# Subaward Preparation Tool Kit

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Prepared by Kathy Thatcher, M.Ed., CRA  
Sr. Grants and Contracts Specialist  
February 17, 2016
**Recommended Grant Proposal Preparation Timeline**

**Faculty Submissions**

<table>
<thead>
<tr>
<th>3 weeks or more prior to sponsor's deadline</th>
<th>Notify Liberal Arts Grants Services that you plan to submit a proposal. Include the completed Proposal Review Form (PRF) as an attachment to this message (<a href="http://www.utexas.edu/cola/research/files/pdf/grants-contracts/COLA-PRF.pdf">http://www.utexas.edu/cola/research/files/pdf/grants-contracts/COLA-PRF.pdf</a>). Download the PRF to your desktop before filling in the form fields. Complete the Financial Conflict of Interest training for University Researchers (<a href="https://research.utexas.edu/ors/conflict-of-interest/coi-training/">https://research.utexas.edu/ors/conflict-of-interest/coi-training/</a>) and follow these instructions for submitting a Financial Information Disclosure form (<a href="https://research.utexas.edu/ors/conflict-of-interest/financial-interest-disclosure-fid-form/">https://research.utexas.edu/ors/conflict-of-interest/financial-interest-disclosure-fid-form/</a>). You may complete the FID form immediately after taking the FCOI training. Your collaborators at other institutions must have FCOI training and disclosure that meets Public Health Services (PHS) requirements, or they must complete the UT-Austin FCOI training and disclosure. The timeline for the subrecipient submission of subaward proposal documents will be different than the timeline for the lead institution's documents. Subaward documentation will be due to Liberal Arts Grants Services 7-10 day prior to the sponsor's deadline. Schedule a meeting to meet and discuss the proposal solicitation and UT-Austin procedures and requirements to facilitate the proposal preparation and submission process.</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 business days prior to sponsor's deadline</td>
<td>Provide Liberal Arts Grants Services with all documents required by the sponsor except the proposal narrative/project description and references. We will use the time to review your documents for compliance with both the sponsor’s and UT-Austin’s requirements. We are happy to work with you on these documents prior to the 10 business days requested. It is especially important that we have sufficient time to help you develop and review your budget and budget justification.</td>
</tr>
<tr>
<td>5 business days prior to the sponsor's deadline</td>
<td>Provide the proposal narrative/project description and references cited in their final format.</td>
</tr>
<tr>
<td>0-5 business days prior to sponsor's deadline</td>
<td>Be available via email or phone to make revisions upon Liberal Arts Grants Services’ and the Office of Sponsored Projects' review. Once OSP has approved your proposal, be available to advise when your proposal is ready for submission to the sponsor. Your confirmation that the proposal is ready for submission is required before OSP will actually submit the proposal to the sponsor.</td>
</tr>
<tr>
<td>IMPORTANT NOTE:</td>
<td>Following these guidelines will assist us in helping you with the preparation of your grant application. They provide us with sufficient time to give your proposal a full review and afford you the opportunity to make changes based on that review. If you do not provide sufficient time, your proposal may not receive the review it deserves, resulting in a submission with errors that may lead to the proposal being returned without review or rejected for funding.</td>
</tr>
</tbody>
</table>
## Subaward Preparation Instructions

