

# Kent School of Social Work and Family Science

## Quick Reference Guide: Preparing Proposals for New Externally Funded Grants

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**Purpose Of This Guide** – Successful sponsored research applications require understanding instructions and processes of numerous organizations and departments. This guide is intended to help navigate organizational requirements in a timely way to meet deadlines set by sponsors', UofL's Office of Sponsored Programs Administration (OSPA), Kent School, subawardees, and other entities.

This is a quick reference guide. While not comprehensive, it does cover many situations Kent School researchers are likely to encounter. This guide is specifically for **new grants from external funding sources** and not for internal, University funded research. Internal applications are not routed through OSPA. Additionally, if you have a Non-Compete Continuing application, contact the Kent Business Office personnel who manages the existing grant account.

Note that sponsor and University of Louisville rules are constantly changing. Instructions for human subjects and accounting procedures can change several times a year. It would take hundreds of pages, if not thousands, to cover all of the rules, variables, and terminology used by federal, state and local governments, businesses, non-profit foundations/organizations, and all other potential funding sources (for example: [NIH Application Forms-H](#) instructions have 319 pages, and the [NSF Proposal & Award Policies & Procedures Guide](#) has 203 pages). OSPA also has a website to [assist with proposal preparation](#).

### Required Online Application Procedures



OSPA requires Kent School to submit proposal materials for review via the electronic research administration portal (currently iRIS, transitioning to Cayuse mid-2023)



Federal agencies require the University's Authorized Official Representative to sign applications in an online portal. Most Kent School federal applications, including NIH, are submitted via Grants.gov. There will be a system-to-system capability in Cayuse that will not require use of the federal portals. NIH ASSIST is another federal system that can be used for NIH grants.

Foundations and Non-profit funding sources frequently have their own portal, or subscribe to portals like Proposals Central, to manage their applications. Some sponsors simply have the PI submit via an email.

**The Bare Necessities-** Applying for a new externally funded grant usually requires the following steps:

1. **Review** all of the instructions and ensure you are eligible and can meet the deadlines
2. **Notify** the Kent Research Office (the Associate Dean for Research and the Grants Manager) and complete the online [Kent School Proposal Information Form](#)
3. **Comply** with the Human Subjects Research and [Institutional Review Board \(IRB\) guidelines](#)
4. **Discuss** with anyone you have named in your application to verify they can participate
5. **Budget** and contact the Kent School grants manager for updated salary and fringe rates
6. **Assemble** all the materials required by sponsor's instructions by working with the Kent Grants Manager (attachments, letters of support, tax forms, subrecipient documents/contracts, biosketches, etc.)
7. **Approvals/Signatures** must be obtained (Named Personnel, Dean's Office, OSPA, Subrecipient AOR)
8. **Submit** to OSPA all materials required for review (submitted via iRIS or Cayuse)
9. **Apply** using the formal mechanism required by the sponsor (Grants.gov, ASSIST, Cayuse, etc.)

There can be a lot more required than what is in this list of steps, and further explanation and a FAQ follow.



## So Many Hoops To Jump Through

**Instructions & Rules, Reviewers & Authorizers, Oh My!** – In addition to the myriad instructions and policies from various entities that need to be followed, frequently signatures must be obtained at various stages from Authorized Organization Representatives (AOR). Ample time must be provided for each organization to review and sign-off when required. Failure to do this can prevent an application from being submitted. Depending on the number of partners and complexity of a research project, proposals require documentation sent to, and review or approval, from as many as eight different entities or departments.

*Submissions, Reviews and/or Approvals may be required from:*

1. Kent School Administration (required for all proposals)
2. UofL Office of Sponsored Programs Administration (required for all proposals)
3. Sponsor of funding (required for all proposals)
4. Subrecipients (aka subawardees) or subcontracted organizations (if any)
5. Other UofL departments (if any personnel are from UofL departments outside of Kent School)
6. UofL Development Office if applying to local charities or foundations
7. OSPA Negotiation Core for contracts/subcontracts for services rendered, may need UofL Legal review
8. OSPA Non-Financial Agreements Core (for things like non-disclosure agreements)

Any required actions by one of these entities can delay the application. Plan accordingly.

