

THE FLORIDA STATE UNIVERSITY
DIVISION OF SPONSORED RESEARCH

INSTRUCTIONS FOR COMPLETION OF
PROPOSAL TRANSMITTAL FORM
DSR Form 1 (02/24/15)

This form is not required if the proposal is entered into OMNI and approved by all parties through Proposal Approval Workflow. Otherwise, one copy of the proposal (including the original sponsor form for signature if applicable) must be submitted with this form to the address shown on the last page. If available, please submit an electronic version of the proposal to the appropriate SRA/FURSF Administrator so that it may be uploaded into OMNI. If an original signature is required on a sponsor form, please coordinate with the appropriate Administrator.

“SRA” means Sponsored Research Administration; “FSURF” means the FSU Research Foundation

The FSU Facts Sheet provides most of the relevant information needed when preparing a proposal. ([Facts Sheet](#)).

PLEASE COMPLETE EACH APPLICABLE ITEM EXCEPT SHADED AREAS

- 1) ADMINISTERING BUSINESS UNIT – Select which business unit will be responsible for approving the proposal and managing the project if awarded—FSU or the FSU Research Foundation.
- 2) SPONSOR DEADLINE –Enter relevant information about the sponsor’s proposal deadline. Please refer to FSU’s *Proposal Submission Policy and the Three Working Day Rule*. ([Proposal Submission Policy](#)). Indicate whether the proposal will be submitted in paper format or by electronic means.
- 3) SOLICITATION: Enter relevant information about the sponsor’s solicitation, such as the number, title or URL. If the solicitation is not on the internet, please provide a copy to SRA/FSURF with the proposal.
- 4) REQUESTED SUBMISSION DATE – Enter a date the PI/Department would like the proposal to be submitted if the sponsor has no set deadline date.
- 5) PROPOSAL CONTACT – If SRA/FSURF has questions about this proposal, whom should we contact? Complete the contact information.
- 6) PRINCIPAL INVESTIGATOR NAME: Enter the name of the Principal Investigator. Additional investigators will be entered on page 3.

PROPOSAL INFORMATION

- 7) SPONSOR NAME - Enter the name of the sponsoring agency from which funding is being requested.
- 8) FEDERAL FLOW-THRU FUNDING - If the Sponsor is not a Federal agency and it anticipates providing Federal funds if this proposal is awarded, enter name Federal agency where funds originated.
- 9) PROPOSAL TITLE - The title should be entered on the transmittal as it was proposed to the sponsor.
- 10) PROPOSAL TYPE - Enter the type of proposal being submitted under this Form. (See [Glossary](#) for definitions for [new] proposal, revised proposal, supplemental proposal, non-competing continuation proposal, and competitive renewal proposal.)
- 11) PROJECT DATES – Enter the start and end dates of the entire project period.
- 12) PROJECT LOCATION - Check if this project is *On-Campus (non-NHMFL)*, *Off-Campus (non-NHMFL)*, or conducted by faculty with offices or lab space at the National High Magnetic Field Laboratory, *NHMFL (On-Campus)* or *NHMFL (Off-Campus)*. If more than 50% of this project is to be conducted in FSU-owned facilities, F&A costs should be included in the proposal budget at the applicable *on-campus* rate. If more than 50% of the project is to be conducted in facilities not owned by FSU, F&A costs should be included in the proposal budget at the applicable *off-campus* rate. If off-campus, list performance site(s). Investigators that plan to conduct a project in facilities located in Innovation Park should contact Sponsored Research Services or the FSU Research Foundation for guidance on budgeting rental costs.
- 13) F&A % INFORMATION - Enter the F&A (indirect costs) percentage rate and base included in the budget. If the proposed F&A Rate is less than FSU’s Federally-negotiated rate, indicate whether the reduction was mandated by the sponsor or if FSU volunteered to lower the rate.
 - a. **MD** means Modified Total Direct Costs. See F&A Rate Agreement for costs to be excluded when using this base.
 - b. **TD** means Total Direct Costs. When this base is used, all direct costs except for tuition should be excluded. Please note that if a TD base is being used in a proposal for Federal funds, the amount of F&A recovered cannot exceed what would have been recovered if an MTDC base was used.
 - c. **N/A** means that no F&A will be recovered.
 - d. **SLFR** means that F&A will be recovered only on the Salary and Fringe charged to the project.
- 14) PROJECT PURPOSE - Specify the correct Proposal Purpose using the definitions below:
 - **Research** - An investigation or experimentation aimed at the discovery and interpretation of facts, revision of accepted theories in light of new facts, or the application of such new or revised theories. This includes activities involving the training of individuals in research techniques (commonly called research training) where such activities utilize the same facilities as other R&D activities and where such activities are not included in the instruction function.
 - **Instruction** – Teaching and training activities for an institution, except for research training, whether they are offered for credits toward a degree or on a non-credit basis.
 - **Other Sponsored Activities** - The performance of work other than research or instruction.