| **Outgoing Subaward**  
(UT-Austin is Prime Recipient/Lead Institution) | **Incoming Subaward**  
(UT-Austin is Subrecipient/Non-Lead Institution) |
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>Provide the non-lead institution with a deadline for receipt of subrecipient's documents approximately 7-10 business days in advance of the sponsor’s deadline.</td>
<td>Request a deadline for your approved subaward documents to be submitted to the lead institution. (This date becomes UT-Austin's subaward proposal deadline.)</td>
</tr>
<tr>
<td>Provide non-lead institution with the total amount of funding they may use to create their budget.</td>
<td>Request the total budget amount allowed for your subaward from the lead institution.</td>
</tr>
<tr>
<td>Provide the non-lead institution with the names and contact information for the UT-Austin PI, co-PIs, and the Liberal Arts Grants Services staff member working on the subaward.</td>
<td>Provide the lead institution with the names and contact information for the UT-Austin PI, co-PIs, and the Liberal Arts Grants Services staff member working on the subaward.</td>
</tr>
<tr>
<td>Get the non-lead institution's DUNS number.</td>
<td>Provide UT-Austin's DUNS number to the lead institution: 170230239</td>
</tr>
<tr>
<td>Get the non-lead institution's Congressional District Number.</td>
<td>Provide UT-Austin's Congressional District number to the lead institution: TX-025</td>
</tr>
</tbody>
</table>
| Get the non-lead institution PI's and co-PIs' ID numbers, if required:  
• NSF – FastLane ID  
• NIH – ERA Commons ID  
• Other | Provide the lead institution with UT-Austin PI's and co-PIs' ID numbers, if required:  
• NSF – FastLane ID  
• NIH – ERA Commons ID  
• Other |
| **Required Documents for the subrecipient's (non-lead institution's) portion of the work:**  
• Budget  
• Budget Justification  
• Statement of Work/Scope of Work  
• Letter of collaboration from PI  
• Letter of Intent signed by an authorized organizational representative (in the subrecipient’s OSP)  
NOTE: We should receive these by the deadline set by UT-Austin, not the sponsor’s deadline. | **Required Documents to be submitted to the lead institution by UT-Austin:**  
• Budget  
• Budget Justification  
• Statement of Work/Scope of Work  
• Letter of collaboration from PI  
• Letter of Intent signed by an authorized organizational representative (in UT-Austin's OSP)  
NOTE: These should be sent to the lead institution by the deadline they provide. |
| UT-Austin will incorporate the subaward documents into the proposal for review and approval by UT-Austin’s Office of Sponsored Projects. | The lead institution will generally incorporate your subaward documents into the full proposal they are submitting to the sponsor. Please request information about any special forms they require. Find out about any other requirements they expect UT-Austin to fulfill. |
Components of a Statement of Work/Scope of Work Document
(For Subaward Only)

A statement of work is required for each subaward proposal. Please include the following information in your statement work:

- Project Title
- Project Period
- Team Members/Role in the Project
- Objective(s)
- Goal(s)
- Task(s)
- Timeline
- Reporting and Deliverable(s)
Statement of Work (SOW) Template

Project Title: Add the title of the proposal.

Period of Performance: Start date and end date of the subaward.

Document Date: Add the date.

Objective: Brief overview of the specialty area. Describe why the research is being pursued and what knowledge is being sought.

Scope: Include a statement of what the Statement of Work (SOW) covers including the research area to be investigated, objectives/goals, and major milestones and schedule for the effort.

Background: The applicant must identify appropriate documents, including publications that are applicable to the research to be performed. This section includes any information, explanations, or constraints that are necessary in order to understand the hypothesis and scientific impact on the field of research. It may also include previously performed relevant research and preliminary data.

Tasks/Scientific Goals: This section contains the detailed description of tasks that represent the research to be performed and that are contractually binding. Thus, this portion of the SOW should be developed in an orderly progression and presented in sufficient detail to establish the methodology and feasibility of accomplishing the overall program goals. The work effort should be segregated by performance period for all tasks to be performed and anticipated milestones realized in that year (e.g., Year 1, Year 2, etc., should be detailed separately). Identify the major tasks in separately numbered sub-paragraphs. Each major task should delineate, by subtask, the research to be performed by year; number each task using the decimal system (e.g., 4.1, 4.1.1, 4.1.1.1, 4.2, etc.). The sequence of performance of tasks and achievement of milestones must be presented by project year and task in the same sequence as in the Technical Proposal. The SOW must contain every task to be accomplished to include a detailed schedule.

The tasks must be definite, realistic, and clearly stated. Use “the grantee shall” whenever the work statement expresses a provision that is binding. Use “should” or “may” whenever it is necessary to express a declaration of purpose. Use active voice in describing the work to be performed. Do not use acronyms or abbreviations without spelling out acronyms and abbreviations at the first use; place the abbreviation in parentheses immediately following a spelled-out phrase. If presentations/meetings are identified in your schedule, include the following statement in your SOW: “Conduct presentations/meetings at times and places specified in the grant schedule.”
Subaward Budget

Project Title:

Principal Investigator: 

Subawardee Institution: The University of Texas at Austin

Period of Performance:

