Wittenberg University

Checklist for Sponsored Project Proposals

PROPOSAL PROCESS: PRE-AWARD

The Provost's office can help support the grant submission process. It is strongly suggested that Investigators leave a reasonable lead time for completing the process. Investigators are encouraged to follow the checklist. Please contact the Provost's Office as soon as you decide to apply for a sponsored project, preferably at least 45 days prior to the submission deadline. Policies and forms related to this process are located here:: http://www.wittenberg.edu/administration/provost/ir/sponsored-research

Investigator responsibilities:

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

2. As you prepare to apply for a sponsored research or project grant, consider these overarching questions:
   a. How will students, faculty, and staff of Wittenberg benefit from the project?
   b. How will students, faculty, and staff of Wittenberg be involved with the project?
   c. How will engaging in the work of the sponsored project impact your work at Wittenberg and your future aspirations at Wittenberg?

3. Develop a preliminary budget and submit for feedback as soon as possible to the Assistant Controller, Danna Lawhorn lawhornd@wittenberg.edu, and to the Director of Sponsored Projects, Jim Welch jwelch@wittenberg.edu. 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. Prepare a synopsis of the grant proposal for this meeting.

4. 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, and personnel budget items (e.g., course release, stipends, etc.).

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

6. 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).
   a. Documents and procedures available on Research Ethics and Compliance website.
   b. Wittenberg's IRB is registered with the US Department of Health and Human Services (HHS): IRB00010236 Wittenberg University IRB #1; IORG0008550.
   c. You may indicate that IRB/IACUC approval as *pending* when dependent on grant award.
   d. Complete the CITI Training modules appropriate to the research being conducted. Include certification of training with the IRB petition and/or the sponsored projects proposal. http://www.wittenberg.edu/administration/provost/ir/research-ethics/training

7. 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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8. 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 (and attach to internal approval form). Email approvals from Information Technology Services (ITS needs) and Physical Plant (space), as necessary.

9. Complete Internal Approval Form (attach appropriate documents including project narrative, budget justification, and budget) and acquire co-PI and department chair/supervisor signatures.

10. Submit final proposal draft with Internal Approval Form to the Provost's Office <u>at least ten days prior</u> to Grant Proposal Submission Deadline.

11. Once final internal approvals are in place and signatures are in place, the Provost's Office will record and store original documents, and send digital copies to the Investigator and Business Office. The grant packet includes: 1) Internal Approval Form (signed by all Investigators and Department Chair), 2) Project Narrative, 3) Budget Justification, 4) Budget, 5) Financial Conflict of Interest Disclosure Form, 4) Completed Worksheet for Institutional Support, if required.

12. 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) for final submission.

PROPOSAL PROCESS: POST-AWARD

Investigator responsibilities:
o Ensure IRB and IACUC approvals are in place if required.
o Manage all operating aspects of the project, including submitting work-orders for renovation to physical spaces and for IT support.
o Prepare all expense reports, payment vouchers, or purchase orders. Submit original receipts.

Staff responsibilities:
o Once notification of award is received, distribute the notification to the appropriate offices
o Business Office 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
o Be familiar with and follow Wittenberg's Grant Fiscal Management policies and procedures (accessible on the [Sponsored Research Programs website](#)).
o Verifies expenditures on a quarterly basis and submits Cost Transfer Request Form when necessary.
o Complete the Time and Effort Form on an annual basis and submit to the Business Office

Staff responsibilities:
- o Business Office creates account numbers for the grant and tracks expenditures, provides summary of expenditures to Principal Investigator on a quarterly basis
- o Business Office submits financial reports on a quarterly basis to funding agencies
- o Record and book indirect costs
- o Initiate cash drawdowns and/or generate invoices as needed
- o Develop Post-Award reporting schedule indicating reports' due dates
- o Ensures compliance with Grant Fiscal Management policies

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