Wittenberg University

Checklist for Sponsored Project Proposals

PROPOSAL PROCESS: PRE-AWARD

It is strongly suggested that Investigators leave a reasonable lead time for completing the grant submission process as it is time consuming. The Academic Affairs and Institutional Research (AAIR) office can help support the submission process. Investigators are encouraged to follow the checklist in sequential order.

Investigator responsibilities:

1. Read the funder’s proposal guidelines thoroughly for your ability to meet eligibility requirements, documentation, and deadlines.

2. Submission plan. Meet with Academic Affairs and Institutional Research to plan tasks required to meet the funding deadline.
   a. Meeting scheduled for: ____________________________
   b. If personnel budget is required, prepare to meet with Provost.
   c. If subaward, submit full proposal if possible
   d. If private funding agency, loop Office of Advancement into communication plan.

3. Confer with your department chair for preliminary notification of your plans. Department chair signature is required for internal approval form and to sign off on new/additional space needs.

4. Work with project partners on the project’s goals, scope of work, and assessment/evaluation methods. Write proposal.

5. For budgeting plans related to personnel during the academic year (i.e., course release, adjunct pay, stipends etc.), plan to meet with the Provost for preliminary notification and amounts.
   a. Meeting scheduled for: ____________________________

6. Develop a budget. Meet with Director of the Office of Student Accounts to develop a preliminary budget.
   a. FORM: Complete Budgeting Template for Sponsored Research
   b. Meeting scheduled for: ____________________________

7. If you intend to use human or animal subjects in your research, gather appropriate approvals from the Institutional Review Board (IRB) or the Institutional Animal Care and Use Committee (IACUC). Documents and procedures available on Research Ethics and Compliance website. Wittenberg’s IRB is registered with the US Department of Health and Human Services (HHS): IRB00010236 Wittenberg University IRB #1; IORG0008550. (Attach approved petitions to the internal approval form or indicate that IRB/IACUC approval is pending is dependent on grant award.)

8. Read Wittenberg’s Policy for Financial Conflict of Interest and fill out and sign the Financial Conflict of Interest Disclosure Form (attach to internal approval form).
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9. Determine Institutional Support needs related to:
   a. Space
   b. Physical Plant, Safety, and Environment
   c. Institutional Technology and Computing Services
   d. Other Equipment
   Complete the Worksheet for Institutional Support (attach to internal approval form). Even if you believe you have no institutional support needs, feedback from the Chief Information Officer and the Assistant Vice President for Physical Plant is required (an email communication from those positions will suffice as evidence that they have reviewed the proposal prospectus).

10. Complete Internal Approval Form (attach appropriate documents including full proposal)

11. Submit final proposal draft with Internal Approval Form to Academic Affairs and Institutional Research office at least ten days prior to Grant Proposal Submission Deadline.

12. Once final internal approvals are in place, submit grant packet with signatures to the Provost’s Office. Provost’s Office will record and store original documents, and send digital copies to the Investigator, Student Accounts, and Advancement. The grant packet includes: 1) Internal Approval Form (signed by all Investigators and Department Chair), 2) Budget, 3) Financial Conflict of Interest Disclosure Form, 4) Approvals from IRB/IACUC if available or necessary, 5) Completed Worksheet for Institutional Support, if required, and 6) The full proposal.

13. Investigator to submit the final proposal to the funder on or before deadline date. If an NSF application, investigator will release the application to the Authorized Organizational Representative (AOR) (Assistant Provost) for final submission.

   Grant Proposal Submission Deadline Date: ______________________________________

PROPOSAL PROCESS: POST-AWARD

Investigator responsibilities:
   o Ensure IRB and IACUC approvals are in place if required. Submit approval letter and protocol number to Academic Affairs and Institutional Research office.
   o Share correspondence from the funding agency with Academic Affairs and Institutional Research office.
   o Manage all operating aspects of the project.
   o Prepare all expense reports, payment vouchers, or purchase orders. Submit original receipts.

Staff responsibilities:
   o Director of Student Accounts will set up the accounting structure

REPORTING and GRANT FISCAL MANAGEMENT

Investigator responsibilities:
   o Adhere to all of the funder’s reporting guidelines (including the format and content).
   o Submit reports to funding agency when required
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- Send copy of reports to Academic Affairs and Institutional Research, Provost’s Office.
- Be familiar with and follow Wittenberg’s Grant Fiscal Management policies and procedures (accessible on the Sponsored Research Programs website).
- Verifies expenditures on a quarterly basis and submits Cost Transfer Request Form when necessary.

Staff responsibilities:
- Director of Student Accounts tracks expenditures, provides summary of expenditures to Principal Investigator on a quarterly basis
- Director of Student Accounts submits financial reports on a quarterly basis to funding agencies
- Record and book indirect costs
- Initiate cash drawdowns and/or generate invoices as needed
- Develop Post-Award reporting schedule indicating reports’ due dates