<table>
<thead>
<tr>
<th>Subaward Budget</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Total</th>
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<tr>
<td><strong>Salaries (Names &amp; Titles)</strong></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(include name, title, % time or months, base salary rate)</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Subtotal Salaries</strong></td>
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<td>0</td>
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</tr>
<tr>
<td><strong>Fringe Benefits</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>(include name, 30% of salary for faculty, staff, &amp; GRAs)</em></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Undergraduates (10% of wages)</td>
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<td></td>
<td>0</td>
<td>0</td>
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<td><strong>Subtotal Fringe Benefits</strong></td>
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<tr>
<td><strong>Total Personnel</strong></td>
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</tr>
<tr>
<td><strong>Domestic Travel</strong></td>
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<td></td>
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<tr>
<td>Airfare</td>
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<tr>
<td>Baggage Fees</td>
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<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Lodging</td>
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<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Per Diem</td>
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<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Parking</td>
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<td>0</td>
<td>0</td>
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<tr>
<td>Ground Transportation</td>
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<td>0</td>
<td>0</td>
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</tr>
<tr>
<td><strong>Subtotal Domestic Travel</strong></td>
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<tr>
<td><strong>International Travel</strong></td>
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<tr>
<td>Airfare</td>
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<tr>
<td>Baggage Fees</td>
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</tr>
<tr>
<td>Lodging</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Per Diem</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Parking</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Ground Transportation</td>
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<td><strong>Subtotal International Travel</strong></td>
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<tr>
<td><strong>Other Direct Costs</strong></td>
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<td></td>
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</table>
1. Materials and Supplies
(Description, Price per item x quantity) 0

2. Publication Costs

3. Consultant Services
Name, amount of stipend and how calculated 0
Airfare 0
Baggage Fees 0
Lodging 0
Per Diem 0
Parking 0
Ground Transportation 0

4. Computer Services

5. Subawards

6. Other

Tuition for GRAs 0

<table>
<thead>
<tr>
<th>Subtotal Other Direct Costs</th>
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<tr>
<td>Total Direct Costs</td>
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<td>0</td>
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<tr>
<td>Indirect Cost Base (MTDC)</td>
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</tr>
<tr>
<td>Indirect Costs (55%)</td>
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</tr>
<tr>
<td>Total Costs</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>
BUDGET JUSTIFICATION

<Proposal Title>

PERSONNEL
Senior Personnel ($xxx requested)
1.
2.
3.
4.
5.
6. Others (List individually on budget justification)

Other Personnel ($xxx requested)
1. Post Doctoral Fellows
2. Other professionals (Technician, Programmer, etc.)
3. Graduate Students
4. Undergraduate Students
5. Secretarial – Clerical (if charged directly)
5. Other

Fringe Benefits ($xxx requested)
Fringe benefits have been calculated at 30% for all personnel. Sponsored awards are responsible for the actual fringe benefits incurred by each employee. Fringe benefits costs have been estimated based on historical data. However, actual costs for fringe benefits are charged (billed) to the sponsored project at the time the cost is incurred, based on salary, selected benefits package and other variables applicable to the individual employee.

TRAVEL ($xxx requested)
1. Domestic Travel ($xxx requested)
   <Add Explanation and Justification>

2. Foreign Travel ($xxx requested)
<Add Explanation and Justification>

Participant Support Fees ($xxx requested)
1. Participant Stipends ($xxx requested)
   <Add Explanation and Justification>

2. Participant Travel ($xxx requested)
   <Add Explanation and Justification>

3. Subsistence ($xxx requested)
   <Add Explanation and Justification>
4. Other ($xxx requested)
   <Add Explanation and Justification>

**OTHER DIRECT COSTS**

Equipment (Items costing $5000 or more for each item, with life expectancy of 1 year or more) ($xxx requested)
<Add Explanation and Justification>

Materials and Supplies ($xxx requested)
<Add Explanation and Justification>

Publication Costs/Documentation/Dissemination ($xxx requested)
<Add Explanation and Justification>

Consultant Services (includes stipends and travel expenses) ($xxx requested)
<Add Explanation and Justification>

Computer Services ($xxx requested)
<Add Explanation and Justification>

Tuition for GRAs ($xxx requested)
<Add Explanation and Justification>

Human Subjects Payments ($xxx requested)
<Add Explanation and Justification>

Subawards (calculate IDC on first $25,000 only of each subaward totaling $25,000 or more) (List each) ($xxx requested)
<Add Explanation and Justification>

Total Direct Costs ($xxx requested)

Indirect Costs ($xxx requested)
Indirect costs are limited to 20% of total direct costs per solicitation – European Research Council Grants 2013, ERC Advance Grant Scheme.

