Federal Proposal Development Checklist

*This checklist should serve only as a starting point of reference for proposals directed to federal agencies not addressed elsewhere on the UWL ORSP website. For proposals directed to NEA, NEH, NIH, NSF, or a non-federal agency, please see the* [*applicable checklist*](https://www.uwlax.edu/grants/how-to-apply-for-grants/#tm-proposal-development-checklists)*. Note this is not a comprehensive checklist. Please consult the funding agency’s guidelines and ORSP for further guidance.*

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# Required Internal Documents

*These items are due to the Office of Research & Sponsored Programs (ORSP) before the grant can be submitted.*

[Grant/contract transmittal form](https://www.uwlax.edu/globalassets/offices-services/grants/uwl-grant-contract-transmittal-form.docx)

Refer to the [UWL grant submission timeline](https://www.uwlax.edu/globalassets/offices-services/grants/orsp-checklist.pdf) for internal deadlines related to the submission of various application elements for institutional review and approval. Route the form with a final budget and budget justification, and a proposal narrative draft for signatures from your department chair/unit director, dean/division director, and the authorized ORSP representative.  If PIs/co-PIs are from multiple UWL departments/offices, signatures are needed from each respective department chair/unit director and dean/division director.

[Significant financial interest (SFI) disclosure form](https://uwlax.ca1.qualtrics.com/jfe/form/SV_brRodUJK0ubDUSF)

All UWL investigators need to complete this online form. The UWL [financial conflict of interest (FCOI) policy summary](https://www.uwlax.edu/globalassets/offices-services/grants/fcoi-basics.pdf) provides an overview of SFIs that need to be disclosed.

# Federal Agency Basics

*Below are items you should review or ensure you have as you begin proposal development.*

[Grants.gov](https://www.grants.gov/) account

Individuals must have a Grants.gov account to develop an application. All PIs, co-PIs, and other senior/key personnel named in a proposal—including those at UWL and other collaborating institutions—will need an individual account. If you do not have an account, set one up at the [applicant registration site](https://www.grants.gov/web/grants/applicants/registration.html). To affiliate your account with UWL when registering, [add a profile](https://www.grants.gov/web/grants/applicants/registration/add-profile.html) by selecting the “Organization Applicant Profile” option. When prompted for UWL’s DUNS number, enter 068191097. ORSP must approve the affiliation to finalize it.

Workspace

Most federal applications are uploaded and submitted electronically via Grants.gov Workspace. You must have an individual Grants.gov account to create a Workspace. Each application requires the set-up of a new Workspace. You can access all of your Workspaces by logging into Grants.gov. Workspace set-up can be initiated through the Grants.gov funding announcement or by contacting ORSP for help. See the [Workspace overview](https://www.grants.gov/applicants/workspace-overview.html) for more information.

Program guidelines

The program guidelines provide guidance specific to the grant you are targeting. Be aware that there may be multiple documents and/or websites comprising all of the guidelines for a program. Contact ORSP for assistance determining which requirements apply.

# Required Proposal Components

*Items below are commonly required for federal application packages, but specific requirements vary widely by agency.*

## *Workspace Forms*

SF424

This form requests information such as institutional and PI contacts, proposal title, project start and end dates, and total requested funding. Be mindful of proposal titling requirements. Some institutional information may be pre-populated in Workspace.

Project/Performance Site Location(s)

This form identifies all of the sites at which the proposed project will take place. If work will be performed at external collaborators’ institutions, you will need each institution’s DUNS number, address, and congressional district.

Research & Related Other Project Information

This form typically requests information on the use of human subjects, vertebrate animals, proprietary components, and other research compliance. It also generally provides a place to upload other proposal documents, such as the abstract, narrative, and supplementary documents.

Research & Related Senior/Key Person Profile

This form requests contact information for each of a project’s senior/key personnel. It also provides a place to upload biographical sketches and current & pending support information.

