NSF 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.

[Responsible conduct of research (RCR) student training plan](https://uwlax.ca1.qualtrics.com/jfe/form/SV_e2S9RYaw8r0mXsx)

If undergraduate or graduate students are involved in the proposed project, whether paid or unpaid, this online form must be completed in Qualtrics by the PI specifying the RCR training modules in CITI students will complete. The [UWL RCR policy](https://www.uwlax.edu/grants/responsible-conduct-of-research-for-federal-agencies/) details specific training requirements.

# NSF Basics

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

[Research.gov](https://www.research.gov/) account

NSF applications are developed and submitted electronically via the Research.gov or FastLane system (only some proposal types are able to be submitted via Research.gov). All PIs and co-PIs named in the proposal—including those at UWL and other collaborating institutions—will need an individual account. If you do not have an existing account, you will need to set one up at the Research.gov [account registration site](https://www.research.gov/accountmgmt/#/registration); request institutional affiliation with UWL by entering the DUNS number 068191097. Contact ORSP with your NSF ID to finalize the institutional affiliation process.

[Proposal & Award Policies & Procedures Guide](https://www.nsf.gov/pubs/policydocs/pappg19_1/index.jsp) (PAPPG)

The PAPPG contains detailed guidelines for the proposal components required by NSF. Along with the program solicitation, it outlines the full requirements for your proposal development.

Program solicitation

The program solicitation provides guidance specific to the grant you are targeting, which may include additional or different guidance from that addressed in the PAPPG. If the program solicitation differs from the PAPPG, the guidance in the program solicitation supersedes the PAPPG.

# Required NSF Proposal Components

*The list is a general guide to common requirements for applications that should be used in conjunction with the NSF* [*PAPPG*](https://www.nsf.gov/pubs/policydocs/pappg19_1/index.jsp) *and program solicitation to determine the full requirements for a specific program.*

[Cover sheet](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2a)

Some institutional information is pre-populated, but further information is required to complete this form. Be mindful of proposal titling requirements. Leave the total request field blank, as it will automatically populate based on information entered in the budget section.

[Project summary](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2b)

A [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf-project-summary_template.docx) is available on the ORSP website. Required sections include an overview, intellectual merit, and broader impacts of the proposed project. Fill in the form in the submission system to ensure compliance with character limits. A document may only be uploaded only if special characters are required.

[Budget](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2g)

The [UWL budget helper spreadsheet](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](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2g)

The budget justification is limited to 5 pages. A general [template](https://www.uwlax.edu/globalassets/offices-services/grants/budget-justification-template.docx) is available on the ORSP website.

[Project description](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2d)

The project description is limited to 15 pages, which includes the “Results from Prior NSF Support” section. The project description must contain, as separate sections within the narrative, separate sections labeled “Broader Impacts” and “Intellectual Merit” respectively.

[References cited](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2e)

Applicants must follow accepted scholarly practices for citing source materials used for any portion of the proposal. This section must only include bibliographic citations and may not be used to provide parenthetical information outside of the 15-page project description. There is no established page limit for this document.

[Facilities, equipment, and other resources](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2i)

Describe the adequacy of resources available to perform the proposed project to satisfy both intellectual merit and broader impacts review criteria. Consider internal and external physical and personnel resources the organization and any collaborators will provide. This information should appear in this document and not other portions of the proposal to comply with NSF cost sharing restrictions. Do not include quantifiable financial information. A [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf-facilities-template.docx) is available on the ORSP website. There is no prescribed page limit, but the document should be generally succinct.

[Biographical sketch(es)](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2f)

Upload a separate file for each senior personnel. A [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf--biographical-sketch-template.docx) is available on the ORSP website. The document is limited to 2 pages per person.

[Current and pending support form(s)](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2h)

Upload a separate file for each senior 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., institutional) grants and/or projects requiring an individual’s time, even if no salary support is received.

[Data management plan](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2j)

The document is limited to 2 pages and should address plan for data management and sharing products of research. A [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf-data-management-plan-template.docx) is available on the ORSP website.