Total Project Costs ($xxx requested)
Grant Writing Tips: Writing Effective Letters of Commitment

Rochester Institute of Technology
https://www.rit.edu/research/srs/grant-writing-tips-writing-effective-letters-commitment
Mar 6th, 2006 -- research

While the phrase 'letter of commitment' is often used interchangeably with 'letter of support,' there is a fundamental difference between the two. A letter of support may, for example, state that a community group endorses or approves of a particular project. A letter of commitment, on the other hand, is a statement of active participation in the project. It specifies resources that the group will commit to the project and identifies what role it will play in bringing the project to a successful conclusion.

There is no formula for writing a strong letter of commitment - each must be crafted to address a particular project and collaboration. An effective letter of commitment is succinct, usually less than a page in length. It addresses four aspects of the proposed collaboration: it identifies the project, specifies what the collaborator will contribute, is authorized by an appropriate official, and convinces the reader that the collaborator has the capacity to fulfill its responsibilities and is committed to achieving success. The tone of the letter should convey a sense of enthusiasm for participating in a worthwhile project.

Letters may be directed to the sponsoring agency or to the PI of the project. Check the program guidelines to determine what is appropriate and whether specific information needs to be included. Read the announcement carefully when preparing a letter of commitment and ask yourself what a reviewer might want to know about your organization and its ability to perform on a project.

Identification: The opening paragraph of the letter should identify the proposal, sponsor, project title, period of performance – start and end dates of proposed work – and all partners and collaborators.

Roles and Responsibilities: The letter should clearly state the role and responsibilities that the collaborator commits to the project. It should persuade the funding agency that the collaborator brings appropriate skills and/or resources to the project and has the capacity to complete its commitment. If the organization is pledging funds, as in a cost-share situation, then the amount of money or the value of resources contributed should be stated. As for program responsibilities, it is often sufficient to identify a broad area of responsibility ("perform statistical analysis" or "collect test data") and say that activities will be carried out as specified in the project description. Several factors can underscore the collaborator's capacity to perform successfully. Mention experience on similar projects and expertise, equipment, and other special resources. Be sure to mention if the partners have worked on prior projects together because it indicates that a productive relationship is already in place.

Authorization: Some sponsors accept emails, especially from consultants, but letters printed on letterhead are more formal and "official", and are oftentimes more substantial in content. Letters should be signed by the individual who bears responsibility for the fulfillment of the commitment (consultant, corporate authority, or provost, for example). When the [principal investigators are] participating on an initiative that requires collaboration across colleges, the deans may elect to write and endorse a single letter of commitment. Proposals involving collaboration with centers should be endorsed by the head of the center.

Motivation: An effective letter of commitment expresses excitement about participating in a worthwhile project. It goes beyond the tangible aspects of a proposed partnership to address the motivations that shape the collaboration. Endorsing the objectives of the project or citing a broader impact highlights what the collaborator sees as a likely outcome of the project. A collaborator that mentions, for example, creating a more specialized workforce, bringing needed services to the community, or helping to alleviate pollution, invokes a vision that reaches beyond the immediate project and links the proposal to the collaborator's own mission, goals, and objectives. This is a powerful way to show an intense commitment to the project.
Components of a Subrecipient Organization's Letter of Intent

- Project period (start and end dates of the subrecipient's project)
- Total amount of the subaward budget
- Project title of the subrecipient's proposed scope of work
- Signature of the subrecipient's authorized organizational representative (AOR) (institutional official or cognizant officer). A completed PHS398 face page signed by the subrecipient's institutional official is also acceptable.
- Contact information (full name, address, email address, phone number of)
  - AOR
  - Financial contact for subaward agreement
  - Administrative contact for subaward agreement
  - PI and co-PIs
Liberal Arts Grants Services Contact Information

Kathy Thatcher, M.Ed., CRA
Sr. Grants and Contracts Specialist
Pre-Award Application Processing - Faculty
Phone: 512-232-0760
thatcher@austin.utexas.edu

Jason Leubner, Ph.D.
Grants and Contracts Specialist
Pre-Award Application Processing – Graduate Students
Phone: 512-232-0716
jsn.leubner@austin.utexas.edu

Grants Services Web Site: http://www.utexas.edu/cola/research/grants-contracts/