

INSTRUCTIONS FOR COMPLETION OF PROPOSAL TRANSMITTAL FORM (PTF)

- 1) PI, Co-PI/Co-I, or Additional Named Faculty Change for Current Project: Check this box if the Principal Investigator, Co-Principal Investigator/Co-Investigator, or Additional Named Faculty is changing on a current project. Please provide the project number and confirm the *Indirect Cost Distribution and Reporting Credit by Department*. In the *Internal Approvals* section, indicate the personnel to be added; note any changes to investigator credit; list PI, Chair, and Dean for signature approval; and use the Remove role to indicate the person to be removed from the project. List removals last to avoid routing errors. The email may be left blank. Other sections need not be filled in unless desired by the department.
- 2) ADMINISTERING RESEARCH OFFICE: Select which research office will be responsible for reviewing and approving the proposal and managing the project if awarded. Select FSU Sponsored Research (SRA) if public funding is involved, such as federal or state agencies and public universities; select FSU Research Foundation (FSURF) for private and foreign funding sources. Refer to [Policy 7A-17 Placement of Funds](#).

A. DEADLINE INFORMATION

- 3) SPONSOR DEADLINE: Indicate if there is a sponsor deadline. Enter the sponsor's proposal due date deadline for FSU. If there is no sponsor deadline, and/or the principal investigator (PI) would like an earlier submission date, enter the requested submission date. Complete proposal documents must be submitted to SRA/FSURF by 9 a.m. three working days in advance of the deadline. Proposals are submitted to sponsors by research offices during regular business hours. Refer to [Policy 7A-19 Proposal Submission](#).

Indicate whether the proposal will be submitted electronically (through an on-line submission system or by email), or whether a paper copy must be submitted. If a paper copy must be mailed to the sponsor, indicate if the deadline will be met by the date of the postmark or physical receipt of the proposal. If original signatures are required, a copy may be picked up from the SRA/FSURF office by the department, who is responsible for mailing the proposal.

B. PROPOSAL INFORMATION

- 4) PRINCIPAL INVESTIGATOR: Enter the name of the Principal Investigator (PI). If there is more than one PI, please identify the PI who will be the main point of contact internally. Co-PIs and other faculty named in the proposal will be identified in the *Internal Approvals* section on page 3. For guidance on who can be PI, refer to [Policy 7A-14 Investigator Eligibility](#).
- 5) PROPOSAL CONTACT: Enter the name of the person to be contacted if SRA/FSURF has questions about the proposal if this person is different from the PI. It may be left blank otherwise.
- 6) DIRECT SPONSOR: Enter the name of the sponsoring entity from which FSU will receive funding if awarded.
- 7) If flow-through, identify Prime Sponsor: If the award will contain funds "flowed down" from another entity, enter the name of the agency where funds originated (the prime). If unsure, check with the direct sponsor.
- 8) SOLICITATION # & URL: Enter the number (or title if no number is provided) and URL to the funding opportunity. If the solicitation is not on the internet, please provide a copy to SRA/FSURF with the proposal. If there is no solicitation, enter n/a.
- 9) PROPOSAL TITLE: The title should be the same as the title proposed to the sponsor and will be the project title in OMNI if the proposal is awarded.
- 10) PROPOSAL TYPE: Enter the type of proposal being submitted.
 - New: An application that has not been submitted before, and will have a new project number if awarded.
 - Renewal: A competitively reviewed proposal requesting additional funds extending the scope of work beyond the current project period. Enter the current project's OMNI ID number.

- Supplemental: A request to the sponsor for additional funds and/or time for an ongoing project during the previously approved performance period. A supplemental proposal may result from increased costs, modifications in design, or a desire to add a closely related component to the ongoing project.
- Revision: AKA resubmission. A modified and resubmitted proposal as requested by the sponsor that was previously not funded either because it was denied by the sponsor or withdrawn by the PI.
- Continuation: A non-competitive application for an additional budget period within a previously approved project period. Enter the current project's OMNI ID number.
- Optional identifiers: Select if the proposal is a pre-proposal or fellowship to assist reviewers.