## *Application Documents*

Budget

The [UWL budget helper template](https://www.uwlax.edu/globalassets/offices-services/grants/budget_helper_spreadsheet.xlsm) is the recommended starting point, as it automatically calculates required fringe benefits, indirect costs, and a cumulative budget. Alternately, the current UWL fringe benefit and indirect cost rates can be found [here](https://www.uwlax.edu/globalassets/offices-services/grants/fringe_indirect2.pdf). More budgeting resources can be found on the [ORSP website](https://www.uwlax.edu/grants/how-to-apply-for-grants/#tm-budgeting). If subawards are included, a separate budget and budget justification is required for each subrecipient.

Budget Justification

The budget justification explains why each item requested in the budget is necessary to do the proposed work, and addresses the basis for reasonable estimates of requested funds. A general [template](https://www.uwlax.edu/globalassets/offices-services/grants/budget-justification-template.docx) is available on the ORSP website.

Project Summary/Abstract

This document provides an overview of the proposed project. Follow requirements in the program guidelines. For sample language, see the NIH Specific Aims and NSF Project Summary templates on the [ORSP website](https://www.uwlax.edu/grants/how-to-apply-for-grants/#tm-boilerplate-information).

Project Narrative

The project narrative addresses the majority of the proposed project’s content. Follow requirements in the program guidelines.

Bibliography/References Cited

Applicants should follow accepted scholarly practices for citing source materials used for any portion of the proposal. It should only include bibliographic citations and not be used to provide parenthetical information outside of the project narrative. Follow requirements in the program guidelines.

Facilities & Other Resources

Generally, this supplementary document describes the adequacy of resources available to perform the proposed project. Consider internal and external physical and personnel resources the organization and any collaborators will provide. Do not include quantifiable financial information. For sample language, see the NIH Facilities and NSF Facilities templates on the [ORSP website](https://www.uwlax.edu/grants/how-to-apply-for-grants/#tm-boilerplate-information). Follow requirements in the program guidelines.

Equipment

Generally, this supplementary document describes the equipment available to perform the proposed project. For sample language, see the NIH Equipment template on the [ORSP website](https://www.uwlax.edu/grants/how-to-apply-for-grants/#tm-boilerplate-information). Follow requirements in the program guidelines.

Biographical Sketch(es)

Biographical sketches are scaled down CVs typically required for each of a project’s senior/key personnel. Follow requirements in the program guidelines. For a sample format, see the NSF Biographical Sketch [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf--biographical-sketch-template.docx) on the ORSP website or the NIH Biographical Sketch [template](https://grants.nih.gov/grants/forms/biosketch.htm).

Current and Pending Support Form(s)

When required, one form must typically be completed for each of a project’s senior/key personnel. List the proposal under development at the top of the form as “pending.” The form should include all currently funded or pending extramural and/or internal (i.e., UWL) grants and/or projects requiring an individual’s time, even if no salary support is received. Follow requirements in the program guidelines. If needed, a template is available on the [ORSP website](https://www.uwlax.edu/globalassets/offices-services/grants/nsfcurrentandpendingsupport_template.docx).

Data Management Plan

This document typically addresses the plan for managing project-related data and sharing research products. For sample language, see the NSF Data Management Plan [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf-data-management-plan-template.docx) on the ORSP website.

# Potentially Required Proposal Components

## *Projects Involving Vertebrate Animals*

Research & Related Other Project Information: Vertebrate Animals (Workspace Form)

On the R&R Other Project Information form, check “yes” to the question “Are Vertebrate Animals Used?” Indicate whether IACUC review is pending; if review is completed, enter the approval date for the protocol covering the proposed work. (If approval has not been obtained, note that IACUC approval must be finalized before an award is issued and project work can commence.) Enter UWL’s Animal Welfare Assurance Number: A4153-01.