[Collaborators & other affiliations (COA) information](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC1e)

For each senior personnel, upload a separate spreadsheet that identifies collaborators, co-editors, graduate advisors, and PhD advisors (as applicable). The NSF [COA template](https://nsf.gov/bfa/dias/policy/coa.jsp) must be used and uploaded as an Excel file to the submission system.

# Potentially Required NSF Proposal Components

## *Research in Undergraduate Institutions (RUI) Proposals*

*RUI proposals must also include the components below. Review the separate* [*RUI program solicitation*](http://www.nsf.gov/pubs/2014/nsf14579/nsf14579.htm) *for the full guidelines, which must be followed in addition to the targeted program guidelines.*

Project title

Wherever it appears, prefix the project title with “RUI: [project title]” to designate it as an RUI proposal (e.g., in cover sheet, project summary, project description, current and pending support form).

RUI impact statement

An optional template is available on the [ORSP website](https://www.uwlax.edu/globalassets/offices-services/grants/impact-statement.docx). The document may be up to 5 pages. Upload it under “Other Supplementary Docs.”

Certification of RUI/ROA eligibility

Contact ORSP for this document. Upload it under “Other Supplementary Docs.”

## *Projects Involving Live Vertebrate Animals*

*See the NSF PAPPG section “*[*Proposals Involving Vertebrate Animals*](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IID4)*” (II.D.4) for further information.*

Cover Sheet: Vertebrate Animals information

Check the box for “Vertebrate Animals” and the date of IACUC approval for the protocol covering the proposed work. If approval has not been obtained prior to submission, indicate “Pending” in the space provided for the approval date. (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 Description: Vertebrate Animals information

Provide sufficient information in the Project Description 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 are 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; it is strongly recommended a PI initiate the process promptly to allow for potentially required IACUC protocol revisions. Consult with ORSP for further guidance.

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

*See the NSF PAPPG section “*[*Proposals Involving Human Subjects*](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IID5)*” (II.D.5) for further information.*

Cover Sheet: Human Subjects information

Check the box for “Human Subjects,” and provide exemption number(s) (if applicable) or the IRB approval date (if applicable) for the protocol covering the proposed work. If approval has not been obtained prior to submission, indicate “Pending” in the space provided for the approval date. (IRB approval must be finalized before an award is issued and project work can commence.) Enter UWL’s Human Subjects Assurance Number: 00002685.

IRB Congruence Review

Applications for projects involving human subjects are 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; it is strongly recommended a PI initiate the process promptly to allow for potentially required IRB protocol revisions. Consult with ORSP for further guidance.

## *Projects Involving Biological and/or Chemical Resources*

[Life Sciences Dual Use Research of Concern (DURC)](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IID6)

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.

## *Other Supplementary Documents*

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

Unless otherwise specified by a program solicitation, NSF restricts letters of collaboration to only the content and format outlined in “[Special Information and Supplementary Documentation](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2j)” (II.C.2.j). Also see “[Unfunded Collaborations](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2div)” (II.C.2.d.iv) and “[Collaborative Proposals](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IID3)” (II.D.3). See the ORSP website for a [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf-letter-of-commitment-template.docx).

Other documents required by program solicitation

# Required Components for Proposals with External Collaborators

*Collaborators that will make significant contributions to a project’s objectives can generally be incorporated into an application in* [***one of two ways***](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IID3)*: as a collaborative proposal or as a subaward. Required components depend upon the type of collaborative mechanism chosen. Review the program solicitation to verify what is allowable.* ***For UWL PIs/co-PIs, the items listed under “Required Internal Documents” in this checklist are also required prior to submission.***

**Option 1:** [**Collaborative**](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IID3)**:** For this type of submission, each institution submits its own respective materials in the submission system after the applications have been linked. The lead institution should submit all of the documents listed earlier in this checklist. Documents below are required from the non-lead institution and are uploaded by the *non-lead institution* to the submission system:

[Cover sheet](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2a)

[Biographical sketch(es)](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2f)

Include one for each senior personnel. A [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf--biographical-sketch-template.docx) is available on the ORSP website.

