

Postmark Deadline – This is the date on or before which the proposal must be postmarked by the United States Postal Service.

Procedure: **I. Office of Sponsored Scholarship and Programs (OSS&P)**

The Office of Sponsored Scholarship and Programs is authorized by the Chancellor of the University of North Carolina at Asheville to submit sponsored projects proposals to all agencies, government or non-government, industry or foundations and to accept awards based on these

proposals. The Development Office is authorized by the Chancellor to solicit and accept gifts and grants from individuals, corporations, foundations and estates. OSS&P is responsible for the administration of sponsored projects for all departments, units or affiliates of the University. The Office of Sponsored Scholarship and Programs also provides assistance in the preparation of proposals. OSS&P processes numerous proposals annually and has an extensive knowledge and experience in proposal organization and budget preparation.

II. Sponsored Scholarship Versus a Gift.

In the most simplistic terms, sponsored projects require submission and management by the Office of Sponsored Scholarship and Programs. Principal Investigators (PI's) and Project Director (PD's) seeking gifts should contact their appropriate Vice Chancellor or Associate Vice Chancellor and with their permission, seek the assistance of the Development Office.

Sponsored projects include research, instruction and training, public service, fellowships, and other scholarly and creative activity conducted under the direction of the University of North Carolina at Asheville. A sponsored project is determined when an administrator, faculty, researcher, or staff seek external funding in accordance with an award instrument containing one or more of the following provisions:

- A. The proposed work binds the University to a specific line of scholarly or scientific inquiry that requires a statement of work, grant application, or proposal.
- B. The submission (and approval) of a budget is required.
- C. The funds are given to accomplish specific objectives (as opposed to providing support for a general area) within a specific time frame.
- D. Funds are to be used only for activities approved in advance by the sponsor.
- E. There is a requirement for technical or detailed financial reports (e.g., by cost category), or for some other outcome or product of the activity, to be delivered to the sponsor during or at the completion of the activity.
- F. A time period is specified during which activities are to be conducted and completed.
- G. There are requirements for audits by or on behalf of the funding source.
- H. Terms for disposition of rights in tangible and intangible property (data rights, copyrights, inventions) developed or obtained during the activity are included.
- I. The requirements for unexpended funds to be returned to the sponsor at the completion of the activities.

A **gift** is a contribution received by an institution for either unrestricted or restricted use in the furtherance of the institution for which the institution has made no commitment of resources or services other than, possibly, committing to use the gift as the donor specifies. The contribution is a nonreciprocal transfer in that there is no implicit or explicit statement of exchange, purchase or services, or provision of exclusive information.

A **grant** is a contribution received by an institution for either unrestricted or restricted use in the furtherance of the institution that typically comes from a corporation, foundation, or other organization, rather than an individual.

III. Pre-Award Responsibilities.

Each proposal requesting external funding becomes a legal document binding the University to fulfill the conditions specified in the proposal. Thus, it is the author's responsibility to ensure that the proposal, in addition to the programmatic aspects of the project, complies with the

University's policies, mission, and obligations. When a proposal is submitted, the University, not an individual, submits it. When an award is received, it is received by the University.

To ensure the most competitive stature of the university in the seeking of gifts, grants and awards from private foundations, the OSSP should communicate with the Development Office to facilitate the application process. This does not apply to government grants (federal or state).

A. Project Director/Principal Investigator:

1. Identifies funding opportunities compliant with their research goals and objectives and the goals and objectives of the department and University.
2. Writes proposals including narratives, budgets, and all required forms.
3. Develops project plans consistent with the mission of the submitting department and University.
4. Assumes responsibility for final grant submission costs (copying, faxing, mailing, courier service, etc.);
5. Assumes responsibility for (post- and pre-award):
 - a. implementing and managing the project consistent with University and sponsoring organization's policies;
 - b. proper technical, programmatic, and fiscal management and maintenance of related records;
 - c. quality overall project performance;
 - d. preparation of all technical and programmatic reports;
 - e. reporting all inventions that may result;
 - f. comprehensive compliance with the terms and conditions of the resulting sponsored agreement;
 - g. fiscal prudence and compliance with cognizant regulation.
6. Transmit the proposal, with a completed and signed UNCA Proposal Processing Form to the Department Head for consideration.
7. Initiation of appropriate regulatory compliance requirements (e.g. IACUC, IRB, Radiation Board approvals, etc.).

