

# Cornell University Office of Sponsored Programs

## Proposal Checklist

Once a funding source is identified and eligibility is verified, the following guidelines are designed to help you submit a complete proposal to OSP for review, prior to submission to the sponsor. Links for additional information are provided where applicable.

### PI Eligibility:

- PI Eligible [http://www.research.cornell.edu/VPR/Policies/PI\\_eligibility\\_app.html](http://www.research.cornell.edu/VPR/Policies/PI_eligibility_app.html) If not eligible to serve as PI according to the terms of the policy, a Form 5, Application to Serve as Principal Investigator, must be submitted to and approved by Cathy Long, Associate Vice President for Research Administration, in advance of proposal submission. CALS Departments must submit Form 5 to Lisa Warner or Linda Harris and be approved by either Barbara Knuth or Jan Nyrop, Senior Associate Deans.
- Form 5 submitted for approval on \_\_\_\_\_

### Proposal Development: <http://www.osp.cornell.edu/ProposalPrep/Prop-guide.html>

Sponsor Guidelines: (Solicitations, Request for Proposal (RFP), Request for Quotations (RFQ))

- Read sponsor requirements thoroughly.
- Provide a copy to your [Grant & Contract Officer](#), as soon as a funding opportunity is identified.

General:

- Follow required formatting rules (font, type, spacing, etc.).
- Adhere to page limits.
- Determine # of copies required.

Content:

- Follow sponsor outline or checklist if available.
- Use required current sponsor forms.

Budget: <http://www.osp.cornell.edu/ProposalPrep/BudgetTemplate>

- Use correct budget format (if NIH modular budget used – provide detailed budget to OSP for internal review).
- F&A rate – use allowable, correct rate (documentation required if full rate not used).  
[http://www.accounting.cornell.edu/F&A\\_Cost\\_Rates.cfm](http://www.accounting.cornell.edu/F&A_Cost_Rates.cfm)
- Employee benefit rate – use correct rate <http://www.osp.cornell.edu/ProposalPrep/benefits.html>
- Cost sharing [http://www.policy.cornell.edu/Vol1\\_1.cfm](http://www.policy.cornell.edu/Vol1_1.cfm)
  - If there is cost sharing, specify type: Voluntary Committed, Voluntary Uncommitted or Mandatory.
  - Identify source of cost share (required on Form 10).
  - Obtain appropriate approvals.
- Justify direct charging of costs that are normally considered indirect costs  
[http://www.policy.cornell.edu/vol3\\_18.cfm](http://www.policy.cornell.edu/vol3_18.cfm)
- Provide Modified Total Direct Costs detail.

Subrecipients: <http://www.osp.cornell.edu/Policies/sub-proc.html>

Include:

- Institutionally-approved Letter of Intent from all subrecipients.
- Statement of Work from each subrecipient.
- Budget from each subrecipient.

Additional Documentation: Additional institutional documents may require time to secure, please plan ahead.

- University Rate Agreement
- Annual Financial Report
- Environmental Review
- A-133 Audit Report
- Other: \_\_\_\_\_

## The Internal Process:

Form 10: <http://www.osp.cornell.edu/forms/form10/>

- Sponsor Information
- Shipping Information
- Project Information
- Budget Information
- F&A Costs
- Cost Share
- Other Resources
- Conflict of Interest <http://www.oria.cornell.edu/COI/>
- Compliances
- Animals: <http://www.iacuc.cornell.edu/>
- rDNA IBC: <http://www.ibr.cornell.edu/>
- Human Participants: <http://www.irb.cornell.edu/>
- Hazardous Materials, Radioactive and Biological Materials EH&S: <http://www.ehs.cornell.edu/>
- Foreign Travel
- Approvals\*  
\*Proposals for CALS, Vet Med and Human Ecology are reviewed by designated representatives of these Colleges before being directed to the Office of Sponsored Programs. Also, remember signatures are required for Co-PI and associated Department Chairs.
- Form 10 Addendum (required for College of Arts & Sciences, Library and College of Engineering proposals and for all proposals submitted to the National Institutes of Health)

**Office of Sponsored Programs:** When the proposal is complete send it to the Office of Sponsored Programs.

To allow adequate time for review and modification if necessary, completed proposals need to be provided to OSP five business days prior to the deadline. Proposals received less than two days prior to the submission time, may be submitted without a complete review, but will be reviewed completely after the submission date. Cornell reserves the right to withdraw from consideration any proposal found to be non-compliant after it has been submitted, and reviewed post-submission.

Include:

- Completed original proposal
- Required number of copies (+1 for OPS)
- Completed Form 10
- Deadline date and time
- For electronic submissions, a hard copy for review and proper electronic format for submission.

OSP reviews the following for accuracy and completeness:

- Form 10 is complete & signed
- Cost-sharing identified and commitment approved
- Format and Content of proposal
- Budget and Budget Justification
- Subawardee commitments
- Required Certifications & Representations

OSP submits the proposal and includes a transmittal letter as necessary.

You are encouraged to consult your Grant & Contract Officer (GCO) at any time during proposal development. Assistance provided at an early stage can help avoid problems that might result in a sponsor's rejection of a proposal or resolve issues that could delay or prevent acceptance of an award. It is particularly important to notify your GCO as early as possible when responding to detailed proposal solicitations.