**Find a Sponsor-** This guide is primarily focused on the steps necessary to apply for potential funding that the Principal Investigator has already identified, but if you are searching for funding sources, the [University does provide tools](#) to assist with locating funding, including:

- [PIVOT](https://pivot.proquest.com/) at <https://pivot.proquest.com/>
- [InfoReady](https://louisville.infoready4.com/) at <https://louisville.infoready4.com/>

**Initial Application Procedures for the PI** (before the interesting science part begins):

1. **Review the funding announcement instructions.** Ensure that both you and UofL/Kent School meet the eligibility criteria. Let Kent School Research office know if anything is unclear or if you have any questions.
2. **Notify the Kent Research Office.** Send an e-mail to the Associate Dean for Research and the Kent Grants Manager as early as possible stating your intent to apply for a grant or contract. Include a link to the Funding Opportunity Announcement and a link to any instructions that may be available online.
3. **Complete the online [Kent School Proposal Information Form](#).** Even if you do not know all of the details about the project, please complete the online form as it contains information necessary to set up the project in the electronic research administration system (iRIS/Cayuse). The form is in a Qualtrics survey at this link: [https://louisvillekent.az1.qualtrics.com/jfe/form/SV\\_6mVMInrIKJ39Jxl](https://louisvillekent.az1.qualtrics.com/jfe/form/SV_6mVMInrIKJ39Jxl)
4. **Human Subjects Research and Institutional Review Board (IRB).** Read the University of Louisville [guidance on IRB approval linked here](#). Some sponsors will require IRB approval before they accept applications, most will allow for pending approvals at the time of application.

5. **Note your deadlines.** Ensure that you will be able to complete the application by the deadlines set by all the parties that will need to review and approve. All applications have a minimum of three deadlines: 1) Kent School Research Office, 2) OSPA, and 3) Sponsor. The OSPA deadline is five full business days before the sponsor's deadline date. The Kent School grants manager will typically need a minimum of 2 to 3 business days in advance of the OSPA deadline to review and enter materials into the electronic research administration tools and to obtain internal signatures. **If there are subawards more time may be needed, as those require signature approval and agreements with other institutions that have their own deadlines for reviews and approvals.** Be considerate of all entities that may need additional time to review the application materials and sign-off on your proposal. State and city governments and school districts frequently require more time than other sponsor's.
6. **Notify your named personnel.** Anyone employed by the University who is named in the proposed budget, budget justification, or project description, will have to agree to participate by signing a Proposal Clearance Form. This requires that they have a Full-time Effort percentage recorded for each budget period of a grant. Outside consultants should be contacted and letters of support should be obtained early as well.
7. **Attestation Disclosure Form/Conflict of Interest:** UofL requires a current ADF/COI form on all people named in the grant, including consultants. This is one of the first items OSPA checks when reviews are started and will stop the review until everyone is current.
8. **Cost share:** Requires advance approval from the Associate Dean for Research. Discuss any proposed cost share with the Associate Dean of Research early in the process as the University is not always eager to provide cost share. OSPA will require a Speedtype be provided for the cost share account when the materials are submitted for review.

## PI Resources folder in CardBox

The Kent School Research and Grants Manager maintains a folder of resources for Principal Investigators in CardBox. This contains lots of useful examples for proposal elements often required by sponsors:

- Budget templates for one-to-5 year periods, the templates include a separate worksheet for calculating MTDC. Contact the Grants Manager to have current salary info inserted into your budget template
- Forms commonly required for applications: IRS Tax Exempt Letter, F&A rates agreement, subcontract forms, etc.
- Institutional information, such as University ID numbers and addresses
- Boilerplate text samples to insert into application narratives
- Required UofL Contacts: Authorized Signing Official, Financial Official, person to send payments to, etc.

## ??? Questions, So Many Questions ???

Keep in mind that sponsor's instructions can be vague or confusing, and the sponsor often needs to be contacted for clarifications. Many times, there is a "no comment" period that begins on a certain date before the deadline for applications. To prevent giving an unfair advantage to anyone, the sponsor may refuse to provide additional clarifications after this date. It is best to contact the sponsor early if you need to ask them any questions. Sometimes, there may be webinars or other online resources made available in addition to written instructions that can be accessed for clarifications.

## Assembling the Application Package

**Sponsor Instructions:** After completing the initial steps outlined above, it is time to begin writing and assembling the proposal. Instructions from sponsors vary greatly in the amount of details they provide, and in the amount of details they request:

- **Federal grants** tend to have many pages of instructions. Federal agencies may also have multiple documents containing instructions, and the instructions often refer to additional instructions that are in another document or location (i.e., posted on their web sites or in standard guides they maintain)
- **Foundations** may have less than a single-page of instructions, and may leave you wishing that they had more. Be prepared to contact them early for clarification, before any “no comment” period begins.
- **Online Form Instructions** can be the most difficult to follow, often because you cannot read them until you have initiated an application in the sponsor’s portal. Worse, sometimes the instructions are incorporated into each item of the forms and can only be accessed after completing other items or forms.

It may be necessary to read and re-read instructions very carefully to determine the exact procedures and information a sponsor requires. Also, be aware that instructions for funding programs change frequently and, what you did for a previous application may no longer apply.

