

ATTACHMENT 3

PROPOSAL PREPARATION CHECKLIST

The following checklist items should be considered in the preparation and review of proposal applications to external sponsors. The checklist will help to ensure the rapid review of proposals within the UH, avoid delays in rewriting and revising proposals, and facilitate planning for the initiation of the proposed program.

A. Facilities

1. Will space presently available to the UH be adequate?
 - a. Has approval been obtained for the use of space needed for the project?
 - b. Are any of the following renovations required:
 - (1) Partitions, walls, or ceilings?
 - (2) Painting?
 - (3) New lighting arrangements?
 - (4) Additional electrical power and air conditioning?
 - (5) Water?
 - (6) Special services or facilities, new telephone, drains, fume hoods?
 - c. If renovations are required:
 - (1) Have costs been properly estimated and approved by appropriate UH personnel (FA, Department Chairperson Chancellor/Dean/Director, Facilities Planning, and Facilities Maintenance Office)?
 - (2) Are costs properly included as direct costs in the proposed budget including nonrecurring charges, such as telephone installation and relocation?
 - (3) Are any of the funds to be provided by the UH? If so, are these funds available?
2. Will space not presently available to the UH be required?

a. If non-UH space is required:

- (1) Have rental or lease arrangements been discussed with the Office of Procurement and Real Property Management Office (OPRPM)?
- (2) Is rental cost included in the proposed budget? What about utilities and maintenance requirements?
- (3) Are facilities being provided by governmental, private or non-profit organizations without cost to the University?
- (4) If renovation of non-UH facility is required, have costs been properly budgeted?

b. If new facilities are to be constructed:

- (1) Have requirements been discussed with appropriate UH personnel (FA, Department Chairperson, Chancellor/Dean/Director, Facilities Planning or Facilities Management Offices)?
- (2) Are funds for planning and construction identified in the proposed budget?

B. Staff

1. If the following personnel requirements are provided in the proposal, have they been approved by the Department Chairperson and Chancellor/Dean/Director?
 - a. Release teaching time of faculty
 - b. Faculty/staff salaries pledged for cost sharing/matching?
 - c. Off-duty period salaries or overload if allowed by the sponsor?
 - d. Are faculty/staff salaries shared between more than one external funding source and/or appropriated UH funds? If so, are there any gaps in funding due to varying program funding periods?
2. Have staff positions for administrative type personnel that are directly charged to the proposed program been discussed with ORS and specifically approved by the sponsor? Are these costs properly identified and justified in the proposed program budget?
3. Are anticipated salary increases and related employee fringe benefits

properly included in the proposed budget? What about anticipated promotions, reclassifications, or re-pricing?

4. Are new faculty/staff positions required? Have personnel requirements been discussed with the assigned FA and UH Personnel Office to ensure proper classification and salary level are identified in the proposed budget? What about recruitment and relocation expenses? Are they properly identified (included) in the proposed budget?

C. Equipment, Material/Supplies, and Services

1. If the proposed program or activity requires extensive equipment acquisitions, surplus property, or equipment from foreign countries:
 - a. Have requirements and possible sources been discussed with the department FA and Office of Procurement and Real Property Management?
 - b. Have the equipment requirements been screened at the departmental level, or at Office of Procurement and Real Property Management to avoid duplication of purchase?
 - c. Have the acquisitions been specifically justified in the proposal if it will duplicate equipment already on campus?
 - d. Have U.S. Custom clearance requirements for foreign purchases or equipment loans been considered? Have costs been included in the proposed budget? Are there any time limitations for equipment loans?
2. If office/general purpose equipment will be needed:
 - a. Has it been budgeted as a direct cost through purchase or rental?
 - b. Does the proposal justify requested office/general purpose equipment, in terms of project requirements?
3. If the proposal calls for the purchase of computing equipment has the Information Technology Services been consulted to ensure necessary approvals?

D. Special Considerations

1. If the proposal involves the use of human subjects, has provision been made for review in accordance with current UH policy and has the human subjects application been completed and forwarded to the Human Studies

Program (HSP)?

2. If the proposal involves the use of any live vertebrate animals in the research experimentation, testing, non-research, or related purposes; has provision been made for review by the Institutional Animal Care and Use Committee (IACUC)?
3. If the proposed project involves radiation safety and environmental hazards, or recombinant DNA; has the Institutional Biosafety Committee (IBC), or the Office of the Vice Chancellor for Research been consulted and Environmental Health & Safety Office (EHSO) been consulted?
4. If restrictions on information or security classification will be required:
 - a. Has the project been discussed with the Department Chairperson, Dean/Director, and ORS?
 - b. Has security matters, including safekeeping of facilities and security clearances been discussed with the UH Security Officer?
5. If other institutions are participating in the proposal, has appropriate institutional approval from the participating institution been obtained? Is the role of each institution clearly stated in the proposal to avoid misunderstandings and potential disputes? If applicable, are subaward costs included in the budget?
6. If the proposed project is likely to result in the publication of a book or monograph:
 - a. Have publication costs been included in the proposal?
 - b. Have publication arrangements been discussed with the UH Press?
7. If the proposed project involves potential risks, hazards, or financial liability to the UH, such as the use or rental of ocean vessels, aircrafts, deep sea diving equipment, contagious matter, untested or potentially dangerous drugs, etc., have proper precautions been taken?
 - a. Is the UH properly indemnified?
 - b. Is special insurance liability coverage required and are costs properly included in the program budget?
8. If a proposed research or non-research activity will be primarily conducted in a remote location or foreign country, have all unique requirements been properly identified and justified in the budget?

- a. Camping and food provisions?
 - b. Hiring of interpreters, guides, escorts, and local ground transportation?
 - c. Some foreign countries practice the barter system -- have these costs been specifically justified and budgeted?
 - d. What about fluctuating currency exchange rates?
9. Does the proposal commit the UH to continue the proposed activity beyond the period of the sponsor's funding? Beyond anticipated retirement or resignation date of the principal investigator? If so, do planning and budgeting offer appropriate support for all such commitments?

E. Transmittal of Proposal

1. Has a *myGRANT* Proposal Development record been properly completed and approved internally within the UH?
2. Have the necessary number of copies of the proposal been assembled, including:
 - a. Complete budgets?
 - b. Biographical information on principal investigator and senior personnel?
 - c. Any special enclosure requirements?
3. If special information should be included in the transmittal from the UH, has it been drafted and included in the *myGRANT* Proposal Development record?
4. If more than one department or college is involved, has the *myGRANT* Proposal Development record been reviewed/approved by all parties?