

ATTACHMENT C Transmittal Form Guidelines

General Instructions: The [Transmittal Form](#), along with a copy of the proposal with detailed budget and other requested documentation, must be completed and fully approved before any proposal to an external funding source may be sent off campus ([Reg. 2-8](#)).

The Project Director is responsible for securing signatures of the Department Head and/or Dean where required and, where noted, those of an Assistant Vice President in the responsible area. When completed and signatures are obtained, submit the Transmittal Form to the Director of Grants & Sponsored Projects, who will secure the signatures of the appropriate President, Vice President, or Associate Vice President.

Submit the Transmittal Form and related materials to Grants & Sponsored Projects at least five (5) business days before the proposal deadline. The schedules of the President, Vice President and Provost, and Associate Vice Presidents often take them away from campus. They may not be readily available to provide signatures at the last minute, and they will not sign the Transmittal Form without reviewing the proposal and budget.

Project Director or Principal Investigator Information:

- Include contact information for primary director and co-director(s), including those at other institutions

Project, Sponsoring Agency Information:

- The sponsoring agency is the granting organization making the award
- If WSU will not be the fiscal agent and is not the lead institution submitting the proposal, provide information for the main contact at the organization (the lead institution is the one that directly receives funds and makes sub-awards or sub-grants to other institutions, such as WSU)

Budget Summary:

- Complete each line; enter N/A if an item is unallowable; enter zero if an item does not apply
- Provide budget numbers for Year 1 and Project Total cost over the project life
- Direct costs require initials from the Department Chair or Dean, or from the individual responsible for the budget from which funds are committed
- F&A (indirect) costs require initials of Grants & Sponsored Projects and the Dean if below WSU's federally negotiated rate
- Figures in the WSU support (WSU in-kind, WSU hard match) require initials of the individual responsible for the institutional commitment
- Include the most recent copy of the detailed budget that will be submitted with the grant proposal
- At the discretion of the appropriate signatory, approvals may be based on best estimates or cost ranges in the proposal development process; if budget figures in the final proposal vary by more than 5%, re-approvals from the signatory will be required before submission of the proposal

Budget Definitions:

- Direct costs are the total amount of cash support requested from the sponsor or committed by WSU
- Facilities & Administrative (indirect) costs cover intangible expenses associated with administering a project (heat, water, paperwork processing, etc.).
- [WSU's F&A rate](#), negotiated with the U.S. Department of Health and Human Services, is 39.95% of direct salaries and wages including all fringe benefits.
- Some sponsors may establish a different rate or may not allow F&A. If a sponsor specifies a different rate or does not allow F&A, provide documentation indicating this.
- In-kind match is non-cash expenses, such as donated materials, property, facilities, services, and staff and volunteer time. Sponsors do not make in-kind contributions. These may come from WSU or other partner agencies.
- WSU hard cash match is an actual cash match from general operating monies
- Other source monies may be used to match or exceed the grant's matching stipulation, or to contribute to project costs

Compliance:

- A response to the [conflict of interest statement](#) is required. If the sponsor is NSF or PHS, a [Disclosure Statement Regarding Conflicts of Financial Interests](#) must be filed with the Transmittal Form, even if no conflict exists.
- IRB approval is required for any research involving human subjects; provide the IRB protocol number.
- IACUC approval is required for any research involving animal subjects; provide the IACUC protocol number.

Other Considerations:

- Release, reassignment, overload compensation must be based on current salary and fringe figures per project participants' bargaining unit contracts.
- Even when release time costs are covered by the sponsor, arrangements require consultation and approval by the Department Head and Dean regarding staffing and scheduling.
- Facilities & Administrative (indirect) costs must be calculated at WSU's federally negotiated rate.
- If the institution will incur costs beyond the end of the project (e.g., phasing in of a position, ongoing costs of a program), provide documentation and approval of how costs will be covered.
- Should the project require additional space or facilities, or renovation or modification of space, provide a detailed plan developed in consultation and with approval of the Assistant Vice President, Facilities & Finance.
- Projects involving biohazards, radioisotopes, or other hazardous materials must include a plan for handling and/or disposal that meets appropriate government, state, and local regulations.
- Projects including proprietary or classified information should be developed in consultation with WSU Legal Affairs to insure that it meets MnSCU and institutional regulations.
- Projects that limit dissemination of findings should be developed in consultation with Legal Affairs to insure that MnSCU and institutional regulations are met. Approval by the Dean and Vice President for Academic Affairs is required

Proposal Approval:

- Project Director secures approvals of Department Head and/or Dean
- Director, Grants & Sponsored Projects, secures approval of the appropriate President, Provost, Vice President or Associate Vice President

Other notes:

- See the [Grants & Sponsored Projects FAQ](#) for typical institutional information required for grant proposals
- For on-campus projects, [WSU's negotiated F&A \(indirect\) rate](#) is 39.95% of direct salaries and wages including all fringe benefits, effective July 1, 2016
- For off-campus projects (activities performed in facilities not owned by WSU and to which rent is directly allocated to the project), the negotiated F&A (indirect) rate is 18.43% of direct salaries and wages including all fringe benefits, effective July 1, 2016
- F&A costs received from external sponsors are distributed as follows:
 - Department of proposal author 15%
 - College of proposal author 10%
 - Krueger Library 15%
 - Administrative Affairs (Business Office) 25%
 - Grants & Sponsored Projects 35%