Proposal & Budget COnsideration Checklist

## IT, Data, and Informatics needs

|  | If “yes”, contact Tim Shie before the proposal is submitted. |
| --- | --- |
|  | Electronic File Storage – are there special file storage requirements? |
|  | Data Backups and Restore – are there special data backup and restore requirements? |
|  | Data Retention/Archival – are there special data retention or archival requirements? |
|  | Data Destruction – are there special data destruction requirements upon completion of project? |
|  | Compliance Requirements – are there special compliance requirements for this project? |
|  | Other Specials Needs – are there other specials needs, such as dedicated servers, software, cloud services, or other hardware? |

## Does your project involve Intellectual Property?

|  | *If yes, you will need to get approval from the Research Foundation, and it might be helpful to talk with them as you develop your proposal.* |
| --- | --- |
|  | Does your project involve research that has implications for product development? |
|  | Does your project involve establishment of a business entity? |

## Does your project involve Risk Management or General Counsel?

|  | *If yes, you will need to get approval from the Risk Management and the Office of the General Counsel, and it might be helpful to talk with them as you develop your proposal.* |
| --- | --- |
|  | Do any participants or procedures you will do require insurance?  |
|  | Do participants have any legal risk? Do your protocols have legal implications? |

## Does your project involve space that is NEW OR not yet allocated?

|  | *If yes, you need to meet with the departmental administrator to discuss space allocation.* |
| --- | --- |
|  |  |

## Does your project involve new equipment?

|  | *If yes, you need to meet with the departmental administrator to discuss location, maintenance, and compliance.* |
| --- | --- |
|  |  |

## Does your project involve subject compensation or cash handling?

|  | *If yes, you need to meet with your departmental administrator to develop a plan.*  |
| --- | --- |
|  | Research subjects must be compensated with a University check and complete a [Substitute W-9](https://uiowa.edu/ap-purchasing/sites/uiowa.edu.ap-purchasing/files/RsrchParticipant_SubW9_111416.pdf)/[Substitute W-8BEN](https://uiowa.edu/ap-purchasing/sites/uiowa.edu.ap-purchasing/files/W-8BEN_111416.pdf) if any one of the following apply: |
|  | * The payment to the subject is greater than $100
 |
|  | * Cumulative payments to the subject will exceed $600 in a calendar year
 |
|  | * Subject is a non-resident alien
 |

## Does your project involve EXPORT CONTROLs?

|  | *If yes, contact the Division of Sponsored Programs to develop a plan.*  |
| --- | --- |
|  |  |