B. Department Head:

1. Assists in identifying funding opportunities for the department.
2. Reviews proposals for consistency with department and University mission, availability, and commitment of support resources, including time, space, and finances.
3. Assures that all faculty and department obligations will be met.
4. Indicates concurrence with the proposal by signing the Proposal Processing Form (including any cost-sharing agreements noted on the Proposal Processing Form or in the proposal itself).
5. Forward the proposal package to the Office of Sponsored Scholarship and Programs.

C. Office of Sponsored Scholarship and Programs:

1. Reviews proposal for consistency with department and University mission, availability, and commitment of University resources including time, space allocation, and financial support.
2. Assures that all obligations will be met.
3. Review special institution commitments such as waivers of Facilities and Administrative Costs.
4. Review the budget for compliance with University policies and sponsor guidelines.

5. Verify that all required reviews have been conducted on the proposals that involve using animals, human subjects, hazardous materials, conflict of interest, and debarment.
6. Verify that all appropriate arrangements have been made and documented for projects involving extra space allocation, renovation, new courses, campus housing, etc.
7. Obtain the approval of the Vice Chancellor for Administration and Finance, Vice Chancellor for Academic Affairs, and/or the University Chancellor.
8. Serve as the point of contact to release information to the public under Federal and State guidelines.
9. Maintain records of proposal activities for periodic reporting to the University of North Carolina – Office of the President.

IV. Proposal Development.

The proposal document is a very significant factor in the decision by a funding agency to approve or disapprove a project. While it must be well written – i.e., be clear, concise, readable, and be free of jargon – the content, logic, and arrangement of the document are highly important. It is critical that the proposal demonstrates:

- A. That the idea for the project is important and addresses a significant need.
- B. That the project director has done a thorough job of choosing the best approach to solving the particular problem and of planning its implementation.
- C. That the applicant – both project director and institution – has the capabilities of carrying out the proposed project successfully.

In addition to content, success hinges on the proposal's organization, readability, effectiveness in clearly communicating the proposal plan to the sponsor and reviewers, and effectiveness in clearly communicating how the proposal project meets the sponsor's needs or programs.

The following “Do’s” and “Don’ts” are modified from the Mississippi State University, Office of Sponsored Programs and Regulatory Compliance Administration’s handbook for PI’s:

- A. **DO** read all forms and instructions provided by the sponsor and follow them carefully. Have someone not involved in writing the proposal check to see that the informational requirements have been met.
- B. **DO** adapt the language of the proposal to the audience at the sponsor. Highly technical words or phrases should always be explained unless they are commonly used and easily understood. Do the sponsor and reviewers the courtesy of enabling them to understand what you wrote without additional study.
- C. **DO** write with clarity and conciseness. Proposals are rarely judged on their length. Reviewers irritated by unnecessary prose are likely to judge the proposal negatively.
- D. **DO** have your proposal read for clarity, grammar, and style before final typing.
- E. **DON’T** bury the important parts of the proposal plan behind too many introductory phrases. Reviewers should be able to discern the important elements easily, without having to dig for them.
- F. **DON’T** be afraid to use underlining, capitalization, headline titles, etc., as needed to make the proposal more readable.
- G. **DON’T** clutter the body of the proposal with a lot of drawings, charts, tables, etc., unless required by the application instructions. Too many of these will interrupt the smooth

flow, reducing readability. Usually this type of information should be attached as appendices.

All sponsors have some special requirements regarding format, number of copies required, submission deadlines, etc. Certain sponsors, NIH or NSF for example, have highly specific requirements and supply printed forms to be used for title, budget, summary, and text pages of proposals submitted to them. Many sponsors have established a strict limit on the pages permitted in the narrative portion, and have limited vitae to one page each. You are urged to read carefully the technical proposal requirements of the sponsor before writing begins.