## Contents of the Application Package

The number of components in an application package will vary depending on the complexity of the project, the demands of different sponsors, and whether there are subawards. Keep in mind that Kent School will be submitting documentation to OSPA for review, and also submitting the application package required by the sponsor. Below is an OSPA checklist that addresses various components:

### Proposal Completion Checklist from UofL Office of Sponsored Programs Administration:

*(Important: OSPA instructs that all documents be complete and submitted at same time)*

1. Link to the Funding Opportunity Announcement and/or copy of the sponsor’s instructions
2. Completed and Signed Proposal Clearance Form (PCF) - with signatures from the PI, Research Dean, Dean, and all UofL staff named in the proposal (supposedly, PCF not required with Cayuse)
3. Final Detailed Budget (preferably in Excel format as OSPA will check the figures)
4. Budget Justification Narrative
5. Abstract and/or Scope of Work Statement (for subawards a scope of work statement is necessary)
6. (if applicable) Subrecipient Commitment Form from Subawardee Sites
7. (if applicable) Letters of Support from Consultants
8. (if applicable) Subawardee Scope of Work
9. (if applicable) Subawardee Detailed Budget and Budget Justification
10. If Paper Submission: All Form Pages Identifying the Institution and/or Requiring Signature
11. If Electronic Submission: Completed, Ready-For-Submission Electronic File

### UofL Requirement: [UofL Policy Management and Sharing of Research Data](#)

This policy was created 2022 in order for UofL to be in compliance with the new requirements for NIH proposals that take effect in January 2023. The new policy applies to both funded and unfunded research activities. Of particular note is the data retention period and responsibilities of the PI (section 5. at least five years) and how to plan for data usage when a student, staff, or other person on the research team leaves UofL (section 8).

**Additional documentation is required by OSPA for the following circumstances:**

**Required if UofL has subrecipients or subcontracts (required for each sub):**

1. Complete the “Subrecipient or Contractor” determination checklist PDF [located here in CardBox](#)
2. Contact person’s name and contact information
3. detail budget
4. budget justification
5. scope of work / statement of work
6. Subrecipient Commitment Form (or “Letter of Intent” form if the subrecipient belongs to the [Federal Demonstration Partnership](#)). These forms need to be completed and signed by Subawardee. Most should check “Cost Reimbursable” and “Yes” to Human Subjects Certification (they can go through UofL IRB if they do not have their own).

**Required if UofL is the subrecipient/subcontracted institution:**

1. Prime awardee’s contact person’s name and contact information
2. detail budget
3. budget justification
4. scope of work statement describing UofL’s role
5. Intent to Establish a Consortium Form (or a Letter of Intent if the prime awardee belongs to the [Federal Demonstration Partnership](#)): OSPA prepares this form and sends it to the Primary Institution. It contains the ULRF, Inc. Authorized Official Representative (AOR) signature. *It does not need to be returned to ULRF.*

**Required if proposal is submitted through Kent School and has personnel from UofL department:**

*Note: Not all departments ask Kent School to provide all of this information.*

1. detail budget provided to other department showing their personnel’s FTE% commitment
2. budget justification provided to the other department
3. scope of work statement provided to the other department
4. PCF form signed by other department’s named personnel and Dean, then returned to Kent School

**Required if Kent Personnel are included on grants submitted through another UofL Department:**

1. detail budget (or PCF signature form) showing the Kent Personnel line and FTE% commitment
2. budget justification/narrative for Kent Personnel on the project
3. scope of work statement for Kent personnel on the project
4. PCF additional signature form signed by Kent personnel, the Research Dean, and Kent Dean

## Federal Grants Issues and Requirements

**eRA Commons ID:** Federal grants now require that everyone listed as a Key Person in a proposal must provide their eRA Commons ID in the Key Persons form. It is important that all faculty who might be included in a federal grant application, including CONSULTANT roles, have and know their Commons ID credentials because electronic submissions will not be accepted unless a valid user ID is entered into the correct field in the form. Visit the [eRA Commons Accounts](#) web site to obtain your Commons ID.

If there is any chance you may be asked to participate in a federal grant application, whether it will be submitted by UofL or another entity, not having and/or knowing your eRA Commons ID will prevent the submission (or you will have to be removed from the application before the application can be submitted).

**ORCID:** provides a persistent digital identifier (an ORCID iD) that the faculty member owns and controls, and that distinguishes them from every other researcher. Faculty can connect their id with their professional information and share their information with other systems (including UofL Folio), ensuring they get recognition for all their contributions, saving them time and hassle, and reducing the risk of errors. All UofL researchers are encouraged to register and learn more about ORCID at <https://library.louisville.edu/uoffolio/orcid-registration>. The White House Office of Science and Technology recently published a policy memo that states that all federal funders will be required to utilize a persistent digital identifier (such as ORCID) for applicant grant submissions by 2027.

