

Proposal Clearance Forms (PCF)

Attach FINAL budget, complete proposal, other sponsor/university required forms
and a signed FCOI Disclosure/Certification Form for each PI/PD, Co PI/PD, and other Key Personnel (see p. 3)

**ORSP requires 5 business days prior to submission for review and administrative approval of competitive proposals.
Proposals not submitted to ORSP 5 business days prior to sponsor deadline may not be cleared for submission.**

SECTION 1 - PROJECT INFORMATION

To be completed by PI/PD and/or ORSP

Pre-proposal / Letter of Intent (preliminary submission)	Submission deadline
Proposal or application	Select method/date: Online E/Mail Received by Posted by
Collaborative application (SFA not lead)	# of copies _____
Contract or award document	
501(c)(3) SFA Foundation Submission Required	Mailing address/URL-Web/Email: _____

SFA PI/PD & co-PI(s)/PD(s)

Principal Investigator/Project Director:

Co-Investigator/Project Director:

Co-Investigator/Project Director:

Co-Investigator/Project Director:

Primarily Research	Yes	No	Type of Research	NA	Fundamental/Basic	Applied or R&D
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Associated SFA Center:

Project Title

SPONSOR:

Prime (PT)

Sponsor:

Begin:

End:

CFDA #

Required for all Federal and Federal pass-through applications

SECTION 2: BUDGET SUMMARY

Attach detailed budget for grant and Cost Share Detail form (CSR) if cost share required

	Amount Requested from Sponsor	Required Cost-share	Total Budget	
Direct Cost				IDC rate - select from menu
Indirect Cost				IDC reduction requested (attach form)
TOTAL:				

SECTION 3 - SAFETY, COMPLIANCE and RESTRICTIONS

to be completed by the PI/PD; attach any approvals or other documentation.

1. Does the project involve Human Subjects (including surveys, focus groups, instructional interventions, etc)?			IRB Status	
2. Does the project involve Live Vertebrate Animals (including capture, captivity, and/or experimentation)?			IACUC Status	
3. Include Biohazards (including recombinant DNA, radioisotopes, hazardous substances, human blood, parasites, viruses, etc.)?			BSC Status	
4. Produce Hazardous Chemical Waste ?			Include disposal provisions and costs in proposal or other documentation.	
5. Include a Foreign Component - non-US citizens; export control (collaborators, employees, students; delivery of materials, software, equipment, and/or information to a foreign entity; foreign travel)?			Country/ (ies):	
6. Have any Restrictions on Publications (including controlled use of data, ownership of products or discoveries, prior approval before publication, etc.)?			Attach explanation.	
7. Include a subaward(s) to an external entity(ies)? If yes, contact ORSP 10 business days prior to submission as a separate certification form and documents are required from each potential subaward institution.			Attach completed ORSP Subrecipient Certification Forms	
8. Request additional compensation above institutional base salary (IBS) in the proposal? (Other than reassigned time.)			Review SFA policy 12.1 to ensure eligibility.	

SECTION 4 - PRIOR INSTITUTION APPROVALS			
To be completed by the PI/PD with appropriate attachments; VP/Dean/Chair initials as needed			
1. Does the project require alterations to existing space or new construction?			Attach Design Center approval or VP/Dean/or Chair approval initial here _____
2. Does the project require commitment to maintain equipment after the project ends? Or continue activities after funding ends?			Attach Chair/Dean commitment letter as applicable
3. Does the project require hiring of additional faculty or professional staff (new positions)?			Attach Human Resource approval of job descriptions as applicable
4. Does the project create a new certificate or degree program, or establish a new center or institute?			VP/Dean/or Chair approval initial here _____
SECTION 5 - APPROVAL SIGNATURES			
Review to make sure all documents are attached before sending complete package to ORSP			
Principal Investigator/Project Director:			Date
Co-Investigator/Project Director:			Date
Co-Investigator/Project Director:			Date
Co-Investigator/Project Director:			Date
Chair(s)/Director(s) <i>My signature confirms review of the complete application materials attached. I approve the institutional commitment to the following, as applicable: 1) faculty and/or staff time; 2) cost-share or matching (see budget); 3) use of university facilities; 4) required facility modification or remodeling; 5) overall cost of equipment to be purchased, including shipping, set-up, and maintenance; and 6) absorb any post grant maintenance, tracking and monitoring using non-grant staff and resources.</i>	Chair Signature(s) and Date		
Dean(s) <i>My signature confirms my review of the complete application materials attached. I certify that the project's activities are consistent with the mission of the college, and commit to provide the support and resources as described in the application in the event of an award.</i> <i>If from a Federal source, complete page 4 to certify lobbying status with regard to this application or award.</i>	Dean Signature(s) and Date		
SECTION 6 - ORSP/FOUNDATION USE ONLY			
Reviewed by:			Date:
Comments:			
Director of Research:			Date:
VP for Advancement:			Date:
VP for Finance/Administration:			Date:
VP for University Affairs:			Date:
VP for Academic Affairs:			Date:
If from a Federal source, complete page 4 to certify lobbying status with regard to this application or award.			
President:			Date:
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;">PCF received:</div> <div style="width: 50%;">Completed packet received: _____</div> </div> <div style="margin-top: 10px;">Submitted by:</div> <div style="margin-top: 10px;">Date:</div> <div style="margin-top: 10px;">Method:</div> <div style="margin-top: 10px;">Comments:</div>			

PI/PD/Key Personnel Financial Conflict of Interest and Nepotism Disclosure (FCOI) and Certification Form for Sponsored Projects - *duplicate as needed*

Proposal: Completed by all PI/PD/Co-PI/Co-PD/senior/key personnel involved in a proposal. Routed with the Proposal Clearance Form. **Post award:** Used to disclose changes. Also, any additional or new PI/PD/Co-PI/Co-PDs complete this form and submit with a Revision Clearance Form.

