

**ATTACHMENT C**  
**TRANSMITTAL FORM INSTRUCTIONS**

**General Instructions:** This form, included with the original copy of the proposal, shall be signed by the Project Director, the Department as indicated by the Chairperson's signature (if required) and the Dean (if required), and submitted to the Director of Grants & Sponsored Projects, who shall secure the approval of the appropriate President, Provost, Vice President or Associate Vice President on the Form, and the signature of an "authorized official" on the original proposal. Note these individuals' schedules often take them away from campus. They may not be readily available to provide signatures. As a precaution, make every effort to submit your proposal to the Office of Grants & Sponsored Projects (G&SP) at least one week before the proposal deadline.

**Applicant:** Self-explanatory

**Project:** Self-explanatory.

**Duration:** The dates during which expenditures will be made, not just the dates of the actual activities.

**Fiscal Agent:** If WSU will not be the fiscal agent and is not the lead institution submitting the application, identify the organization that is the lead institution and will be submitting the application. The submitting organization is the one that receives the funds directly and then makes sub-awards or sub-grants to other institutions such as WSU. Include a contact name and contact information.

**Sponsor:** The sponsor is the granting agency. A response to the question concerning possible financial conflicts of interest is required. If the sponsor is the National Science Foundation or the Public Health Service, a Disclosure Statement Regarding Conflicts of Financial Interests must also be filed with the Transmittal Form. The Disclosure form is required even if no financial conflict exists. Regulation 3-28, WSU Conflicts of Significant Financial Interests Policy as Related to Grants and Sponsored Research Projects, and the Disclosure Statement form are online at <http://www.winona.edu/grants/coireg.htm>.

**Deadline:** Self-explanatory.

**Budget:** Complete each line. Enter NA if an item is unallowable. Enter zero if an item doesn't apply. If additional space is required, attach a separate sheet.

Figures entered in the WSU support column require the signatures of the individuals making the institutional commitment. Release time, whether paid through the grant or through Winona State require the Chair and Dean's signature. It is the responsibility of the Project Director to secure the appropriate signatures for cash commitments, in-kind commitments and release time. At the discretion of the appropriate signatory, approvals may be based on best estimates or cost ranges early in the proposal development process. However, if the budget figures in the final proposal vary by more than 5%, re-approvals from the signatory will be required before submission of the proposal to the G&SP Office.

- Direct costs: The total amount of cash support requested from the sponsor or committed by WSU. The WSU column has separate lines to enter amounts committed by specific units of the organization. For example, the English Department and the Residential College may both contribute to a single project. The amount each unit is contributing is entered separately. The

signature of the person responsible for the budget from which the funds are committed should appear on the adjacent "Approved by" line.

- **In-kind**: In-kind expenses are non-cash expenses, such as donated materials, property, facilities, services, and staff and volunteer time. Identify any individuals providing in-kind figures used in the proposal. Sponsors do not make in-kind contributions. These may come from WSU or other partner agencies. The Director of Grants & Sponsored Projects (ext. 5519) can assist in calculating in-kind figures.
- **Release Time**: The amount of release time (salaries, wages and fringe benefits) should be projected based on current patrol figures. Even when release time costs are paid by the sponsor, release time arrangements require consultation with the Department Head and Dean regarding department staffing and course scheduling. The Grants & Sponsored Projects Office can assist in calculating these figures.
- **F&A (Facilities and Administrative) costs**, formerly called indirect costs, cover intangible expenses associated with administering a project (heat, water, business forms, paperwork processing, etc.). WSU's rate, negotiated with the U.S. Department of Health and Human Services (as of 4-20-09), is 44% of salaries, wages and fringe benefits. Some sponsors may establish a different rate (e.g. 8% of total project costs) or may not allow for F&A costs. Sponsors should be contacted to determine what rate is acceptable. In cases where the sponsor does not have an established rate, WSU policy is to use either the federal negotiated rate or 8% of the total direct costs, whichever is the greater amount.

F&A costs received from external sponsors are distributed at WSU according to the following formula:

Department of the proposal author	15%
College of the proposal author	10%
Library	15%
G&SP Office	35%
Administrative Affairs	25%

**Total**: Total both columns.

**Grant Total**: The grand total is the sum of the totals from both columns.

**Are funds committed beyond the grant period?** Post award commitments should be explained on an attached sheet indicating the nature of those commitments and proposed sources of internal and/or external support.

**Research**: Applicants must adhere to governmental guidelines involving certain types of research.

WSU Institutional Review Board (IRB) approval is required for any research involving human subjects. Forms are available from the Office of Grants & Sponsored Projects (ext. 5519) or via <http://www.winona.edu/grants/forms.htm>. Submit requests to the G&SP Office via IRBNet at <http://www.irbnet.org>.

WSU Institutional Animal Care and Use Committee (IACUC) approval is required for any research involving animal subjects. Forms are available from the Office of Grants & Sponsored Projects (ext. 5519) or via <http://www.winona.edu/grants/forms.htm>. Submit requests to the G&SP Office via IRBNet at <http://www.irbnet.org>.

Other projects involving such items as radioisotopes or bio- or chemical hazards must meet other government regulations. Contact the Office of Grants & Sponsored Projects (ext. 5519) for more information.

**Proposal Approval:** The Director of Grants & Sponsored Projects will secure the signatures of the appropriate President, Provost, Vice President or Associate Vice President on the Transmittal Form and the signature of an "authorized official" on the proposal.

07/13