NEH 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.

# NEH Basics

*Below are resources you should review or obtain 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.

[ ] 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 NEH 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, NEH may provide templates for some 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 narrative

The budget narrative 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.

[ ]  Table of contents

[ ]  List of all project participants and collaborators and their institutional affiliations

[ ]  Abstract

The one-paragraph abstract should be written for a non-specialist audience, and can be up to 1,000 characters, including spaces.

[ ]  Narrative

Required narrative topics and page lengths vary by program, but generally can be up to 10-15 pages, single-spaced.

[ ]  Sustainability plan

The plan can be up to three pages. Refer to the [NEH Sustaining Digital Resources](http://sca.jiscinvolve.org/wp/files/2009/10/sca_bp_projects_scholarly_content_sep09_v1-02.pdf) report for tips on developing your plan.

[ ]  Data management plan (DMP)

The DMP can be up to two pages and should address two main topics: (1) What data will your research generate? (2) What is your plan for managing the data? Refer to the [NEH DMP guidance](https://www.neh.gov/files/grants/data_management_plans_2018.pdf) for more information. A [DMP template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf-data-management-plan-template.docx) is available on the ORSP website.

[ ]  Resumes

Include brief (up to two pages) resumes for each of the principal project participants as well as members of the advisory board (if applicable).

[ ]  Letters of commitment and support

Include letters from participants and cooperating institutions. A letter is not required from the project director.

[ ]  Appendices

This section generally may include a bibliography or list of works cited and other items program guidelines note as allowable. Include only items identified as allowable in the program guidelines. Generally, materials in the section may not exceed ten pages.

# 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 also 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)