[Budget](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2g)

The budget should outline only the requested funds of the non-lead institution, including applicable fringe benefits and indirect costs. See the [budget helper spreadsheet](https://www.uwlax.edu/globalassets/offices-services/grants/budget_helper_spreadsheet.xlsm) on the ORSP website for a format.

[Budget justification](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2g)

A [template](https://www.uwlax.edu/globalassets/offices-services/grants/budget-justification-template.docx) is available on the ORSP website.

[Current and pending support form](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2h)

Include one for each senior personnel. List the proposal under development at the top of the form as “pending.” This should include all currently funded or pending extramural and/or internal (i.e., institutional) grants.

[Facilities, equipment, and other resources](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2i)

A [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf-facilities-template.docx) is available on the ORSP website. There is no prescribed page limit, but the document should be generally succinct.

[Collaborators & other affiliations information](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC1e)

For each senior personnel, upload a separate spreadsheet that identifies collaborators, co-editors, graduate advisors, and PhD advisors (as applicable). The NSF [COA template](https://nsf.gov/bfa/dias/policy/coa.jsp) must be used and uploaded as an Excel file to the submission system.

**OR**

**Option 2:** [**Subaward**](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2gvie)**:** For this type of submission, all materials are submitted by the lead institution as a single application in the submission system. Documents listed below are required from *each subrecipient institution.* The NSF required documents are uploaded by the lead institution to the submission system:

Letter of intent (LOI) or other written confirmation of commitment

The confirmation should be signed by an authorized representative of the subrecipient’s grants office (or other authorized representative) and should (1) confirm the institution’s commitment to the project; (2) include an attached scope of work, budget, and budget justification; (3) certify which institution’s federally compliant FCOI policy subrecipient investigators will follow; and (4) certify students at the subrecipient institution will follow the prescribed RCR training plan (if applicable). The signed documentation should be routed to the lead institution’s grants office prior to submission. Contact ORSP for a template.

Subrecipient DUNS number

Scope of work (SOW)

The SOW should provide an overview of the subrecipient’s role in the project, including a description of the work to be performed, objectives to be addressed, methodology, deliverables, milestones, and special requirements (as applicable). Contact ORSP for a template.

[Budget](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2g)

The budget should outline only the requested funds for the subrecipient, including applicable fringe benefits and indirect costs. See the [budget helper spreadsheet](https://www.uwlax.edu/globalassets/offices-services/grants/budget_helper_spreadsheet.xlsm) on the ORSP website for a format.

[Budget justification](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp" \l "IIC2g)

A [template](https://www.uwlax.edu/globalassets/offices-services/grants/budget-justification-template.docx) is available on the ORSP website.

[Biographical sketch(es)](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2f)

Include one for each senior personnel. A [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf--biographical-sketch-template.docx) is available on the ORSP website.

[Current & pending support form](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2h)

Include one for each senior personnel.  List the proposal under development at the top of the form as “pending.”  This should include all currently funded or pending extramural and/or internal (i.e., institutional) grants.

[Collaborators & other affiliations information](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC1e)

For each senior personnel, upload a separate spreadsheet that identifies collaborators, co-editors, graduate advisors, and PhD advisors (as applicable). The NSF [COA template](https://nsf.gov/bfa/dias/policy/coa.jsp) must be used and uploaded as an Excel file to the submission system.

[Letter(s) of collaboration](https://www.nsf.gov/pubs/policydocs/pappg19_1/pappg_2.jsp#IIC2j) for NSF application (if applicable for solicitation)

See the ORSP website for a [template](https://www.uwlax.edu/globalassets/offices-services/grants/nsf-letter-of-commitment-template.docx).

*Collaborators that do* ***not*** *make significant contributions to a project’s objectives and do not have some responsibility for programmatic decision-making may be more appropriately categorized as consultants. It may be appropriate to submit a letter of collaboration and/or bid from consultants as part of an application to document their commitment to the project. See the ORSP website for a* [*letter of collaboration template*](https://www.uwlax.edu/globalassets/offices-services/grants/nsf-letter-of-commitment-template.docx)*.*