

INSTRUCTIONS FOR COMPLETING THE TRANSMITTAL FORM FOR EXTERNALLY FUNDED PROPOSALS

All UND applications for external funding must be officially approved prior to leaving the University.

The purpose of this transmittal form is to:

- 1) Allow Research Development & Compliance (RD&C) to obtain necessary information to maintain its statistical databases;
- 2) Ensure that the proposal, if funded, will be in compliance with relevant federal and state regulations and University policy (contact RD&C at 7-2890 for further information); and
- 3) Inform administrative officials, including department chairs and deans, of university commitments associated with the proposal which may require their action.

This transmittal form should be used for all externally funded proposals. Specific instructions for filling out this form are included below.

The complete proposal packet should be submitted to UND Grants & Contracts Administration Office at least five business days prior to the agency mandated proposal deadline. RD&C will attempt to accommodate proposals submitted with less lead time. A complete proposal packet should contain the following:

- ✓ *Completed and signed Proposal Transmittal Form*
- ✓ *One original and one copy of the finalized proposal that will be submitted to the agency. The proposal should include, at a minimum: scope of work, budget, budget justification, any agency required forms, any agency required certs and reps, any Grants.Gov forms, etc.*
- ✓ *Copy of the agency's Request for Proposal (RFP). If possible, please email an electronic copy or link of the RFP to the respective Grants & Contracts Officer (GCO) in the UND Grants & Contracts Administration Office (prior to the proposal being sent to RD&C). Listing of GCO's can be found on the Grants & Contracts Administration website.*
- ✓ *Include any additional information applicable to the "Yes" and "No" questions on the transmittal form.*

SPECIFIC INSTRUCTIONS

SECTION A: SUBMISSION INFORMATION

1. **Phone # to call for pickup:** Phone number of the person that should be called once all of the signatures have been obtained and the proposal is ready to be submitted.
2. **Competitive:** If the proposal is going to an agency in which you will be competing against other entities for the funding, check "Yes". If you are not competing against other entities for the funding, check "No".
3. **Project #:** For new proposals, leave blank. If proposal is a renewal of a current award, enter the current project number.
4. **Electronic Submission:** Check "Yes" if the application requires electronic submission by the RDC office. Example: Grants.gov, Fastlane, etc. In the instance RD&C needs to submit electronically, an electronic copy of the proposal will need to be email to barry.milavetz@email.und.edu AND rdc@research.und.edu. Check "No" if RD&C does not submit the proposal.

5. **Due Date:** Indicate the date and time of the agency mandated proposal deadline. The Research Division will make every effort to complete its review of the proposal but asks for a minimum of **five business** days to ensure meeting a deadline.
6. **Type of proposal:** Select the appropriate proposal type.
 - **Pre-proposal** – A pre-proposal or letter of intent may be solicited by a funding agency, prior to a full proposal being submitted. Pre-proposal submissions should provide a brief overview of the project concept, justification, and budget. Please include the following statement in all pre-proposals: “This pre-proposal does not obligate the University of North Dakota to this project. Upon request of the sponsor, a formal and properly authorized proposal may be submitted.”
 - **New Proposal**– New proposal, never been submitted.
 - **Renewal** - A competitive renewal is a proposal for a new competitive cycle of at least one year. A non-competitive renewal is a proposal for a subsequent year’s funding within the same competitive cycle.
 - **Revision** – Request being made to the agency for a change in the scope of work, budget or time frame.
 - **Supplemental** –Request for additional funding on an existing award/project.
 - **Progress Report**-Progress report being submitted to receive the next year of funding.

SECTION B: PROPOSAL DATA

7. PI, Co-PI information:

- For proposals that include multiple UND academic units/departments, a completed transmittal form from each of the academic units/departments named in the proposal will be required to be submitted to RD&C with the proposal.

When a proposal includes multiple UND academic units/departments, the departments are encouraged to enter into an Indirect Cost Memorandum of Understanding (MoU) prior to the proposal being sent to an agency. The MoU will outline how the F&A/indirect cost rebate will be distributed between the academic units/departments if the proposal is funded. This MoU must be signed by all department chairs and deans of those departments/academic units named in the proposal and attached to the transmittal form. The MoU template can be found on the RD&C website.