PROPOSED COSTS – Provide a detailed budget that includes all costs.

- 15) Total Requested from Sponsor – Enter the total amount being requested from the sponsor.
- 16) Total FSU Cost Sharing - Enter the total amount being committed by FSU Indicate whether cost sharing is voluntary or required by the sponsor. Attach a completed and signed Cost Sharing Commitment form.
- 17) Total Third-Party Match - Enter the total amount being committed by a third party. Attach written commitments from third parties, signed by their authorized representative.

MISCELLANEOUS INFORMATION

- 18) PROJECT DEPARTMENT – The project department is the department that will manage the grant if awarded. Enter the department name and OMNI Department ID.
- 19) REPORTING CREDIT AND INDIRECT COST DISTRIBUTION BY DEPARTMENT - Enter the department name, OMNI Department ID and percent of credit (in whole numbers) to be allocated for this proposal. This information will facilitate the distribution of SRAD funds and will be used for institutional reporting purposes. The credit assigned to departments can be based on any factor as long as all investigators, department chairs, and deans involved agree to the allocations. Total for all percentage fields must equal 100%.
- 20) NON-FACULTY SUPPORT - Identify the total number of Undergraduate Students, Graduate Students, Postdoctoral Associates, and Non-Students/ Non-Ranked Faculty to be supported by this grant (funds included in budget). Numbers should be based on Headcount, not FTE.

CERTIFICATIONS - Check any that apply to this project.

- 21) Vertebrate Animals – If animals are involved in the project, check Yes and enter Protocol Number. Submit completed Animal Subjects Use (ASU) Form with the proposal. The form and instructions are located at [Sponsored Research Administration Forms](http://www.research.fsu.edu/research-offices/sra/policies-procedures/compliance/). The link to Laboratory Animal Resources (LAR) office can be found at <http://www.research.fsu.edu/research-offices/sra/policies-procedures/compliance/>. **If the proposal is awarded, the Proposal Transmittal Form, the ASU Form, and copies of the proposal and award will be sent to LAR for review and approval. The project budget will not be set up until SRA/FSURF has received notice of approval from LAR.**
- 22) Human Subjects – If human subjects are involved in the project, check Yes. The Human Subjects website can be found at <http://www.research.fsu.edu/research-offices/sra/policies-procedures/compliance/>. If the proposal is awarded, the Proposal Transmittal Form and copies of the proposal and award will be sent to the Human Subjects Office for review and approval. **The project budget will not be set up until the Human Subjects Committee has approved the protocol associated with the project.**
- 23) [reserved]
- 24) DNA/RNA Use – If DNA/RNA use is involved in the project, check Yes. The office of Environmental Safety and Health (EHS) website at <http://www.safety.fsu.edu/> provides specific guidance. If the proposal is awarded, the Proposal Transmittal Form and copies of the proposal and award will be sent to the EHS Office for their information.
- 25) Radioactive Materials – If radioactive materials will be used in the project, check Yes. The office of Environmental Safety and Health website at <http://www.safety.fsu.edu/> provides specific guidance. If the proposal is awarded, the Proposal Transmittal Form and copies of the proposal and award will be sent to the EHS Office for their information.
- 26) Hazardous Chemicals – If hazardous chemicals will be used in the project, check Yes. The office of Environmental Safety and Health website at <http://www.safety.fsu.edu/> provides specific guidance. If the proposal is awarded, the Proposal Transmittal Form and copies of the proposal and award will be sent to the EHS Office for their information.
- 27) Select Agents– If select agents will be used in the project, check Yes. The office of Environmental Safety and Health website at <http://www.safety.fsu.edu/> provides specific guidance. If the proposal is awarded, the Proposal Transmittal Form and copies of the proposal and award will be sent to the EHS Office for their information.
- 28) Nanomaterials -- If nanomaterials will be used in the project, check Yes. The office of Environmental Safety and Health website at <http://www.safety.fsu.edu/> provides specific guidance. If the proposal is awarded, the Proposal Transmittal Form and copies of the proposal and award will be sent to the EHS Office for their information.
- 29) Marine Lab – If the project involves the use of the FSU Coastal and Marine Laboratory facilities or personnel, check Yes. When the proposal is approved, SRA/FSURF will send a copy of proposal and approved transmittal form to the Director of the FSUCML. The FSUCML website is <http://www.marinelab.fsu.edu/>.
- 30) Compressed Air Diving (ADP) - If the project involves compressed air diving, check Yes. When the proposal is approved, SRA/FSURF will send a copy of proposal and approved transmittal form to the Chair of the Dive Control Board and the ADP Coordinator. Information about the ADP may be found at <http://www.marinelab.fsu.edu/>.
- 31) Dual Compensation – If the project involves faculty dual compensation, check Yes. Information about faculty overload may be found in the Faculty Handbook at <http://facultyhandbook.fsu.edu/section4.html#s15> . If the proposal is awarded, the Proposal Transmittal Form and copies of the proposal and award will be sent to the Dean of Faculties Office for their information.
- 32) – 35) Workshops/Conferences – Enter information as applicable when conferences or workshops are being proposed. Consult the following website as needed: <http://learningforlife.fsu.edu/cpd/index.cfm>.
- 36) Subcontracts and/or consultants – Check Yes, if subcontracts and/or consultants are included in the proposal. Consult the Procurement of Services procedures and/or the Subrecipient Monitoring information at <http://www.research.fsu.edu/research-offices/sra/policies-procedures/subcontracting/> as needed.