All materials should be typed or printed on 8½ x 11 paper suitable for quality reproduction. Unless specifically required, binding your proposal is not recommended. Many sponsors are so specific as to advise when stapling is allowable and if so precisely where to staple a proposal. It is imperative that the project director highlights such requirements and abides by them.

All illustrations and tables should be referenced in the text and placed as close as possible to their respective references without adversely affecting the readability or flow of the narrative. An exception to this is when the sponsor has established a strict limitation of the number of pages permitted. Under such circumstances, it usually is possible to place a series of illustrations and/or tables as an appendix.

If the proposal instructions include specifics on page numbering, follow those instructions. If not, use the following. All pages are to be numbered. On the cover, however, which is counted as page "I", the number is not displayed. Continue using lower case Roman numerals through the CONTENTS page (usually "ii", the first number displayed). The text begins with the Introduction, page 1, and continues to the appendices, with Arabic page numbers. Appendices are identified either by capital Roman numbers (Appendix I, II, III, etc.) or capital letters (Appendix A, B, C, etc.). Pages within an appendix are numbered with Arabic numerals, as A-1, A-2, etc. or I-1, I-2, I-3, etc. Pages should be numbered at the bottom center unless otherwise specified in the proposal instructions.

V. Budget Planning and Computation.

The primary responsibility for budget planning and development rests with the Principal Investigator (PI) or Project Director (PD) in consultation with the Department/Unit Head or Chief Research Officer. Staff members for the Office of Sponsored Scholarship and Programs (OSS&P) will advise the PI in general matters in the preparation of the budget, and will review and approve the budget prior to submission of a proposal. Early involvement of OSS&P personnel in the proposal process can eliminate many potential problems.

When preparing a budget, be realistic. Include sufficient funding to carry out the project but don't artificially inflate items. Underestimating project costs strongly suggests to reviewers that the proposal author doesn't fully comprehend the proposed work. Also, when a researcher is awarded a project where the budget is not sufficient to cover necessary project costs, some other organization must come up with the additional funding – department, University, etc.

In developing your proposal budget, the following items should be taken into consideration:

A. Salaries and Wages:

1. Faculty and Staff – Use current salary figures with an appropriate inflation factor as of July 1 of each year thereafter. If an UNCA faculty member will only be

consulting on a project, it will still be calculated as a percentage of the appointment. No extra compensation may be paid from a sponsored project unless it is specifically identified as such and requested from the agency in the proposal and approved.

2. Temporary Employees – Use hourly wage rates as appropriate for the type of work performed within the guidelines issued by Human Resources. You may or may not choose to use 4% - 7% per year inflation factor.
 3. Fringe Benefits – The current rate is 28% as stated by The UNC Office of the President.
- B. Equipment: Only items costing \$500.00 or more should be listed; cost estimates should include sales tax and shipping; identify each piece of equipment with a corresponding cost.
- C. Materials and Supplies: The principal investigator's best estimate or catalog price, plus tax and shipping costs for each item should be identified. Inflation suggested at 4-7% per year but not mandatory. Individual components to be used for equipment fabrication should be identified as such.
- D. Publications: The principal investigator should provide their best estimate of page charges, etc. Contact UNCA Printing Services for quotes/rates for copying and other publication charges. Inflation suggested at 4-7% per year but not mandatory.
- E. Consultant Services: Most federal agencies limit the maximum daily compensation rate to GS-18 level. If you add consultant services into your budget, the inflation rate should be at 4% per year but not mandatory.
- F. Subcontracts:
1. Have each subcontractor prepare and submit a detailed budget. They will want to obtain their standard institutional/agency approvals first.
 2. Each subcontract should be listed separately. Math on budgets submitted by subcontractors should be checked.
 3. If the subcontractor is requesting facilities and administrative costs, include it as a direct cost to UNCA.
 4. Submit a copy of the subcontractor's most current negotiated facilities and administrations cost agreement for audit purposes.