8. **Project Title and Dates:** Fill in the Project title and proposed start/end dates. A title longer than 30 characters will be shortened in order to accommodate the 30 character limit in PeopleSoft.
9. **Effort** – According to the Effort Policy, the Principal Investigator and Co-Principal Investigator if applicable is/are required to have a minimum of 5% effort to manage and administer a project. If a PI/Co-PI anticipates that their involvement in the project will be less than 5%, approval will need to be obtained from RD&C prior to the proposal being sent to the agency. This written approval should be included in the proposal packet (email is acceptable). Email requests should be sent to barry.milavetz@email.und.edu AND rdc@research.und.edu.
Key Personnel need to identify the percentage of effort towards the project.
The effort policy can be found on the Research Division page under Resources section titled Policies and Procedures.
 - If there is more than one UND Co-PI listed in the proposal, please change a Key Personnel line on the transmittal form to include these additional Co-PIs by changing the words “Key Personnel” with the “Co-PI”.

- The Calculated Total % column will automatically sum the % of Effort Paid by Agency and the % of Effort Paid by Dept. for each UND Personnel listed. Each Calculated Total % should be a reflection of the amount of effort each UND Personnel will put towards the project if awarded.
- The % of Effort Paid by Agency should equal the salary of each UND Personnel proposed to be paid by the project if awarded.
- The UND % should equate to the %/dollar amount that the Department will pay with local or appropriated funding to the UND Personnel listed for their work related to the project as outlined in the proposal. This UND % would be considered mandatory cost share/match and is required to be tracked by UND.
- If known, list the Local/Appropriated Funding Source currently paying salary from which the person(s) listed would be paid from during the award period. Identify in the box the UND funding source that is anticipated to be used for the mandatory cost share/match in the effort reporting system. Example: 22880-1060 (fund number-department number)

10. University Commitments:

- Indicate whether the proposal contains university commitments – check those that apply.
 - Faculty Release Time Beyond Current Allocation – review the contracts of faculty to be certain their release time doesn't exceed their contract's time allocation.
 - Graduate Tuition Waivers – check this box if the department will be funding a graduate tuition waiver with departmental funds or it is proposed that the agency pays the graduate tuition waiver.
 - Office/Lab Space beyond Current Allocation – if the proposal requires more space than provided to the PI for their scope of work, this needs to be worked out prior to the proposal being submitted.
 - Department funds used as matching – Identify if the department will be allocating funding to the proposal to be used as matching.

11. Additional Information:

Review additional information. Complete all questions and fill in the blank, if necessary.

- Check "Yes" if the proposal contains a subaward. If the entity that is to receive the subaward is named in the proposal, the external subaward entity named is required to submit to the UND PI: a Scope of Work, Budget, Budget Justification, any agency required certifications, a copy of their current Indirect cost rate schedule (F&A) and letter of support signed by the authorized signature authority at their agency. The packet of information from the agency/agencies must be included with the proposal.
- Check "Yes" if your proposal involves any new building construction, major renovations or major building additions. If "Yes", obtain a signature from the Associate Director of Capital Projects or Director of Facilities in Section F of the transmittal form. SBHE approval is required. Please work with Facilities to obtain this approval prior to the proposal being sent to the agency. The SBHE Policy can be found on the NDUS website under SBHE Policies Section 902.1 Construction Process-Legislative Approval; List of Funding Request.
- Check "Yes" if you are proposing to create a new course/curriculum for credit. Approval from the ND State Board of Higher Education (SBHE) must be obtained when creating a new UND course/curriculum for credit. Please work with the Vice President for Academic Affairs office to obtain this approval, prior to the proposal being sent to the agency. You will be required to obtain a signature from the VPAA in this instance, in Section F "Other" of the transmittal form.
- Check "Yes" if you anticipate the award will generate program income from directly supported grant activity or will be earned only as a result of the grant agreement during the grant period.

Ex., conference/workshop registration fees, sale of brochures or CDs generated by the award, or sale of an item fabricated under the grant agreement.

- Check “Yes” if a department is involved in the proposal that is other than the PI’s department. For proposals that include multiple UND academic units/departments, a completed transmittal form from each of the academic units/departments named in the proposal will be required to be submitted to RD&C with the proposal.
 - When a proposal includes multiple UND academic units/departments, the departments are encouraged to enter into an Indirect Cost Memorandum of Understanding (MoU) prior to the proposal being sent to an agency. The MoU will outline how the F&A/indirect cost rebate will be distributed between the academic units/departments if the proposal is funded. This MoU must be signed by all department chairs and deans of those departments/academic units named in the proposal and attached to the transmittal form. The MoU template can be found on the Division of Research website under Research Forms (Grants & Contracts Administration).