Project Narrative and/or Supplementary Document: Vertebrate Animals

Follow requirements in the program guidelines to address vertebrate animal information in the project narrative and/or in a separate supplementary document. Examples of what may be requested include information to enable reviewers to evaluate the rationale for involving animals; choice of species and number of animals to be used; description of the proposed use of the animals; exposure of animals to discomfort, pain, or injury; and description of any euthanasia methods to be used.

IACUC Congruence Review

Projects involving live vertebrate animals may be required to undergo IACUC congruency review by the UWL IACUC Coordinator prior to award issuance to ensure the approved IACUC protocol is congruent with the grant application. The PI is responsible for initiating the review; a PI should initiate the process promptly to allow time for potentially required IACUC protocol revisions. Consult with ORSP for further guidance.

## *Projects Involving Human Subjects and/or Specimens/Data*

Research & Related Other Project Information: Human Subjects (Workspace Form)

On the R&R Other Project Information Form, check “yes” to the question “Are Human Subjects Involved?” Indicate whether the project is exempt from IRB regulations, and if so, check the applicable exemption number(s) and enter the IRB approval date for the protocol covering the proposed work. If IRB review is pending, check the appropriate box. (IRB approval must be finalized before an award is issued and project work can commence.) Enter UWL’s Human Subjects Assurance Number: 00002685.

Project Narrative and/or Supplementary Document: Human Subjects

Follow requirements in the program guidelines to address human subjects information in the project narrative and/or in a separate supplementary document. Examples of what may be requested include information on study population characteristics, rationale for including/excluding certain populations, protection and monitoring plans, and protocol synopsis.

IRB Congruence Review

Applications for projects involving human subjects may be required to undergo IRB congruency review by the UWL IRB Coordinator prior to award issuance to ensure the information IRB reviews and approves is congruent with what is in the grant application. The PI is responsible for initiating the review; a PI should initiate the process promptly to allow for potentially required IRB protocol revisions. Consult with ORSP for further guidance.

## *Other Research Compliance Components*

Dual Use Research of Concern (DURC)

If a project involves the use of one of the [15 agents/toxins](http://www.phe.gov/s3/dualuse/Documents/durc-companion-guide.pdf) (see p. 16 for list) identified by federal regulations, the PI must contact the UWL [IBC](https://www.uwlax.edu/grants/institutional-bio-safety-committee/) to receive guidance on ensuring compliance with federal and institutional DURC requirements.

[Financial conflict of interest (FCOI) training & assessment](https://www.uwlax.edu/globalassets/offices-services/grants/fcoi-basics.pdf) (required for all PHS agencies)

For applications to PHS agencies, all UWL investigators need to complete the FCOI training course and assessment in Canvas. Once completed, the training and assessment is valid for 4 years. An assessment score of 80% or more must be obtained. Contact ORSP to have an investigator set up as a student in the FCOI course. Training and assessment must be completed once every 4 years if an investigator has active PHS agency funding or is applying for a PHS agency award. See the [PHS FCOI: Identifying Investigators](https://www.uwlax.edu/globalassets/offices-services/grants/fcoi-investigator-definition.pdf) table for assistance determining who qualifies as an investigator.

[Responsible Conduct of Research (RCR) Student Training Plan](https://uwlax.ca1.qualtrics.com/jfe/form/SV_e2S9RYaw8r0mXsx)

RCR training is required for all undergraduate, graduates, and post docs (paid or unpaid) who are involved in a project funded by certain federal agencies (e.g., NSF and USDA). This online form must be completed by the PI specifying the RCR training modules students will complete. The [UWL RCR policy](https://www.uwlax.edu/grants/responsible-conduct-of-research-for-federal-agencies/) details specific training requirements.

## *Other Supplementary Documents*

Institutional certifications

Some programs require the applicant institution to provide certifications, such as those for meeting program eligibility or fulfilling compliance requirements. Generally, these certifications need to be signed by an authorized organizational representative, such as the ORSP Director or Provost.