11) **PROJECT DATES:** Enter the start and end dates of the period of performance.

12) **PROJECT LOCATION:** Select whether this project will be performed on campus or off campus. Investigators who plan to conduct a project in non-FSU-owned facilities located in Innovation Park should contact SRA or FSURF for guidance on budgeting rental costs.

- On-campus (non-NHMFL): Select if more than 50% of the effort of FSU's personnel is to be conducted in FSU-owned facilities.
- On-campus (NHMFL): Select if more than 50% of project work will be performed at the National High Magnetic Field Laboratory.
- Off-campus: Select if more than 50% of the effort of FSU's personnel is to be conducted in facilities not owned by FSU and to which rent is directly allocated to the project. The work of subrecipients does not count as off-campus effort.
- Off-campus performance site: If the project is not conducted on campus, state the location where work will be performed.

NHMFL facilities: If the project will include the use of facilities at the National High Magnetic Field Laboratory, please select Yes and obtain appropriate NHMFL approvals on Page 4. *Indirect Cost Distribution and Reporting Credit by Department* as well as PI and Co-PI Credit in the *Internal Approvals* section will likely need to incorporate the Mag Lab. If a PI or Co-PI is primarily (50% or more) performing work at the Mag Lab on the project, the Mag Lab indirect cost rate will be used. If a PI or Co-PI has space at the Mag Lab, but the Mag Lab has not been given any credit on the PTF, please check with Judy McEachern at the Mag Lab to make sure that the Mag Lab should not be included.

13) **PROJECT PURPOSE:** Specify the project purpose.

- 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.

If the project purpose is research, please specify the type:

- *Basic* – systematic study directed toward fuller knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. (Controlled research cannot be basic.)
- *Applied* – systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met.
- *Development* – systematic application of knowledge or understanding directed toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.
- 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 Activity - The performance of work other than research or instruction.

- 14) **F&A INFORMATION:** Enter the Facilities & Administrative (aka F&A, indirect costs, overhead) percentage rate and base type used in the budget. See the [Facts Sheet](#) for FSU's F&A rates and base types. Refer to [Policy 7A-12 Indirect Cost Recovery](#).

Base type:

- **MTDC** = Modified Total Direct Costs. Often used for federal funding. Certain costs such as equipment, participant support, and subaward funds in excess of \$25,000 will be excluded from F&A calculation.
- **TDC** = Total Direct Costs. Only tuition will be excluded from F&A when using this base. Often used for state agencies. 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 were used.
- **Other** = A base that is not identified here, such as Salary and Fringe only.
- **N/A** = No F&A will be recovered.

If the proposed F&A Rate is less than FSU's federally-negotiated rate, indicate whether the reduction was voluntarily waived by the Office of Research, or mandated by the sponsor in writing. If mandated, please indicate the page number in the solicitation that contains this requirement.

C. PROPOSED COSTS

- 15) **TOTAL REQUESTED FROM SPONSOR:** Enter the total amount requested from the sponsor.
- 16) **TOTAL FSU COST SHARING:** Enter the total amount of cost sharing committed by FSU. Indicate whether cost sharing is voluntary or required by the sponsor. Attach a completed and signed [Cost Share Commitment Form](#). See [Policy 7A-4 Cost Sharing](#) and [Campus Cost Sharing Procedures](#).
- 17) **TOTAL THIRD-PARTY COST SHARING:** Enter the total amount of cost sharing committed by entities external to the university. Attach written commitments from third parties signed by their authorized representative or the [Third-Party Cost Sharing Commitment Form](#).
- 18) **TUITION WAIVERS:** Also known as matriculation waivers. Waivers do not include fees unless sponsor-approved. For graduate student appointments of .25 or higher, tuition must be covered, either by the sponsored project or internally.

