

Proposal Development and Submission Checklist

To Do: Review Funding Guidelines for Proposal Preparation and Submission

- Is this a limited submission? Coordinate the submission with OSR/Office of Research Development (<http://www.research.northwestern.edu/ord/funding/limited-submissions/process.html>) by preparing LOI by internal deadline if selected.
- Is this a clinical trial? (See checklist for clinical trial agreement preparation)
- Obtain external program announcement and review guidelines, forms and application requirements
- Note submission deadline _____
- Is a letter of intent required? Date due _____
- Are their cost-sharing requirements for this proposal? Submit request for Cost share to Dean/VPR.
- Is this an electronic or paper submission? Which electronic system? Grants.gov Fastlane Other

To Do: Contact OSR and Develop an Application Timeline

- Notify the grants/contracts officer in OSR as soon as the application is going forward.
- Develop a timeline to complete the application.
- Application components (including budget) are due to OSR 5 business days before deadline.
- Science portion is due 2 business days before application deadline.
- Review all administrative information and budgetary requirements (listed below)
- Follow up with your GCO with questions as you need assistance.

To Do: Effort Reporting Requirements

- Estimate sponsored project effort, ensure it can be met given other duties and a reasonable work schedule.
- For FSM faculty with NMFF appointments include one of the standard statements in the budget justification regarding projected effort and salary request.
- For Faculty outside of NMFF, disclose that appointment to sponsor.
- For faculty with VA appointments, prepare appropriate VA MOU if applicable. Maintain one copy in department and submit one copy to OSR.
- Disclose current/pending other support as it exists at the time of the proposal.
- Ensure that OSR-1 reflects proposed effort commitment consistent with budget/justification.

To Do: Review Scientific Compliance Guidelines

- Does the research plan involve Human Subjects? (Is the IRB application pending or approved?)
- Does the research plan involve animal subjects? Are there animal use plans/applications which should be reviewed prior to application?
- Does the research plan involve biohazardous or radioactive materials? Are there approvals and documentation needed for the application?
- Other compliance requirements that may apply
 - Federal demonstration partnership terms and conditions
 - US Export Control Laws
 - External Agency Policies and Guidelines
 - Conflict of Interest/Conflict of Commitment

To Do: Develop and Revise Proposal – Science/Research Plan/Protocol

- Check proposal against required elements and NIH Grant Policy Guidelines

To Do: Describe Institutional Consortium Agreements, Subcontracts & Consultants

- Will your project require subcontracting the services of an organization or individual to perform a specific set of services for your project?

Feinberg School of Medicine Research Administration Services Checklist

Requirements for a subcontract/consortium agreement for application:

- NIH Face Page with Subcontractor Organization Sign-off by Institutional Official
 - Detailed Statement of Work
 - Detailed Budget for all proposed years of work
 - Checklist page from Subcontractor Organization
 - NIH Biosketch from Subcontractor Key Personnel
- Will your project require contracting with a consultant to advise you on a specific aspect of your research project? Describe the consulting relationship your project requires.

Requirements for an individual consultant agreement for application, letter specifying:

- Contact information (Name, home address, phone, e-mail, SSN)
- Detailed Statement of Work
- Performance Period
- Fee per hour or day, number of hours/days worked
- Total compensation for project including travel and other costs
- Statement of qualifications for project

To Do: Develop and Revise Proposal Budget

- Prepare a preliminary project budget based on the proposed Northwestern personnel and the proposed collaborations, subcontracts and consultants named above, including project expenses. Include all applicable F&A rates for NU, consortium and other subcontractors and calculate MTDC for all project years. Include mandatory approved cost-share in budget if approved by Dean/VPR. Review against funding guidelines and adjust against research plan.
- Review project costs against funding guidelines and NU policies to ensure all costs are allowable and allocable to the project.
- Develop detailed budget justification; include language for NMFF and VA investigators with NU appointments.
- Review project budget and justification with investigator; make edits based on PI feedback.
- Adjust research budget and enter into indicated application package, submitting it to OSR for pre-review, prior to deadline. Incorporate OSR feedback into proposal package.
- Finalize budget.

To Do: Prepare and Sign Internal Documents

- All key personnel to sign OSR-1 form and OSR-100 forms.
- Internal budget for a sponsored project: OSR3
- IRB/ACUC Forms if applicable.
- For researchers with a joint NU/VA appointment: Memorandum of Understanding

To Do: Finalize and Submit Application Package

- Complete draft application for OSR review.
- Use S424 checklist for grants.gov package
- Use FastLane checklist for NSF package
- Develop checklist for private funder package
 - Submit to OSR 5 days (or more) deadline for final review and edits
 - Submit science to OSR 2 days before deadline
- OSR will sign off on the final proposal and submit to funder.