VI. Cost Sharing.

The University shares in the cost of a sponsored program whenever there is a difference between the total cost of performing a project and the funding provided by the sponsor, with the difference of cash or in-kind support made up by the University. Cost sharing may either be direct or Facilities and Administration Costs (F&A). However, cost sharing of F&A costs is subject to sponsor and University policy.

Cost sharing should be proposed only when required by the sponsor or strongly encouraged and should not exceed the levels required by the sponsor. Voluntary cost sharing should be avoided because cost sharing consumes scarce resources and also places a heavy administrative burden on the University because cost sharing must be extensively documented. Cost sharing by the University must be identified as either "In-kind" or "Cash Match." Page two of the Office of Sponsored Scholarship and Programs Proposal Processing Form must be filled out and signed by the appropriate individuals to document approval of in-kind cost sharing and cash matching. Proposals that require cost sharing will not be submitted to the sponsor until the Chief Research Officer receives an approval by all parties subject to the reallocation of resources.

- A. In-kind: Whenever possible, cost sharing should be limited to salaries and wages and the fringe benefits and facilities and administration costs attributed to those salaries and wages. These costs are considered “in-kind” because the University provides the services of faculty and does not receive compensation.
- B. Cash Matching: Sponsors occasionally request that the University contribute or “match” a portion of the funds requested. The funds provided by other funding sources are then referred to as matching funds. When required by a sponsor, matching funds become a condition of any award, which is made based upon the proposal. Items of equipment, which are purchased for and used exclusively during the life of the project, may be used as cost sharing with appropriate supporting documentation. The equipment must be listed in the proposal and identified as a cost sharing contribution by the University. Supplies and other costs may be used but only if the charges can be monitored.
- C. Third Party Cost Sharing: Organizations other than the University may cost share in the project. Chief Research Officer must receive a written commitment from a person authorized to commit the organization financially before the proposal is submitted.

VII. Compliance.

Requesting and accepting funding for a sponsored project places responsibility on the University and the Principal Investigator to insure that all necessary compliance requirements are met. The compliance topics relevant to any project are governed by the funding agency’s regulations and the applicability of the individual compliance topic to the particular project. When the University accepts a sponsored project award on behalf of a Principal Investigator, the PI assumes the responsibility for insuring that the funding agency’s contractual requirements or general award guidelines are followed as well as any applicable regulations of the State of North Carolina and UNCA.

Awareness of compliance issues are IMPORTANT because:

- A. The Federal government and other agency sponsors expect PI’s to understand and observe compliance requirements;
- B. PI’s are usually in the best position to make knowledgeable judgment decisions regarding their research;
- C. Significant funds – usually public funds – are involved and, in some research situations, lives are involved.

Non-compliance is a SERIOUS matter and can result in:

- A. Financial penalties for the PI and/or the University;
- B. Damage to reputations for both the PI and the University;
- C. Limitation of contractual privileges or limitation of the receipt of future awards, both for the PI and the University;
- D. Debarment from Federal contracting, civil or criminal proceedings for the PI and/or the University.

In alphabetical order, here are some of the compliance overviews that a PI may require to obtain prior to a sponsored project being funded:

- A. Debarment. In accordance with Public Law and Executive Orders, an individual, institution, or firm that is debarred, suspended, or excluded from doing business with the

