NEA Proposal Development Checklist

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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.

# NEA Basics

*Below are resources you should review or ensure you have as you begin the proposal development process.*

[ ] [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

Applications are developed 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.

[ ]  [NEA Grants Online](http://nea.cloud.culturegrants.org/index/login) (NEA-GO) access

Once an application package has been submitted to Grants.gov, and a tracking number has been assigned by NEA, use your Grants.gov tracking number and agency tracking number as your user name and password respectively for NEA-GO. In the system, complete and submit the grant application form with the required elements indicated in the program application checklist (e.g., organization information, project information, project budget, work samples, PDF attachments, organization & project profile).

[ ] Program guidelines

Each grant has a program-specific webpage with links to detailed guidelines for the grant you are targeting, typically including separate PDFs with instructions for development of application components, budgeting, and completion of the application package.

[ ] Research compliance requirements

All protocols and other research compliance requirements related to your project (e.g., IACUC, IBC, IRB) must be completed and approved by the requisite timeframes. See the [UWL compliance website](https://www.uwlax.edu/grants/compliance-and-policies/) for more information.

# Required NEA Proposal Components

*The list is a general guide to common requirements for applications that should be used in conjunction with the program guidelines to determine the full list of requirements for a specific program. On program-specific webpages, NEA may provide templates for some documents.*

[ ]  Grant application form (GAF)

After application materials have been submitted via Grants.gov, NEA requires additional items to be submitted via NEA-GO. Required application materials vary by program; specific document requirements are outlined in each program’s GAF instructions. The list below is intended to serve as a point of reference for commonly required GAF materials.

[ ]  Part 1: Organizational information

[ ]  Mission of organization (500-character limit, including spaces)

[ ]  Summary of the background/history of organization (Typically between 1,000-2,000-character limit, including spaces)

[ ]  Organization budget

Complete with figures for the most recently completed fiscal year, previous fiscal year, and fiscal year prior to that. Plan ahead to request this information from the UWL Budget Office.

[ ]  Fiscal health of organization (1,000-character limit, including spaces)

[ ]  Operating history (representative list of activities for the past three years/seasons)

[ ]  Operating history notes (1,000-character limit, including spaces)

[ ]  Part 2: Project information

[ ]  Project description (Only fill this out if your project description has changed since you submitted through Grants.gov. Otherwise, leave it as it is).

[ ]  Major project activities (4,000-character limit, including spaces)

[x]  Data management plan (5,000-character limit, including spaces; see ORSP website for a [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf-data-management-plan-template.docx))

[ ]  Descriptions (e.g., abstracts) about relevant prior research (5,000-character limit, including spaces)

[ ]  Selection of key organizational partners (1,000-character limit, including spaces)

[ ]  Description of key organizational partners (up to 10)

[ ]  Description of the organization (500-character limit, including spaces)

[ ]  Selection of key individuals (1,000-character limit, including spaces)

[ ]  Bios of key individuals (up to 5)

[ ]  Schedule of key project dates (1,500-character limit, including spaces)

[ ]  Promotion and publicity (1,000-character limit, including spaces)

[ ]  Performance measurement (1,000-character limit, including spaces)

[ ]  Intended audience/participants/community (2,000-character limit, including spaces)

[ ]  Part 3: Project budget and budget narrative

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 and indirect costs. Alternately, 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 needed for each subrecipient. NEA has a required budget form that can be accessed in individual program guidelines.

[ ]  Part 4: Other items to upload

These are defined by individual program guidelines. Examples of potentially required materials include work samples and PDF attachments. Only upload items listed in the guidelines.

[ ]  Part 5: Organization and project profile

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

[ ]  Other documents required by program guidelines

# Required Items for Proposals with 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.*

*Required proposal components depend upon the type of collaborator(s) included in the application. See the items listed below and review the program solicitation 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)