SECTION C: SPONSOR/PROGRAM DATA

12. Agency Type: The Agency is the entity that is paying UND for completing the Scope of Work if awarded. Choose from the drop down box the appropriate Agency Type.

Flow-Through Type: Sometimes the agency identified above receives funding from another agency. Often times it is a Federal agency flowing the money down to another agency. Choose the appropriate type of Flow-Through Type.

Types

- Federal
- State
- Foundation
- Voluntary Health – Ex., American Heart Association, American Medical Association
- International
- Non-Profit
- Other Governmental
- Pharmaceutical
- Private for Profit

13. Function:

- Research Basic - undertaken primarily to acquire new knowledge without any particular application or use in mind.
- Research Applied - conducted to gain the knowledge or understanding to meet a specific, recognized need.
- Research Development - systematic use of the knowledge or understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.
- EPSCoR
- Instruction
- Public Service
- Physical Plant
- Student Services
- Construction/Unexpended Plant
- Scholarships

The definitions for each of these listed can be found on the NDUS Accounting Manual. [Click here for the 2012 version.](#) See pages 8-11. The definitions above define the different types of research.

- 14. Agency Name:** Enter awarding agency name. The Agency is the entity that is paying UND for completing the Scope of Work if awarded.
- 15. Flow-Through Name:** If applicable, enter the name of the flow-through agency. Sometimes the agency identified above receives funding from another agency, which is called the flow-through agency.
- 16.** Indicate if there is an agency limit on the number of proposals that can be submitted by UND.

SECTION D: BUDGET DATA

- 17. Agency Mandate Cost Share/Match:** Indicate if the agency requires mandatory cost share/match for this proposal. If mandatory cost share is required by the agency, indicate where in the RFP this requirement is stated.
- 18. UND F&A Rate:** Enter the current UND approved Indirect cost rate (F&A) according to the function listed above. The most current indirect cost rate can be found on the Research Development & Compliance/Grants & Contracts website.
- **Agency Restricted F&A Rate:** If the agency doesn't allow UND to use the approved F&A rate, please list the percentage that is allowable per the agency's restriction and provide documentation of the restriction. This can often be found in the Request for Proposal. An email from the agency stating the restriction is also acceptable.
- 19. Requested UND Waive F&A:** Indicate if a full or a partial F&A waiver was requested from the VPFO Office. If approval has been obtained, please attach a copy of written approval (email is acceptable) from the VPFO Office.
- 20. Budget table:**
- Enter the total direct costs. Direct costs are all expenditures in the budget except the indirect costs.
 - Enter calculated indirect costs. Indirect costs are the modified direct costs multiplied by the indirect cost rate. Modified direct costs are all direct costs minus major equipment, capital expenditures, charges for patient care, student tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as each subgrant/subcontract in excess of \$25,000.
 - The "total" is a calculation that adds the direct and indirect costs.
 - Enter the dollar amount of the Total plus any Cost Share in the Total + Cost Share box.
- 21. Capital Equipment/Equipment Fabrication:** Indicate if equipment is budgeted. Be sure the equipment is justified in the budget detail. Capital Equipment/Equipment Fabrication is an items which individually have a greater than \$5,000 unit value (including freight and installation costs), a useful life of one year or more, and are to be capitalized on the UND equipment records or to be used for expenses incurred to construct an equipment item that will be added to the UND equipment records.

SECTION E: COMPLIANCE DATA

- 22. Animals:** Indicate if live vertebrate animals will be used in this proposal. If yes, approval will be needed from the Institutional Animal Care & Use Committee prior to award.
- 23. Human Subjects:** Indicate if human subjects are anticipated for this proposal. If yes, approval will be needed from the Institutional Review Board prior to award.
- 24. Biohazard or Recombinant DNA:** Indicate if biohazard recombinant DNA is anticipated for this proposal. If yes, approval will be needed from the Institutional Biosafety Committee prior to award.

25. Radioactive Materials: Indicate if radioactive materials are needed for this proposal. If yes, approval will be needed from the Radiation Safety & Hazardous Materials Committee prior to award.