- Federal, State, or local governments cannot participate in government procurements or receipt of particular government monies.
- B. Drug-Free Workplace. The University is subject to the Drug Free Workplace Act of 1988 and maintains a policy to insure compliance with the Act and all UNCA employees are bound by this policy. Proposals to Federal agencies must contain a certification that the University complies with this Act. Federal contracts and grants normally contain clauses binding the University to the requirements of this Act.
 - C. Equal Employment Opportunity/Affirmative Action. Public Law, Executive Orders, and State laws impose equal opportunity and affirmative action program requirements upon University transactions. UNCA outlines its procedures for compliance with these requirements in its Equal Employment Opportunity/Affirmative Action Policy. All employees should be familiar with and in compliance with this policy.
 - D. Human Subjects. UNCA's Institutional Review Board (IRB) must approve all protocols for all projects involving the use of human subjects before a funding agency can make an award. The IRB reviews all aspects of the project's proposed use of human subjects to ensure that subjects are protected from unnecessary or unreasonable risks, and that subjects participate in the study with informed consent, in conformance with the Federal Policy for the Protection of Human Subjects (Ref: P.L. 93-348 as implemented in 45 CFR 46).
 - E. Immigration Matters. Sponsored program issues affecting non-US citizens – employees, students, or subcontractors – should be referred to the Human Resources Office PRIOR to engaging the non-US citizen for sponsored programs.
 - F. Lobbying Activities. Most sponsored project award documents require certification that no Federal appropriated funds have been paid on behalf of the University to influence or attempt to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with awarding of any Federal contract, making any Federal loan, entering into any cooperative agreement, or extending, renewing, continuing, amending, or modifying any Federal contract, grant, loan, or cooperative agreement. If such activity has taken place, the University must disclose the activity using Federal form "Disclosure Form to Report Lobbying." Failure to disclose lobbying activity carries a substantial monetary penalty.
 - G. Overrun Account Procedures. It is the Principal Investigator's responsibility to insure that costs charged to their sponsored project awards are allocable (demonstrate a cost-benefit relation), allowable (as per OMB Circular A-21, project terms and conditions & institutional regulations), reasonable (do they stand the test of good judgment and common sense), and consistent (in relation to like circumstances). To assist with this responsibility, the PI should use the services and reports issued by the Controller's Office, review cost transactions and monthly account statements in a timely manner, and resolve financial errors quickly. Overrun Accounts (expenditures exceeding credited funds) are subject to reimbursement from departmental funds.
 - H. Radiation Safety. Use of radioactive materials in University research is regulated by the State Radiation Protection Board, which licenses and inspects UNCA's radiation safety program. All users of radioactive materials must receive proper training and authorization by the Radiation Safety Committee prior to obtaining or using radioactive materials.
 - I. Vertebrate Animals. UNCA is committed to the humane care and use of its laboratory animals. Projects involving the use of vertebrate animals are subject to review and approval by the Institutional Animal Care and Use Committee (IACUC). Animal use review and approval is generally governed by regulations outlined in publication US Department of Agriculture Guide for the Care and Use of Laboratory Animals. Projects

will not be awarded until the Office of Sponsored Scholarship and Programs receive certification of approval by the IACUC.

VIII. UNCA Proposal Processing Form.

The purpose of the review process is to: (1) inform department chairpersons, deans, center/institute directors, and vice chancellors of the proposed activity and request their approval of the proposed use of personnel, facilities, and other resources for which they are responsible; and (2) ensure compliance with all applicable federal and state laws and regulations, sponsor requirements and the policies and procedures of the University.

The Principal Investigator is responsible for the preparation of the proposal and for obtaining approval signatures on the Proposal Processing Form from the Department Head. The PI must answer completely the entire form. The current UNCA Proposal Processing Form is attached to this policy and can be obtained on the web at <http://www.unca.edu/sro/>.

In the case of proprietary research, wherein there are stipulations on release of information to journals, publications, or use in theses and dissertations; claims to copyrights and/or patents, or other stipulations, the PI must ensure that all other researchers involved in the project fully understand, and accept, all restriction that the terms of the proposal and resultant contract will impose upon them. This must include students working with the researcher and making significant contribution to the project.

A. Principal Investigator/Project Director Information:

1. Principal Investigator(s) – Enter the name of all principal investigators assigned to the project. The individual responsible for the administration of the proposal should be listed first.
2. Dept/Ctr/Inst – Enter the department, center, and/or institution for which each principal investigator is assigned.
3. CPO# - Enter the college post office number for each department, center, and/or institution listed. The CPO should correspond to the department, center, and/or institution listed in the preceding block.
4. Ext. – Enter the telephone extension for each principal investigator listed.
5. % Part – Enter the percentage of participation expected by the principal investigator involved with the proposal.

