

University of Iowa Strategic Priorities Process for Federal Funding for Federal Fiscal Year 2011

The University of Iowa has enjoyed a highly productive relationship with Iowa's congressional delegation. Members have been particularly supportive of the University's research efforts through the competitive process and through direct appropriations. In most cases, The University of Iowa seeks direct congressional funding only when competitive federal support is not available.

Examples of such projects include the creation of new interdisciplinary centers in established areas of excellence for which competitive federal programs do not exist; projects involving renovation, renewal, and new construction of research laboratories; and major laboratory equipment and shared research instrumentation that are too expensive for standard investigator awards. In such cases, targeted congressional funding is necessary to enable investigators to compete for other grants and awards.

The success of our federal relations effort has been due in large part to a coordinated, consistent, and focused agenda established via input from each college. Provost Loh and Interim Vice President Cohen, working with Associate Vice President Willard, will continue the process established in previous years to prioritize research and non-research related federal requests.

First, it is imperative that any request for congressional support be of the highest quality. Deans and departmental executive officers are urged to think broadly about potential federal research projects that relate to their colleges' strategic plans as well as to the University's strategic plan. Ideally, the federal funding requested will help to initiate a new project, with a clearly defined plan for additional competitive funding in the future. We continue to consider proposals for new buildings and remodeling of current infrastructure, although such projects are becoming increasingly difficult to fund via direct congressional appropriations. Occasionally, proposals are also considered to increase (or "plus up") funding for currently existing competitive programs that will have national as well as local impact. The University does not entertain proposals to earmark funding through the National Science Foundation, the National Institutes of Health or the National Endowments.

Successful proposals will meet most or all of the following criteria: (1) demonstrated excellence of the proposal and the relevant research track record; (2) national recognition of investigators and/or program; (3) acknowledged centrality of the project to departmental, collegiate, and University missions; (4) compelling connection to federal agency programs; and (5) demonstrated interest of federal agency program officers.

Multi-college and interdisciplinary proposals are strongly encouraged and may be given extra weight, but only if the collaboration meets the criteria above (e.g., collaboration for collaboration's sake alone is not encouraged).

Likewise, collaborations with other institutions will be considered, but only if they strengthen the scientific or technical resources available to accomplish the proposal's goals. In the case of interdisciplinary, multi-college, or multi-institutional proposals, an electronic memorandum of

understanding must indicate that all collaborators understand and agree to the roles they will play and the intended allocation of resources.

Investigators should submit proposals in the form of two short white papers. The first is a single page abstract following the format of the attached template. The second paper is a three- to five-page expansion, following the same format but giving more detail concerning what the project is, how it will work, the national need the project addresses, a summary budget (including facilities and administrative costs), and project deliverables.

Departmental executive officers and deans must review and approve proposals before they are submitted for central review and approval. You should contact Associate Vice President Derek Willard at the outset to aid in the development of the proposal, as well as the associate dean for research in your college. Nonacademic/research proposals should be routed through appropriate departmental and vice presidential channels.

Each college may submit any number of projects for consideration, but must rank them in priority order. Given the limited number of direct appropriations funded each year and the time-consuming nature of the earmarking process, we urge you to carefully consider which projects you put forward for consideration.

Colleges should submit projects that have been funded in the past if continuation funds are desired. The Vice Presidents will evaluate the proposals and make recommendations to President Mason as appropriate. The President, Executive Vice President and Provost, and Interim Vice President for Research will then develop an overall federal request priority list for the year.

We realize that this request will take time and effort. This process is not unlike the development of a detailed letter of intent to a federal agency. We also want you to realize that this is just the beginning of your investment of time and effort. You and your faculty will be expected to do a great deal of work with the appropriate federal agencies should your initiatives make it into the high-priority category. The University of Iowa must continue to increase its ability to formulate “strategic plans” for specific agencies, as the basis for development of our federal initiatives. The Office of the Vice President for Research will help you in any way it can to work with federal agencies and create those plans, but in the end the process depends on relationships built at the operational level, among you, your faculty and staff, and federal agency personnel.

Collegiate deans should submit their lists of priorities, along with the proposals themselves, electronically, preferably as e-mail attachments in Microsoft Word format using a 12-point Times New Roman font. The e-mails should be sent to Associate Vice President Derek Willard (derek-willard@uiowa.edu) and copied to Lucille Heitman (lucille-heitman@uiowa.edu) no later than Monday, November 16, 2009.

Thank you for your efforts. We look forward to receiving your federal project requests in the first full week in November.

Wallace Loh
Executive Vice President and Provost

Jordan Cohen
Interim Vice President for Research
and Economic Development

TIMELINE

- 16 November - Investigator proposals due to collegiate deans
- 30 November - Ranked white papers from college deans due to Associate Vice President Willard's Office
- 14 December - Recommendations presented to Vice Presidents Group
- 15 – 30 December - OVPR works with faculty to refine the highest-priority white papers
- 4 January - Requests forwarded to the Division of Sponsored Programs
- 11 January - Final campus priorities and white papers due to UI President's Office

The real work begins!

TEMPLATE

NAME OF PRINCIPAL INVESTIGATOR
DEPARTMENT
COLLEGE

1. **Statement of Request.** E.g. “The University of Iowa requests \$1.5 million in FY 11 HRSA funding as the first year of a 5 year \$7.5 million project to establish a University of Iowa Center of Excellence in Health Research and Services Research.”
2. **Statement of Compelling National Need.** E.g. “The GAO, the Institute of Medicine and Congressional testimony have all documented a compelling national need for more detailed and authoritative data on the outcomes of health policy decisions.... Iowa does not escape this need. In our state alone...”
3. **Statement of the University of Iowa’s unique capabilities to fulfill this need.** E.g. “The University of Iowa has an established record of research in this area...a distinguished faculty and staff including...facilities including...established relationships with other institutions, agencies and the private sector...”
4. **Statement of the University’s Plan to fulfill the need identified.** Provide a summary budget including facilities and administrative costs, as well as the amounts and dates of previous funding received for the project. E.g. “Funds in the following amounts would pay for personnel, equipment and travel to establish.... At the end of the first year the following goals/deliverables will have been accomplished ...”
5. **Statement of National Benefits.** E.g. “More authoritative data will strengthen the nation’s capacity to...in Iowa alone...”

Examples of abstracts following the template above are posted at:
<http://www.uiowa.edu/~govrel/fedfunding/>

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