

This document is a compilation of proposal intake forms used by various units across the campus. It is illustrative and does not represent all unit forms in use. Rather, the forms are samples to aid units who wish to develop their own proposal intake form for use in the development of proposals. Units are **not** required to use a proposal intake form.

Research Operations would like to extend thanks to the units who contributed proposal intake forms, including:

Watts College of Public Service and Community Solutions

Ira A Fulton Schools of Engineering

Mary Lou Fulton Teachers College

Research Advancement Services

# SAMPLE INTAKE FORM # 1

**To:**

**Subject:** Proposal ERA Site Set-Up Items Needed

Hello – In preparation for your upcoming proposal submission, please provide the following information so that RAO can set-up your proposal site.

PROPOSAL ERA SET-UP ITEMS	
Sponsor	
Due Date	
Sponsor or Prime Sponsor FOA/Website	
Prime Due Date	
PI(s) Name(s)	
Draft Title	
Start & End Date	
Use 3% Escalation in Year 1 Y/N	
Other Staff Name % effort	
No. of Student(s) Wages rate and 9 or 12 mo	
No. of GRA(s) w/tuition and 9 or 12 mo	
Human Subjects - Y/N	
Subaward(s) Y-Names / N	
* IT Support - Y/N	
* Communications Support - Y/N	

\* By your response to these two questions above you are confirming:

- Y = you will reach out to IT or Communication Director(s) to include cost in your proposal
- N = you do not have need for such costs at this time.
  - If you should need assistance in the future in either of these area's you will work with RAO to rebudget to cover such costs.

Standard Proposal Items needed:

- Scope of Work
- Budget
- Budget Narrative
- Sponsor Contact information if not provided in a funding announcement

Thank you.

# SAMPLE INTAKE FORM #2



**Pre-Proposal Description & Contacts (Letter of Intent, White Paper, etc.):** Please complete as many fields as possible. This information will be used to develop your pre-proposal. Your response is considered preliminary; you will be able to update any information prior to submission. Please return completed form to [MLFTCResearch@asu.edu](mailto:MLFTCResearch@asu.edu).

Pre-Proposal Title	
ASU PI Name, College, Department/ Division, Center	
Direct Sponsor	
Prime Sponsor	
Does this pre-proposal require ORSPA approval due to institutional commitments?	
Sponsor Funding Announcement No.:	
Enter the total sponsor budget amount:	
Any other information you would like to include?	

**Proposal Request Form Instructions:** Please complete as many fields as possible. This information will be used to develop materials for your proposal. Budget details are regarded as estimates only. Your response is considered preliminary; you will be able to update any information prior to submission. Additional guidance is available via the help icons on the left margin. Please note that drop down menus are provided for some questions. Please return completed form to [MLFTCResearch@asu.edu](mailto:MLFTCResearch@asu.edu).

?	Proposal Title	
?	ASU PI Name, College, Department/ Division, Center	
?	ASU Co-PI Name(s), College, Department/ Division, Center	
?	ASU Key Personnel Name(s), College, Department/Division, Center	
?	Direct Sponsor	
?	Prime Sponsor	
?	Sub-agency/Institute/ Division of the Sponsor	
?	Sponsor Opportunity Link	
?	Sponsor Opportunity Number	
?	Sponsor Opportunity Title	
?	Subcontract(s)	No
?	External Collaborators, Consultants, Vendors	No
?	Type of Proposal	New
?	Transfer from Another Institution	No
?	Funding Mechanism Type	Grant
?	Cost Share Requirements & Information	None

## ASU Investigator / Personnel Allocations

?	Investigator Name	College	Department/ Division	% REC/RID/IIA (each column must sum to 100%)			Center/Consortium (if applicable)
?	Human Subjects	No					
?	Native American Involvement	No					
?	Export Controls/ Countries of Concern	No					
?	Adequacy of Office/ Lab Space	No					
?	Intra-University Consulting Pay	No					
?	Background Intellectual Property	No					
?	Special Programs	No	None				
?	Strategic Initiatives	No	None				
?	Type of Activity	Research ? If Research, select type: Applied Research					
?	Limited Submission	No					
?	Indirect Cost (F&A) Waiver	No					
?	Deadline (Date and Arizona time)						
?	Proposed Project Start Date						
?	Proposed Project End Date						
?	Duration						
?	Budget Needs/Request						

# SAMPLE INTAKE FORM #3

ASU Principal Investigator:

Sponsor:

Sponsor Due Date:

Funding Opportunity title/number or hyperlink:

Tentative Proposal Title:

Anticipated start and end dates:

Please list all anticipated ASU PI and Co-Investigator's (including school/dept name) with REC/RID/IIA percentages and center(s) for each:					
Investigator Full Name	Department	Center (if applicable)	% REC ( <a href="#">recognition</a> for proposed and expended research dollars on University reports)	% RID ( <a href="#">Research Incentive Distribution</a> —overhead funds distributed back to your College)	% IIA ( <a href="#">Investigator Incentive Award</a> – funds distributed to an account for each investigator for use on projects at PI discretion)
Total			100	100	100

## Research Type

Please identify the appropriate Research Type for this proposal:

- a) Basic Research
- b) Applied Research
- c) Development

For definitions and examples of each type, please [click here](#).

## Special Reviews

(Check all that apply)

YES NO

[Human Subjects:](#)

[Laboratory Animals:](#)

[Biological Materials:](#)

[Stem Cell Research:](#)

[Laboratory Registration:](#)

[Native American Involvement:](#)

[Hazardous Materials / Waste:](#)

[Radiation Safety:](#)

[Scientific Diving:](#)

[Export Controls:](#)

**ASU Strategic Initiative**

YES

NO

If yes, please list the initiative:

If funded, will this project use any of the following ASU Core Facilities:			Were any of the following ASU Core Facilities used to gather pilot data, develop a prototype or establish proof-of-concept for this proposal?		
	YES	NO		YES	NO
<a href="#">Biosciences</a>			<a href="#">Biosciences</a>		
<a href="#">Chemical &amp; Environmental Characterization</a>			<a href="#">Chemical &amp; Environmental Characterization</a>		
<a href="#">Eyring Materials Center</a>			<a href="#">Eyring Materials Center</a>		
<a href="#">Instrument Design &amp; Fabrication</a>			<a href="#">Instrument Design &amp; Fabrication</a>		
<a href="#">NanoFab</a>			<a href="#">NanoFab</a>		
<a href="#">Research Computing</a>			<a href="#">Research Computing</a>		
None of the Above			None of the Above		

**Intellectual Property**

Will background [Intellectual Property \(IP\)](#), owned by ASU or another entity, be utilized?

Has the Sponsor indicated they want ownership of any IP developed or a license to IP?

### Budget

'Wishlist' of people/items to be included in the budget:

List of any subcontractors or external collaborators with contact information (If ASU will be a subcontractor on another institution's proposal, please provide contact info for the lead institution/partner):

# Sample Intake Form #4

This form can be saved once all \*red asterisk items are completed and can be returned to at any time.

Project Title \*

Type the full project title.

Assigned RA

Status

FP Number

Activity Type

Is this a new PI? No

Prime Sponsor

Please select the prime sponsor from ERA sponsor list.

Sponsor \*

Please select a sponsor from ERA sponsor list or choose 'Other'.

Other Sponsor

Please enter the Sponsor if you were unable to find it.

Due Date \*

Upload Funding Announcement

Upload

If there is no FOA file add the link in the Funding Announcement Link field

Funding Announcement Link

Enter link

Internal ASU PI \*

Search by PI full name or ASUrite.

TBD PI

School \*

Co-PI's

ASU Co-PI(s)



ASU Co-PI(s)

ASU Co-PI(s)

ASU Co-PI(s)

ASU Co-PI(s)

ASU Co-PI(s)

Add Co-PI

ASU Center(s)

Please use text box at end of form to include any additional information regarding allocation, such as allocation across multiple centers

ASU Center(s)

Please use text box at end of form to include any additional information regarding allocation, such as allocation across multiple centers

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ASU Center(s)

Please use text box at end of form to include any additional information regarding allocation, such as allocation across multiple centers

Add Center

ASU Initiative(s)

ASU Initiative(s)

ASU Initiative(s)

ASU Initiative(s)

ASU Initiative(s)

ASU Initiative(s)

ASU Initiative(s)

Add Initiative

Start Date

End Date

Allocation of REC/RID/IIA

Name

ASU Center

REC %

RID %

IIA %

Name

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Name

ASU Center

REC %

RID %

IIA %

### External Collaborators section

Use this section to identify all non-ASU collaborators on this proposal.

Name

Enter external collaborator's name.

Institution

Enter external collaborator's institution.

Email

Enter external collaborator's email.

Type

Select collaborator type.

Name

Enter external collaborator's name.

Institution

Enter external collaborator's institution.

Email

Enter external collaborator's email.