Bids for substantive funding requests (e.g., equipment, consultants, services)

Letter(s) of collaboration from partner(s), site coordinator(s), and/or other entities facilitating the project

Projects involving internal or external collaborators or sites may require the submission of letter(s) of commitment or support from partner(s) confirming their intended participation in and resources to be committed if the project is funded. UWL always requires written documentation of such commitments for internal records, and letters submitted to the funding agency can be used to fulfill this requirement.

Other documents required by program guidelines

# Required Components for Proposals with External Collaborators

*Collaborators are incorporated into an application based on the contribution(s) they will make to a project:*

1. ***Subrecipients*** *make significant contributions to a project’s objectives and have some responsibility for programmatic decision-making. They are included in an application’s budget via subawards.*
2. ***Consultants*** *provide goods and/or services that are ancillary to a project’s objectives. They are included in an application’s budget as consultants.*

*Requirements vary by collaborator type. Review the program guidelines to verify what is allowable and/or required.*

## *Subrecipient Documents*

Letter of Commitment for Funding Agency

A funding agency may require a letter from each subrecipient confirming their project commitment. A letter may outline resources and personnel the subrecipient will provide, or it may simply confirm they are committed to participating as outlined in the proposal. See the [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf-letter-of-commitment-template.docx) on the ORSP website.

Letter of Intent and/or [Subrecipient Commitment Form](https://www.uwlax.edu/globalassets/offices-services/grants/subrecipient-commitment-form_pre-award.docx) for Lead Institution

A letter of intent and/or commitment form should be signed by a representative of the subrecipient’s grants office (or other authorized organizational representative) that (1) confirms the project commitment, (2) certifies which institution’s FCOI policy will be followed, (3) indicates the subrecipient’s DUNS[[1]](#footnote-1), and (4) is accompanied by a subaward scope of work, budget, and budget justification. Contact ORSP for a template.

[Financial Conflict of Interest (FCOI)](https://www.uwlax.edu/grants/financial-conflict-of-interest-fcoi/) Certification & Requirements

Significant financial interest (SFIs) disclosures must be completed by all investigators prior to submission in accordance with either the subrecipient institution’s or UWL’s FCOI requirements. For proposals submitted to PHS agencies, additional training and assessment requirements apply. Consult with ORSP for assistance.

Subaward Budget and Budget Justification

A separate budget and budget justification for each subrecipient is required. It must accompany the signed letter of intent or subrecipient commitment form directed to the lead institution. Contact ORSP for templates.

Scope of Work (SOW)

A SOW is required for each subrecipient. At minimum, it should summarize the roles, responsibilities, and resources the subrecipient organization and its project personnel will fulfill if the project is funded. It must accompany the signed letter of intent or subrecipient commitment form directed to the lead institution. Contact ORSP for a template.

Biographical Sketch(es)

Generally, a biographical sketch is required for each senior/key personnel. See the [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf--biographical-sketch-template.docx) on the ORSP website.

Current & Pending Support Form

If required, submit current & pending support for each senior/key personnel. The form should include all currently funded or pending extramural and/or internal (i.e., institutional) grants. See the template on the [ORSP website](https://www.uwlax.edu/globalassets/offices-services/grants/nsfcurrentandpendingsupport_template.docx).

Facilities & Other Resources

This document should address each collaborator’s facilities and other resources. Depending on funding agency requirements, all institutions’ resources may need to be addressed in a single document.

## *Consultant Documents*

Letter of Commitment

A funding agency may require a letter from each consultant confirming their role in a project. Letters typically address the service(s) to be provided, the rate/charge, and the level of effort/number of hours for consulting services. Follow the requirements in the program guidelines.

Quote/Bid

Depending on funding agency requirements, it may be required or advisable to obtain a quote from a consultant to demonstrate the basis for consultant funds requested in the budget.

1. See [Grants.gov](https://www.grants.gov/applicants/organization-registration/step-1-obtain-duns-number.html) for how to obtain a DUNS. Plan ahead to allow time to obtain a DUNS prior to the submission deadline. [↑](#footnote-ref-1)