CHECKLIST AND APPROVALS FOR EXTERNAL GRANT SUBMISSIONS

This form must precede all faculty grant proposals that will be submitted for outside funding that will be administered by the College. The purpose of this checklist is twofold. First, this is a guide to help you remember all of the items that should be covered in your planning. Second, it helps us keep track of what commitments are being made in grant proposals so that nothing comes as a surprise, either to you or to us, later on when you grant gets funded. Please obtain signatures for those sections that pertain to your proposal. For example, if your proposal includes purchase of a computer, please review your needs with Andrew White and have him sign this form. If, on the other hand, you are NOT proposing to hire any staff, you DO NOT need to obtain a signature in the Personnel section. Please inform the Office for External Grants of your intent to apply and to start the process of approval at least a month before the deadline.

Name of P.I.: __________________________________________________________________________________
Name of grant: _________________________________________________________________________________
Funding source: _______________________________________________________________

<table>
<thead>
<tr>
<th>PERIOD</th>
<th>START DATE</th>
<th>END DATE</th>
<th>DIRECT/$</th>
<th>F&amp;A (if applicable)</th>
<th>TOTAL</th>
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<tr>
<td>1st YEAR</td>
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<td>2nd YEAR</td>
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<td>3rd YEAR</td>
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<td>TOTAL</td>
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Budget Reviewed and Approved by Heather Ward in Finance ______________________________   Date:  ________________________

MATCHING COSTS/COST SHARING INFORMATION

$ ___________ TOTAL BATES CONTRIBUTION reviewed and approved by Pam Baker ____________________________
Cash $ ___________ Value of In-Kind $ ___________

PLEASE ATTACH DOCUMENTATION OF SOURCES FOR MATCH/COST SHARE

PERSONNEL
Will you be hiring any support personnel (other than students)? ___________ How many months per year? ___________
How many hours per week? ___________ Salary: ___________ Benefits @ 35.7% of salary: ___________
Has this salary level been approved by Human Resources? ___________ Is this person already employed at Bates? ___________
Will any students be funded from this grant? Are the proposed rates of pay for students in line with college guidelines?
Reviewed and approved by Melani McGuire: ____________________________________       ____________Not applicable

EQUIPMENT OVER $5000 REQUESTED

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<thead>
<tr>
<th>Item</th>
<th>Cost:</th>
<th>College</th>
<th>Maintenance</th>
<th>Maintenance</th>
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<td></td>
<td>Share:</td>
<td>Estimate:</td>
<td>Arrangements</td>
</tr>
</tbody>
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Reviewed and approved by Pam Baker:_____________________________________________   ____________Not applicable
(attach additional documentation if needed)

COMPUTERS/SOFTWARE REQUESTED

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<tr>
<th>Item</th>
<th>Cost:</th>
<th>College</th>
<th>Maintenance</th>
<th>Maintenance</th>
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<td>Arrangements</td>
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</table>

Reviewed and approved by Andrew White:__________________________________________   ____________Not applicable
SPACE OR RENOVATIONS OR MODIFICATION TO COLLEGE PROPERTY
Will there be additional space or renovations that will be needed to conduct this project. ________ Not applicable
If yes, please discuss with your department chair and attach a description. ____________________ Chair Signature
Has Pam Wichroski or Dan Nein in Physical Plant reviewed these proposed changes? (please allow up to four weeks) ______ YES
Please attach an estimate complete with signed review by Dan or Pam.

Are HUMAN SUBJECTS involved in this proposed work? ______ YES ______ NO
If YES, please indicate how much you will pay and how you will pay the subjects (cash, check…)
If YES, has this project been approved by the IRB and in what category?
________ IRB Protocol Number ___________ Category ___________ Date of IRB Approval or:
_____________________________________________ Date Determined Exempt by IRB ______ Pending (Submitted to IRB) _____ Under Development (Not Yet Submitted)
NOTE: All key personnel must have IRB-approved training. Contact Todd Kahan in Psychology.

Are VERTEBRATE ANIMALS involved in this proposed work? ______ YES ______ NO
If YES, has this project already received IACUC approval? ____________ Date of Approval __________ Protocol Number
______ Pending (Submitted to IACUC) _____ Under Development (Not Yet Submitted)
NOTE: Key personnel engaged in the project’s work with animals must have annual training in their care and handling from Mary Hughes.

If this granting source is federal and requires the filing of a Financial Disclosure/Conflict of Interest form, has this been signed by all senior personnel and submitted? Yes_______ (see Office for External Grants for forms)

SIGNATURES OF REVIEW. (necessary even if other fields not applicable)
____________________________________________________ Department or Program Chair by signing, you acknowledge that you have reviewed this Checklist and are aware of the proposal as it pertains to the department.
____________________________________________________ Office for External Grants

NB: If electronic submission of the grant application is required, please have materials completed and ready THREE days prior to the deadline. This is necessary in order to ensure that the application can be submitted successfully.

P. I. Signature: _______________________________ Date: _______________________________
Co-PI Signature: _______________________________ Date: _______________________________
I CERTIFY THAT ALL THOSE INVOLVED IN THIS PROPOSAL ARE AWARE OF THEIR PARTICIPATION AND OBLIGATIONS. I AGREE TO ACCEPT RESPONSIBILITY FOR PROVIDING APPROPRIATE TRAINING FOR MYSELF AND FUNDED STAFF ON THOSE RISKS WHICH MAY BE INHERENT IN THIS PROJECT. I UNDERSTAND THAT THIS PROJECT WILL BE ADMINISTERED BY BATES COLLEGE. IN MY ROLE AS PI, I HAVE READ THE POLICIES AND PROCEDURES FOR MANAGING SPONSORED PROGRAMS REFERENCED BY THE FOLLOWING HYPERLINK http://www.bates.edu/Faculty-Handbook.xml. I AGREE TO COMPLY WITH BATES COLLEGE POLICIES AND PROCEDURES. I ALSO ASSURE (1) THAT THE INFORMATION SUBMITTED WITHIN THE APPLICATION IS TRUE, COMPLETE AND ACCURATE TO THE BEST OF MY KNOWLEDGE; AND (2) THAT I AGREE TO ACCEPT RESPONSIBILITY FOR THE CONDUCT OF THE PROJECT AND TO PROVIDE THE REQUIRED PROGRESS REPORTS IF A GRANT IS AWARDED AS A RESULT OF THE APPLICATION.

IF YOU HAVE ANY QUESTIONS ABOUT THIS FORM OR OTHER MATTERS RELATED TO YOUR GRANT APPLICATION, PLEASE CONTACT PHIL WALSH (x6240). “ASK EARLY, ASK OFTEN!” In addition, PLEASE return the completed form with signatures along with a copy of the FINAL proposal in its entirety for our files to: Office for External Grants, Coram Library 232 Revised: 07/22/11