Title of Proposal

Sponsor

Faculty/Staff name

Title/Position

Department

Phone ext.

Email

Type of disclosure: ☐ Initial/proposal stage ☐ Change in status ☐ Change in PI/PD/Co-PI/Co-PD (new or additional). Route with RCF.

Disclosures and Certifications

My signature below certifies that:

Yes/ No

- | | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|
| 1. I have read and understood the following university policies: 17.22 Purchasing Ethics and Confidentiality, 8.2 Financial Conflicts of Interest in Sponsored Activities, and 11.16 Nepotism. | <input style="width: 80%;" type="text"/> |
| 2. I am disclosing a significant, related financial interest for this project and have completed and attached the separate Sponsored Programs Conflict of Interest and Nepotism Management Form. | <input style="width: 80%;" type="text"/> |
| 3. I am acknowledging that the project may result in royalties or other remuneration paid by the university, exempt from COI disclosure, including intellectual property rights assigned to SFA and agreements to share in royalties to these rights. | <input style="width: 80%;" type="text"/> |
| 4. I am disclosing a familial relationship involved in the conduct of this project. This can include a relative receiving salary, travel funds, supplies, or other benefits. I have completed and attached the separate Sponsored Programs Conflict of Interest and Nepotism Management form. | <input style="width: 80%;" type="text"/> |
| 5. I agree to complete training as required by the sponsor (FCOI, RCR, etc). | <input style="width: 80%;" type="text"/> |
| 6. I am in compliance with all federal and university requirements, including but not limited to drug-free workplace, equal employment opportunities, Title IX, Whistle blower protection, etc. | <input style="width: 80%;" type="text"/> |
| 7. I am presently delinquent on any federal debt, including student loans. | <input style="width: 80%;" type="text"/> |
| 8. I am presently debarred, suspended, or proposed for debarment, declared or ineligible or voluntarily excluded from current transactions by any federal/state department or agency. | <input style="width: 80%;" type="text"/> |
| 9. Within the three-year period preceding this application, I have had one or more public transactions (federal, state, or local) terminated for cause or default. | <input style="width: 80%;" type="text"/> |
| 10. Within the three-year period preceding this application, I am delinquent in submitting final project reports to sponsors for previous awards. | <input style="width: 80%;" type="text"/> |
| 11. To the best of my knowledge, federal funds have not been used nor will be used to influence or attempt to influence members of Congress in the granting of this award. | <input style="width: 80%;" type="text"/> |
| 12. I agree to provide the required reports to the sponsor if project is awarded as a result of this application. | <input style="width: 80%;" type="text"/> |
| 13. I agree to notify the sponsored programs office if any of the circumstances on this certification page change during the term of the award by completing a new disclosure form . | <input style="width: 80%;" type="text"/> |

My signature certifies that to the best of my knowledge, the information submitted within this proposal is true, complete, and accurate. I understand that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. If awarded, I agree to assume responsibility for the scientific and programmatic conduct of this project and for ensuring project compliance with sponsor and university requirements, policies, and procedures.

Signature

Date

REQUIRED FOR FEDERAL APPLICATIONS OR AWARDS

Lobbying Certification Form

The Byrd Amendment, 31 U.S.C. 1352, provides the basis for requirements for certification regarding lobbying activities.

Lobbying is an attempt to influence a politician or public official on an issue. The federal definition of liaison is communication or cooperation that facilitates a close working relationship between people or organizations. Liaison activities are not considered lobbying and are exempt from disclosure. Federal funds can never be used to pay for lobbying activities.

If lobbying has occurred relative to this specific competition or award, including those that result from Federal earmarks, a Disclosure of Lobbying Activities form (SF LLL) is required if the contract, grant, or cooperative agreement exceeds \$100,000.

Check the appropriate box(es) and sign where indicated:

To the best of my knowledge no institutional funds or resources have been used to influence or attempt to influence members of Congress for the granting of this award.

Institutional funds or resources have been used to influence or attempt to influence members of Congress for the granting of this award. I am attaching a *Notification of Lobbying Activities* form.

Dean: _____ Date: _____

To the best of my knowledge no institutional funds or resources have been used to influence or attempt to influence members of Congress for the granting of this award.

Institutional funds or resources have been used to influence or attempt to influence members of Congress for the granting of this award. I am attaching a *Notification of Lobbying Activities* form.

Provost/VPAA: _____ Date: _____

President: _____ Date: _____