Type

Select collaborator type.

Name

Enter external collaborator's name.

Institution

Enter external collaborator's institution.

Email

Enter external collaborator's email.

Type

Select collaborator type.

Name

Enter external collaborator's name.

Institution

Enter external collaborator's institution.

Email

Enter external collaborator's email.

Type

Select collaborator type.

Name

Enter external collaborator's name.

Institution

Enter external collaborator's institution.

Email

Enter external collaborator's email.

Type

Select collaborator type.

Add collaborator

Which institution is the lead?

### Budget Request section

Please use text box at end of form to include any additional information regarding budget requests not indicated in form below

Total Project Budget Target (USD)

Annual Budget Target (USD)

### Investigator Effort

Name

Effort per year in months (Summer or AY)

0

ex. 1 mo summer; 1 course buyout

Name

Effort per year in months (Summer or AY)

0

ex. 1 mo summer; 1 course buyout

Name

Effort per year in months (Summer or AY)

0

ex. 1 mo summer; 1 course buyout

Name

Effort per year in months (Summer or AY)

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Effort per year in months (Summer or AY)

ex. 1 mo summer; 1 course buyout

Name



Effort per year in months (Summer or AY)

ex. 1 mo summer; 1 course buyout

Name

Effort per year in months (Summer or AY)

ex. 1 mo summer; 1 course buyout

Add # of students (PhD or MS) and duration (full year, AY, SU)

Enter the number of graduate students involved

ex. 2 PhD GRAs; 1 full time and 1 during the AY only

Enter the number of post docs involved

ex. 1 at 50% FTE

Enter the number of other staff involved (type/title and % effort)

ex. 1 CAD specialist at 25%

Annual Foreign Travel (USD)

ex. 3500 (IEEE International Conference on Big Data

Annual Domestic Travel (USD)

ex. 4000 (\$2k for conference; \$2k for annual meetings)

Please list any meetings/conferences/destinations

ex. Program Review Mtg (2 travelers) / IEEE Conference (1 traveler)

Annual Non-capital Equipment (USD)

ex. 6000 (\$1500 external hard drive x 2; \$3k laptop for work offsite)

Annual Capital Equipment (USD)

ex. 12,000 for an Automated Valve Positioner (quote attached)

Annual Facility Use Fees (USD)

ex. \$45,000 (\$15,000 per year) is budgeted for the user fees in the Center for Solid State Electronics Research (CSSER)

Annual Materials/Supplies (USD)

ex. 5000 (\$2k for chemicals; \$3k for masks)

Annual Consultants (USD)

ex. 2000 for a TBD consultant(\$50/hr for 40 hours of work)

Annual Subgrants/Collaborators (USD)

ex. 100,000/yr to UofA for tasks 2 and 3

Annual Publications (USD)

ex. 1500 for page charges (Journal of Engineering)

Annual other costs (USD)

Type

Cost

Annual other costs (USD)

Type

Cost

Annual other costs (USD)

Type

Cost

Annual other costs (USD)

Type

Cost

Annual other costs (USD)

Type

Cost

Add Cost

Compliance section

Cost Share?

- ☒ N/A  
☐ Yes  
☐ No

Human Subjects?

- ☒ N/A  
☐ Yes  
☐ No

[ResearchIntegrity.asu.edu/humans](https://ResearchIntegrity.asu.edu/humans)

Clinical Trials?

- ☒ N/A
- ☐ Yes
- ☐ No

Vertebrate Animals?

- ☒ N/A
- ☐ Yes
- ☐ No

Biological, Hazardous Materials

- ☒ N/A
- ☐ Yes
- ☐ No

Chemical Materials Waste?

- ☒ N/A
- ☐ Yes
- ☐ No

IP Issues?

- ☒ N/A
- ☐ Yes
- ☐ No

Financial Conflict of Interest?

- ☒ N/A
- ☐ Yes
- ☐ No

Are export controls involved?

- ☒ N/A
- ☐ Yes
- ☐ No

Is radiation safety involved?

- ☒ N/A
- ☐ Yes

☐ No

Are stem cells involved?

☒ N/A

☐ Yes

☐ No

Is there Native American involvement?

☒ N/A

☐ Yes

☐ No

Is there Adequate Space for this project?

☒ N/A

☐ Yes

☐ No

Is this proposal being submitted to any other agency?

☒ N/A

☐ Yes

☐ No

Lab Registration?

☒ N/A

☐ Yes

☐ No

Comments

▲

▼

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▶