26. Controlled Substances: Indicate if controlled substances are needed for this proposal. If yes, contact the Research Development & Compliance Office to determine if a DEA license is required.

27. Select Agents BSL Level 3: Indicate if select agents with a BSL Level 3 are needed for this proposal. If yes, contact the Research Development & Compliance Office to determine if additional approvals are necessary.

28. Other Compliance Topics: Complete all questions with “Yes” or “No”. Fill in the blank boxes if applicable.

- Foreign nationals are persons who are not: U.S. citizens; aliens who are “Lawful Permanent Residents” (Green Card), [8 USC § 1101(a)(20)]; or other “Protected Individuals” under the Immigration and Naturalization Act [8 USC §1324b(a)(3)] designated an asylee, refugee, or a temporary resident under amnesty provisions. This question is to help UND identify any foreign nationals in the instance there are ITAR or EAR regulations related to the proposal or award.
- Publication restrictions - If UND can agree to the publication restriction, these restrictions needs to be identified as early as possible.
- International travel – ITAR or EAR regulations related to the proposal could restrict international travel and or the items brought to an international country. The Fly America Act needs to be followed for all grant funding. The Fly America Act policy can be found on the Grants & Contracts website.
- New intellectual property – Any new intellectual property will be brought to the attention of the office of Intellectual Property Commercialization & Economic Development.
- Existing intellectual property – Any existing intellectual property utilized in a proposal will be brought to the attention of the office of Intellectual Property Commercialization & Economic Development.
- Any intellectual property used but not owned by UND will be brought to the attention of the office of Intellectual Property Commercialization & Economic Development.
- Proprietary information, confidentiality agreements and material transfer agreements will be brought to the attention of the office of Intellectual Property Commercialization & Economic Development. Intellectual Property Commercialization & Economic Development should be contacted to assist with the creation of these agreements.
- Conflict of Interest Disclosure forms need to be submitted to RD&C within the past 12 months of the proposal being submitted for the PI, Co-PI and any Key Personnel. These forms can be found on the RD&C website. **If these forms have not been submitted to RD&C prior to the proposal transmittal form being completed, the Authorized Signature Authority will not approve the proposal to be sent to the agency.**
- All research proposals sent to PHS or a flow-through of PHS requires that the PI and Co-PI if applicable complete the Conflict of Interest Training form. This certifies that Conflict of Interest Training has been completed for themselves as well as any Key Personnel listed on the proposal. The form can be found on the Grants & Contracts website under Forms.

SECTION F: APPROVALS

29. The proposal transmittal form and certification should be reviewed prior to anyone signing for the university.

- Required signatures :
 - UND Principal Investigator
 - UND Co-Principal Investigator(s) (if applicable)
 - Chair of the PI's department or subunit head
 - Department/academic unit business/finance manager of PI's department (if applicable)
 - Dean or department/academic unit head of PI's department
 - Other signatures that may be required by PI's department/academic unit (ex. Associate Dean)
 - Grants & Contracts Administration
 - Research Development & Compliance
- Signatures required as applicable:
 - Associate Director of Capital Projects or Director of Facilities, if proposal includes new building construction, major renovations or building additions. If needed, please route to Campus Capital Projects & Planning at Stop 7107.
 - VPAA, if a new course is proposed. The VPAA can assist with received SBHE approval.

SECTION G: CONFLICT OF INTEREST TRAINING (separate Excel spreadsheet)

Section G of the Proposal Transmittal form only needs to be completed and signed for those proposals being submitted to **Public Health Services (PHS) or PHS Flow-Through Agencies for research only.** Obtain the appropriate signatures. If a Conflict of Interest Training has not been completed within the past 4 years of the proposal, contact RD&C immediately. The PI and Co-PI if applicable certify that any Key Personnel listed on the proposal has also completed the Conflict of Interest Training.

List of Public Health Service Agencies:

- Agency for Healthcare Research and Quality (AHRQ)
- Agency for Toxic Substances and Disease Registry (ATSDR)
- Centers for Disease Control and Prevention (CDC)
- Food & Drug Administration (FDA)
- Health Resources and Services Administration (HRSA)
- Indian Health Service (IHS)
- National Institutes of Health (NIH)
- Substance Abuse and Mental Health Services Administration (SAMHSA)