**Biosketches:** Format requirements for biosketches used by federal agencies change frequently. Below are links that should help you ensure you are using the most current format:

- 1) **Biosketch:** <https://grants.nih.gov/grants/forms/biosketch.htm>
- 2) **Other Support:** <https://grants.nih.gov/grants/forms/othersupport.htm>
- 3) **Notice of Changes:** <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-073.html>
- 4) **SciENcv** will produce an NSF-compliant PDF version of the Biographical Sketch and the Current & Pending Support documents.

**NIH online Biosketch and bibliography requirements (official site: [NCBI MyBiblio](#)):**

**Question:** Citations - Are the DOI (Digital Object Identifier), PMID (PubMed reference number), and PMCID (PubMed Central reference number) required with each reference in the biosketch?

**Answer:** NIH does not require a DOI (Digital Object Identifier) or PMID (PubMed reference number) with each reference in the biosketch. However, NIH does require a PMCID or other evidence of compliance with the public access policy for papers that fall under the policy and are authored by the applicant or arise from an applicant's NIH award. Please see <http://publicaccess.nih.gov/include-pmcid-citations.htm> for more details. NIH encourages applicants to use [SciENcv](#) to generate their biosketches. SciENcv quickly formats everything, including citations, according to NIH rules.

**Question:** What meets the criteria for a "publicly available digital database" to list all an applicant's published work, as mentioned in NOT-OD-15-032?

**Answer:** Per NOT-OD-15-032, the new biosketch format allows applicants to include a link to a full list of their published work as found in a "publicly available digital database" such as MyBibliography. The link is optional.

**How to Find the Grantor Contact Information on a Funding Opportunity:**

[This link shows where to find the contact](#) to ask questions about a specific federal grant.



## Additional Information and Glossary

### File Naming Conventions for documents submitted to OSPA:

To keep them readily identifiable, files are submitted to OSPA with the following naming structure: the purpose first, then the PI name, then the project or sponsor name. Examples: "budget\_Smith\_ProjectName.xls" or "budget justification\_Smith\_NIH R03.pdf". Version names or dates can be added to the end of the file name.

### Indirect Costs/Facilities and Administration (F&A) Negotiated Rates for Federal and State Grants:

- 26% for all off-campus activities (as of July 1, 2019)
- 56.5% for on-campus research (as of July 1, 2022)
- 40% for on-campus instruction (as of July 1, 2019)
- 38% for on-campus other Sponsored activity (as of July 1, 2019)
- 18% for most Louisville Metro contracts (unless there is a written exception or funding is federal flow-through)
- 10% for most Kentucky State Government contracts (must have written documentation of any rate the state applies)

### Definition of Off Campus for F&A Indirect Cost rate determination:

For all activities performed in facilities not owned by the institution and to which rent is directly allocated to the project(s), the off-campus rate will apply. Sponsored agreements may not be subject to more than one F&A cost rate. If more than 50% of a project is performed off-campus (**exclusive of any subcontract performance sites**), the off-campus rate will apply to the entire project. (Note: When receiving a sub-award for evaluation of an off-campus activity, the Co-Investigator should use the ON-CAMPUS rate when receiving a sub-award for evaluation activities even if the project activities are off campus because it is presumed the UofL Co-Investigators and Evaluators are working from UofL resources).

### MTDC - Definition of Modified Total Direct Costs base for F&A indirect costs calculation:

Consists of salaries and wages, applicable fringe benefits, materials, supplies, services, consultants, travel and up to the first \$25,000 of each subaward (regardless of the period of performance of the subaward under the award). MTDC excludes: equipment (\$5,000 or greater per item), capital expenditures, charges for patient care, tuition remission, participant support costs, rental costs, scholarships and fellowships, as well as the portion of each subaward in excess of \$25,000 (excess of \$25,000 over the aggregate for all years of the entire project period).

### Fringe Benefits: exact rates should be used when available or use 28.5% for estimating fringe costs:

28.5 %	OSPA recommended rate for estimating full-time faculty and staff fringe costs
7.65%	Temporary Hourly Employee Wages (to cover FICA taxes)
28.5%	Post Docs
7.65%	Institutionally Approved Additional Pay (XPay)
28.5%	Institutionally Approved Supplemental Pay (Sup)
\$2,624.04	GRA cost for Insurance, Workman's Comp, & Unemployment (\$220.17 per month)

**IRB approvals:** Discuss with the ADR and submitted via iRIS; iRIS flow is 1) Scientific Review, then 2) Sign-off by Department Chair

**Tuition:** costs for GRA are posted at the Bursar's Office web site: <https://louisville.edu/bursar/tuitionfee>

### Online submission portals and grant management links:

- [grants.gov](https://grants.gov)
- [HRSA Electronic Handbook](#)
- [FDP Federal Demonstration Partnership](#) (contains subaward agreement forms)
- [SAM System for Award Management](#)
- [grantsolutions.gov](https://grantsolutions.gov)
- [Proposal Central](#) (for many Foundations and non-government submissions).