B. Project Title: Enter the exact title of the proposed project as listed on your proposal.

C. Agency Deadline Date: The date the proposal is required to be in the hands of the sponsoring agency.

D. No. of Copies: Enter the exact number of copies required by the sponsoring agency.

E. Electronic Submission: Mark “Yes” if the proposal requires an electronic submission. Mark “No” if the proposal does not require electronic submission.

F. Sponsor: Enter the sponsoring agency responsible for the funding of the proposed project.

G. What agency program is this in response to?: Most sponsoring agencies have sub-programs. Enter the sub-program, if known.

H. Funding requested:

1. Direct Amount: Enter the dollar amount for the entire project less F&A costs and Cost-Share.
2. F&A Amount: Enter the amount of facilities and administration costs the proposal will generate. If the project will not generate F&A costs, the facilities and administration cost waiver should be completed on page 2.

3. Cost Share: Enter the cost that UNCA is required to share in the development of this project. If the project will include Cost Share, complete the Cost Share section on page 2.
 4. Total Requested: Enter the amount of the entire project. This should be the direct cost, facilities and administration cost, and cost-share combined.
- I. Proposed start date: Enter the date the project is expected to start if funding is received.
- J. End date: Enter the date the project is expected to conclude if funding is received.
- K. Type of Project/Status:
1. Type of Projects:
 - a. Research: Mark the block if the project is research based.
 - b. Education: Mark the block if the project is educational in nature.
 - c. Training: Mark the block if the project is designed to provide training to faculty, staff, and/or students.
 - d. Equipment: Mark the block if the project is designed to purchase equipment.
 - e. Community: Mark the block if the project is designed to provide a community service.
 2. Status:
 - a. New Project: Mark the block if the project is new.
 - b. Continuation: Mark the block if the proposal is a continuation of a previously funded project.
 - c. Renewal: Mark the block if the proposal seeks to renew a previously funded project that has or is about to run out of funding.
 - d. Supplement: Mark the block if the proposal seeks to make modifications to the original project.
 - e. Revised Budget: Mark the block if the proposal seeks to make a revision to a previously submitted budget.
 3. If Continuation, Renewal, or Supplemental, give UNCA account number of existing award: Enter the account appropriate to the project being augmented. This will enable the Controller's Office to update funding availability to the appropriate budget.
- L. Special Conditions/Requirements:
1. Cost Sharing included in proposal?: Mark "Yes" if your project includes a provision for cost sharing. If the proposal does not include cost sharing, mark "No."
 2. Release Time?: Mark "Yes" if your project includes a provision for Release Time. If the proposal does not include Release Time, mark "No."
 3. Space. Additional, altered, facilities needed?: Mark "Yes" if your project includes a provision for Space. If the proposal does not include Space, mark "No."
 4. Proprietary Information include in proposal on following pages: Enter the pages that contain proprietary information. The university is required to make abstracts available to the public, by identifying proprietary information our office will exclude that information from release.
 5. Subcontracts included in proposal?: Mark "Yes" if you project includes provisions for subcontracts. If the proposal does not include subcontracts, mark "No."
 6. List other specialized requirements: Enter any requirements that may require University knowledge if the project is funded. This should include but not limited to handling classified/sensitive information, creation of courses/degree programs, purchase of sensitive equipment, etc.
- M. Compliance:

1. Human Subjects: Mark if your project includes human subjects.
 2. Vertebrate Animals: Mark if your project includes vertebrate animals.
 3. Biological Hazard: Mark if your project includes biological hazards.
 4. Chemical Hazard: Mark if your project includes chemical hazards.
 5. Radiation: Mark if your project includes the use of radioactive materials.
- N. Undergraduate/Institutional Impact: Complete each statement as it relates to you proposed project.
- O. Conflict of Interest: If you have a conflict of interest with the sponsoring agency, enter “Yes” in the block. If no conflict of interest exists, then mark “No.” After you have marked the appropriate block, the PI must sign the block.
- P. Cost Share:
1. Enter the amount of the Cost Share.
 2. Write the justification for the Cost Share.
 3. Explain how the Cost Share will be met.
- Q. Facilities and Administration Waiver:
1. Total Funding for Project (excluding salaries): Enter the total dollar amount of the project excluding salaries and wages.
 2. Total Amount for Salaries and Wages: Enter the total dollar amount of the salaries and wages included in the proposal.
 3. F&A Percentage Rate Available for this Project: Enter the percentage rate the sponsoring agency is requesting that you incorporate into your project costs.
 4. Total Amount of Project with Waiver: Multiply the percentage rate against the total amount for salaries and wages. Then add the “Total Funding for Project,” “Total Amount for Salaries and Wages” and the figure you came up with after multiplying the F&A against the lower rate. This will provide you with a figure of your project costs equal to what you are asking for from the sponsor.
 5. UNCA F&A Recovery Rates without a Waiver: Depending on your project, you will need to multiply the salaries and wages against the 55% (on-campus rate) or the 23.5% (off-campus rate). This figure will be placed in the appropriate block.
 6. Total Amount of the Project without the Waiver: Add the “Total Funding for Project,” “Total Amount for Salaries and Wages,” and the figure you came up with for the “UNCA F&A Recovery Rates without a Waiver.”
 7. Amount of F&A Waived by the University: Subtract the “Total Amount of the Project with Waiver” from the “Total Amount of Project without the Waiver.”
- R. Justification of F&A Waiver: Enter your justification for requesting a waiver. If the sponsoring agency does not pay for F&A, you must provide a written document from the sponsor indicating they do not pay.
- S. Signed: Read and sign. PI and Department Chair should sign and date before completed Proposal Processing Form and complete grant proposal and budget are submitted to Office of Sponsored Scholarship and Programs. Submission should be at least 5 working days before the date the grant proposal is due to be mailed or electronically sent.

IX. Submission Procedures.

A. Office of Sponsored Scholarship and Programs.

With the assistance of OSS&P, proposals are prepared within the department or unit. This includes the typing, duplication, and assembly. The requisite number of proposal copies plus two extras should be sent to OSS&P at least 5 working days in advance of funding agency’s deadline date. Additional time should be allowed for submission of proposals that involve human subjects, hazardous or potentially hazardous materials, and vertebrate

animals. All proposals must be accompanied by one copy of the OSS&P Proposal Routing Sheet, completed in full and signed by the investigator(s) and by the appropriate chairperson. If the principle investigator is adding a new degree or program to a department, UNC-Office of the President must approve the proposal before it is submitted to the agency. The Office of Sponsored Scholarship and Programs will obtain the appropriate signatures from the University administration. Upon approval to release the proposal to the sponsoring agency by the University, OSS&P will send the proposals to the sponsor.

B. Electronic Submission.

The federal government is utilizing modern technology to streamline and improve all aspects of research administration by implementing electronic commerce throughout its agencies. Several agencies (DOE/DOT/EPA/NSF/NIH), which fund university research, have or are developing their own electronic research administration systems. FastLane is a NSF project, which allows researchers to use the World Wide Web to obtain the status of proposals undergoing review, prepare and submit continuation and final technical reports (without sending a paper copy), check on the status of an annual funding increment, and search the NSF database to review funding patterns of various programs. FastLane can also be used to prepare and submit the entire NSF proposal electronically. FastLane is located on the Web: <https://www.fastlane.nsf.gov/>.

Most NSF FastLane functions require a Personal Identification Number (PIN) to protect the privacy of the PI/PD. In order to be assigned a PIN you must request one from the Office of Sponsored Scholarship and Programs. OSS&P will enter you into the system and provide you with a temporary PIN number until you access the system. Upon your initial access to FastLane, the system will have you enter a new PIN for your account.

Approved on: 07/13/2004
Next Review: 07/13/2007