- 37) Program Income - If income, other than payments from the sponsor, will be generated as a result of this project, check Yes. Consult the Program Income Policy and Program Income Procedures at <http://www.research.fsu.edu/media/1472/policy-7a-20.docx> as needed.
- 38) Continuation/Renewal - If this project is a continuation or renewal of a previous or current project, enter that Project ID.
- 39) Additional Resources - If additional resources such as animal or non-animal space, equipment, utility service, etc., are needed to conduct this project in addition to what is currently available to you or is budgeted for this in the proposal, check Yes and complete the information indicated and obtain the signature of the individual authorized to commit the requested resources.
- 40) NHMFL Facilities – If the project will include the use of facilities at the NHMFL, please check Yes and obtain appropriate NHMFL approvals.
- 41) **MATRICULATION and/or TUITION FEE WAIVERS:**

| | |
|-----------------|--|
| WAIVER 1 | <p>Check Waiver 1, if the following conditions apply:</p> <p>a) This Contract/Grant will pay the matriculation fee for graduate assistants <u>and</u> out-of-state tuition for engineering majors; OR</p> <p>b) No qualifying graduate students proposed. (NOTE: This account will be coded to the effect that matriculation fees/tuition waivers will be direct charged in the event qualifying graduate students are appointed at a later date.) ; OR</p> <p>c) Sponsor does not allow payment of graduate assistant salaries; therefore, there will be no matriculation fee liability.</p> |
| WAIVER 2 | <p>Check Waiver 2, if the following conditions apply:</p> <p>The College/School Waiver Allocation will cover all tuition of students paid or supported by this project.</p> |
| WAIVER 3 | <p>Check Waiver 3, if the following conditions apply:</p> <p>An alternate source will cover all tuition of students paid or supported by this project. The dept is responsible for processing departmental billings to pay tuition for all students paid from this project. If the dept does not process a departmental billing, the tuition will be charged automatically to the waiver allocation of the College/School associated with the student's major.</p> |
| WAIVER 4 | <p>Check Waiver 4, if the following conditions apply:</p> <p>This Contract/Grant will pay <u>only</u> the matriculation fee for graduate assistants, even if engineering majors are paid from this project.</p> |