|  |
| --- |
| **Title of Grant**: **Funding agency**: **Collaborators**: **Due Date**: |
| **Proposal Checklist** |
| **Activity** | **Activity Owner/****Timeframe** | **Notes** |
| **When you have the idea….** |
| 1. Examine grant databases on the website to see who is funding similar research ([RePorter](http://projectreporter.nih.gov/reporter.cfm), [NSF](https://www.nsf.gov/funding/index.jsp), etc)
 |  PI, anytime  |   |
| 1. Read the webpages of the funding agency to ensure that your project idea aligns with the agency priorities.
 | PI, anytime   |   |
| 1. If the agency is with [NIH](http://grants.nih.gov/grants/oer.htm), examine study section rosters or study section review of similar grants to identify a study section with expertise in the area.
 | PI, anytime |  |
| 1. Identify a list of collaborators, including faculty, research staff, and community partners.
 | PI, anytime |  |
| 1. Identify an RFA that aligns with your interests.
 | PI, anytime |  |
| **When you have the RFA….** |
| 1. Contact your [Departmental Administrator](http://dsp.research.uiowa.edu/research-administrators) prior to preparing a proposal. If you have guidelines or instructions (such as an RFA), give a copy or link of the RFA to your Departmental Administrator.
 | PI to Dept. Admin, as soon as you plan to apply |   |
| 1. Let your DEO (Dept. Exec. Officer) know that you plan to submit a request for external funding, and discuss the project if needed.
 | PI, as soon as you plan to apply |  |
| 1. Read the guidelines for preparing the proposal (such as the RFA), in its entirety. Note the due dates, requirements for submitting, and requirements for review.
 | PI, as soon as you plan to apply |   |
| 1. Make sure you are eligible to apply. Some proposals, for example, are limited to only new investigators and some allow only one applicant per institution (in which case the [Office of Research and Economic Development](http://research.uiowa.edu/researchers/find-funding/limited-submissions) needs to approve the party to submit from the institution).
 | PI, as soon as you plan to apply |  |
| 1. Contact potential collaborators (if not already done through section above)
 | PI, as soon as you plan to apply |  |
| 1. Communicate with subawards (if applicable) the [University of Iowa Conflict of Interest Form B](https://dsp.research.uiowa.edu/sites/dsp.research.uiowa.edu/files/FormBb.pdf). Approval is required prior to routing.
 | PI and departmental staff, as you develop your research team, ~2-3 months before due date |  |
| 1. Communicate with subawards (if applicable) the appropriate University of Iowa [Audit Certification forms](https://dsp.research.uiowa.edu/sites/dsp.research.uiowa.edu/files/audit_certification_and_financial_status_questionnaire.doc). These do not need to be complete before routing.
 | PI and departmental staff, as you develop your research team, send with COI forms (above) |  |
| 1. Develop your proposal to fit the RFA
 | PI and research team, ~3-4 months before the due date |  |
| 1. Request letters of support
 | PI, ~2-3 months before due date |  |
| 1. Identify external reviewers to provide feedback on your draft proposal ([the Research Office can assist with this](http://www.public-health.uiowa.edu/wp-content/uploads/2015/10/ExpertReview2015.pdf))
 | PI and research team, ~2 months before due date |  |
| 1. Request biosketches from collaborators
 | PI and research team, ~2 months before due date |  |
| 1. Identify resource needs (space, IT, equipment, etc). Your [Departmental Administrator](http://dsp.research.uiowa.edu/research-administrators) may identify if meetings are needed (such as with the IT staff) in the case of special needs (such as servers, special software, etc). [Refer to proposal checklist.](#IT_Data_Informatics)
 | PI and Dept. Admin, one month before due date |  |
| 1. Draft your budget and justifications. If project involves subject compensation or cash handling, refer to the [proposal checklist](#Subject_compensation).
 | PI and Dept. Admin, one month before due date |  |
| 1. Gather [allowable appendix materials](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-129.html):

*For applications proposing clinical trials (unless the FOA provides other instructions for these materials)*:* Clinical trial protocols
* Investigator's brochure from Investigational New Drug (IND), as appropriate

*For all applications:** Blank informed consent/assent forms
* Blank surveys, questionnaires, data collection instruments
* FOA-specified items.
 | PI and Dept. Admin, one month before due date |  |
| 1. Enter available proposal items into required submission software. Proposal does not need to be complete.
 | PI and departmental staff, one month before due date |  |
| 1. If you are preparing a contract or proposal that will require a Memorandum of Understanding, meet with your [Departmental Administrator](http://dsp.research.uiowa.edu/research-administrators) and the [Division of Sponsored Programs](https://dsp.research.uiowa.edu/contact-us) to discuss contract language.
 | PI and Dept. Admin, one month before the due date |  |
| 1. Make sure that everyone on your project team has completed a [Conflict of Interest document](https://ecoi.uiowa.edu/researcher/earoverview) (if not, the routing of your grant will be delayed).
 | PI, two week before the due date |  |
| 1. [Make an IRB plan and put together required elements (e.g. Safety Monitoring Committee) If using incentives, cash handling plan must be submitted to IRB.](http://hso.research.uiowa.edu/)
 | PI, ~1-2 months before due date |  |
| 1. Identify and prepare required elements of the submission (e.g. abstract, cover letter, enrollment tables)
 | PI and research team, ~3 weeks before due date |  |
| 1. Enter all finalized proposal items into required submission software
 | PI and departmental staff, ~2 weeks before due date |  |
| 1. [Route your proposal](http://dsp.research.uiowa.edu/erouting-ui)
 | PI and departmental staff,7 – 10 days before due date |  |

**CONTACTS**

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