Non-Federal 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.

[ ] [Financial conflict of interest (FCOI) training & assessment](https://www.uwlax.edu/globalassets/offices-services/grants/fcoi-basics.pdf) (for non-federal sponsors with FCOI requirements[[1]](#footnote-1))

Some non-federal sponsors require applicants to follow Public Health Service (PHS) FCOI regulations. For proposals directed to such sponsors, all 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. 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.

Each investigator following UWL’s FCOI policy needs to complete the FCOI training and assessment in Canvas. A score of 80% or more must be obtained on the assessment. 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 an active award from a PHS agency or other agency that follows PHS regulations.

[ ] [Significant financial interest (SFI) disclosure form](https://uwlax.ca1.qualtrics.com/jfe/form/SV_brRodUJK0ubDUSF) (for non-federal sponsors with FCOI requirements1)

All investigators on proposals to sponsors with FCOI requirements need to complete this online form prior to the submission of every grant application. 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.

[ ] 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.

# Application Basics

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

[ ] Program guidelines

Read program guidelines in detail for all the critical information you need to develop a competitive proposal, such as funding priorities, required application information, submission and award timelines, allowable funding requests, project/program requirements, submission requirements, and post award obligations. Guidelines may be provided in a single document or dispersed across multiple documents/ webpages. Follow all guidelines in detail, as applications that do not meet required criteria are often returned without review.

[ ] Letter of inquiry or intent (LOI)

Some sponsors may require, or encourage, the submission of an LOI before a full application is submitted. There may or may not be submission deadlines for LOIs. Consult the program guidelines for potentially required content. LOIs do not require institutional approval before submission, but applicants are strongly encouraged to seek feedback from their department, college, and ORSP. See the [concept paper/LOI template](https://www.uwlax.edu/globalassets/offices-services/grants/how-to-develop-a-concept-paper.pdf) for suggested content.

[ ] Online application system

Some sponsors use an online application system for the submission of materials. Depending on the sponsor’s requirements, you and/or UWL ORSP may need to have a user account set-up. Some systems will require ORSP to review and submit the application online, and other systems will require you to submit the application once you have institutional approval. Obtain an account and log in to the system early to ensure you have all the forms and application components required by the system.

[ ] Application forms

Some sponsors require application components to be developed and submitted in forms they provide. Review forms in detail, as they may address additional requirements (e.g., content, signatures, word/character limits).

# Required Proposal Components

*The list is a general guide to common application requirements that should be used in conjunction with the program guidelines to determine the full requirements for a particular program.*

[ ]  Institutional information

Sponsors may request institutional information such as tax-exempt status, EIN, DUNS, fiscal agent contact information, financial information, audits, etc. Some items are outlined on the [ORSP Frequently Requested Information webpage](https://www.uwlax.edu/grants/frequently-requested-information/). Boilerplate information is also provided in ORSP’s [impact statement template](https://www.uwlax.edu/globalassets/offices-services/grants/impact-statement.docx). Contact ORSP for additional assistance.

[ ]  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 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. Review the program guidelines for budget requirements.

[ ]  Budget Justification

The budget justification details how items in a grant budget request were calculated and explains why the items are needed to carry out the proposed project. For a template, see the [ORSP website](https://www.uwlax.edu/globalassets/offices-services/grants/budget-justification-template.docx).

[ ]  Abstract

Abstracts should generally be written for a non-specialist audience, unless otherwise specified by a sponsor. Review program guidelines for required topics, headings, format, and word/character limits.

[ ]  Narrative

Required narrative topics, page lengths, and word/character limits vary widely by program. Consult the program guidelines.

[ ]  Bibliography

Sources cited within the narrative should be outlined in a bibliography or references cited section. Program guidelines vary on whether this section will count towards a cap on total proposal length and where the information should be included in the application (e.g., as part of the narrative or as a separate attachment).

[ ]  CV(s)/biographical sketch(es)

Some sponsors require information about project personnel, often in the format of an abbreviated CV, that speaks to their qualifications and expertise as it relates to the proposed project. For a template, see the [ORSP website](https://www.uwlax.edu/globalassets/offices-services/grants/nsf--biographical-sketch-template.docx).

[ ]  Letters of commitment and/or support

Letters of commitment from collaborators and/or letters of support endorsing the proposed project’s/program’s merits may be required or allowable in support of the application.

[ ]  Appendices

Include only items identified as allowable in the program guidelines.

[ ]  Written confirmation of cost sharing commitment(s)

If the university or other collaborators will be contributing any resource(s) toward the project if it is funded, written documentation of the commitments must be, at minimum, submitted to ORSP prior to submission. The sponsor may have additional requirements for how this is documented. If the sponsor does not require documentation of commitment(s), an email from an authorized representative committing the resources will suffice for university-required documentation. For UWL commitments, an authorized representative would be a chair/unit director or dean/division director for the unit/division making the commitment.

[ ]  Bids/quotes 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 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 compliance with applicable policies/regulations, (3) indicates the subrecipient’s DUNS[[2]](#footnote-2), and (4) is accompanied by a subaward scope of work, budget, and budget justification. Contact ORSP for a template.

[ ]  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. Subrecipients typically have their own fringe benefits and indirect costs that must be incorporated, and so investigators should consult early with the appropriate officials at their institution for guidance (e.g., sponsored programs office).

[ ]  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.

## *Consultant Documents*

[ ]  Letter of Commitment

A sponsor 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 sponsor 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. Examples of non-federal sponsors with FCOI requirements: Alliance for Lupus Research, American Cancer Society, American Heart Association, Arthritis Foundation, Juvenile Diabetes Research Foundation, Lupus Foundation of America, Susan G. Komen for the Cure [↑](#footnote-ref-1)
2. 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-2)