- 42) **KEYWORDS** - At least one keyword is required for each proposal. The keywords will be used for reporting purposes. Eligible Proposal Keywords may be viewed at <http://www.research.fsu.edu/media/2304/keywords.xls>. To search this list, save the document to your desktop first, then search. Enter keywords in upper case and separate them by commas. If desired keyword is not on the list, you may enter suggested additions.
- 43) **CONFLICT OF INTEREST** The certifications in blocks 41 are required to be answered Yes or No, as applicable. References may be found in the Office of Research Financial Disclosure Policy [Significant Financial Interest Disclosure](#); and Faculty Handbook Outside Activity/Conflict of Interest Policy <http://facultyhandbook.fsu.edu/Section-4-Human-Resources-Department#DCOut>; and [Florida Statutes Chapter 112, Code of Ethics for Public Officers and Employees](#).
- If the answer regarding Conflict of Interest in block 41 is yes, indicate whether or not the interest has been disclosed to the appropriate Dean or Vice President according to the regulations identified above.
- 44) **SIGNIFICANT FINANCIAL INTEREST DISCLOSURES** - The question in block 44 is required to be answered Yes or No, as applicable.
- 45) **INVESTIGATOR APPROVALS** - Enter the name of each investigator involved in the project and his/her Employee ID. Designate a reporting credit for each investigator. **This credit data is collected for department use.** Allocate credit using **whole** numbers only. **Each investigator must receive a minimum of 1% credit.** Sum of all allocations must equal 100%. The Proposal Transmittal Form Continuation Page may be used if there are not enough spaces for all investigators to be listed. Prior to submission of the form and proposal to Sponsored Research Services, obtain signatures of each investigator. The Proposal Transmittal Form Continuation Page may be used if there are not enough spaces for all approval signatures.
- 46) **Effort Commitments** – Check the appropriate box if the proposal *does* or *does not* contain effort commitments by key personnel, whether sponsor-paid or cost shared. See the **Effort Commitment Policy** at [Effort Commitment](#).
- 47) **CHAIR AND DEAN APPROVALS** – Obtain the signatures of the Chairs and Deans associated with the investigators listed in block 43. If the proposal involves more than one department, the signatures of all department chairs, directors and/or deans must be obtained. The Proposal Transmittal Form Continuation Page may be used if there are not enough spaces for all approval signatures.
- 48) **ADDITIONAL NAMED FACULTY APPROVALS:** If this proposal names individual FSU faculty who will contribute to this project but are not identified as the PI or a Co-PI, list those individuals here and obtain their signature along with the signatures of their chair and dean. These faculty members will not receive any reporting credit for this proj OMNI PROPOSAL RESOURCES AND POST-AWARD PROJECT TEAM – Enter names and EMPLID's of users who will either need access to the Proposal in OMNI, or will be part of the post-award project team.
- 49) **SBIR/STTR ATTRIBUTE:** Indicate whether this proposal is being submitted under one of the following programs:
- a. Small Business Innovative Research I Program
 - b. Small Business Innovative Research II Program
 - c. Small Business Technology Transfer I Program
 - d. Small Business Technology Transfer II Program
- 50) **OMNI PROPOSAL RESOURCES AND POST-AWARD PROJECT TEAM** – Enter names and EMPLID's of users who will either need access to the Proposal in OMNI, or will be part of the post-award project team.
- 51) **POST-AWARD NOTIFICATIONS** – Identify users to be notified (by Sponsored Research Accounting Services) when the project is set up or modified, in addition to the PI and Contact shown on page one. Also identify users to be included on report due-date reminder emails (milestone notifications), in addition to the PI shown on page one.

If there are any questions concerning the completion of this form, please call Sponsored Research Administration at [644-5260](tel:644-5260), the FSU Research Foundation at [644-8650](tel:644-8650), or email SRA-Pre@fsu.edu. Send the completed form to the following address:

Sponsored Research Administration or
874 Traditions Way; Third Floor
Tallahassee, FL 32306-4166
Mail Code 4166

FSU Research Foundation
2000 Levy Ave., Suite 351
P.O. Box 3062744
Tallahassee, FL 32310

Some important checks in the review process are:

- Compliance with University, State and sponsoring agency regulations,
- Proper budget, and
- Appropriate approvals for use of FSU resources.

When processing is complete, a copy of the proposal transmittal form and sponsor signature page (if any) which bears the approval signature on behalf of the Vice President for Research will be returned to the PI or the Department Rep listed on the form.