WAV1	Select Waiver 1 if: No qualifying grad students are proposed; Grad student salaries are not allowed; or This sponsored project will pay matriculation for all qualifying in-state grad assistants and qualifying out-of-state Engineering major grad assistants.
WAV2	Select Waiver 2 if: The department's waiver allocation will pay matriculation for qualifying grad assistants.
WAV3	Select Waiver 3 if: The department is responsible for processing departmental billings to pay matriculation (and fees, if allowable). If no billing is processed, matriculation will be automatically charged to the waiver allocation of the College/School associated with the student's major.
WAV4	Select Waiver 4 if: This sponsored project will pay only in-state matriculation for qualifying grad assistants regardless of major.

D. RESPONSIBLE DEPARTMENT

- 19) **DEPT NAME:** This department will manage the project if awarded. Enter the department name and OMNI Department ID.

E. INDIRECT COST DISTRIBUTION AND REPORTING CREDIT BY DEPARTMENT

- 20) Enter the department name, OMNI Department ID, and percentage of credit (in whole numbers) to be allocated for this project. This information will determine the distribution of SRAD funds and will be used for institutional reporting purposes. The credit assigned to departments is based on the agreement between all investigators, department

chairs, and deans involved. Total percentage must equal 100%. Refer to [Policy 7A-7 Distribution of Indirect Cost Earnings on Projects Involving More than One Organizational Unit](#) and [Policy 7A-22 SRAD Distribution](#).

F. NON-FACULTY SUPPORT

- 21) Identify the number of the listed personnel types supported by this proposal. The number should be the physical number of personnel, not based on FTE. This information is collected for department use.

G. CERTIFICATIONS

- 22) Animal Subjects – If animals are involved in the project, select Yes and enter the protocol number. Submit a completed [Animal Subjects Use \(ASU\) form](#) with the proposal. See the [Animal Use in Research](#) procedure. If the proposal is awarded, SRA/FSURF will send the proposal, transmittal form, ASU form, and award to Laboratory Animal Resources (LAR) for review and approval. **The project will not be set up until SRA/FSURF has received notice of approval from LAR.**
- 23) Human Subjects – If human subjects are involved in the project, select Yes. Contact the [Human Subjects Office](#) for guidance. If the proposal is awarded, the proposal, transmittal form and award will be sent to the Human Subjects Office for review and approval. **The project will not be set up until the Human Subjects Committee has approved the protocol associated with the project and the memo has been provided, unless PI, Chair, and Dean provide a statement of work that can be done without human subjects.**
- 24) DNA/RNA Use – If DNA/RNA use is involved in the project, select Yes. Contact FSU's [Environmental Health and Safety](#) office for guidance.
- 25) Radioactive Materials – If radioactive materials will be used in the project, select Yes. Contact FSU's [Environmental Health and Safety](#) office for guidance.
- 26) Hazardous Chemicals – If hazardous chemicals will be used in the project, select Yes. Contact FSU's [Environmental Health and Safety](#) office for guidance.
- 27) Select Agents– If select agents will be used in the project, select Yes. Contact FSU's [Environmental Health and Safety](#) office for guidance.
- 28) Nanomaterials -- If nanomaterials will be used in the project, select Yes. Contact FSU's [Environmental Health and Safety \(EHS\)](#) office for guidance.
- 29) Marine Lab – If the project involves the use of the FSU Coastal and Marine Laboratory (FSUCML) facilities or personnel, select Yes. When the proposal is submitted, SRA/FSURF will send a copy of the proposal and transmittal form to the Director of the [FSUCML](#).
- 30) Compressed Air Diving (ADP) - If the project involves compressed air diving, select Yes. When the proposal is submitted, SRA/FSURF will send a copy of the proposal and transmittal form to the Chair of the [Diving Control Board](#) and the ADP Coordinator.
- 31) Program Income - If income other than payments from the sponsor will be generated as a result of this project (e.g. registration fees, sales of products or tickets), select Yes. Consult [Policy 7A-20 Program Income](#) and the [Program Income Procedures](#).
- 32) **SUBRECIPIENTS/CONTRACTORS:** If subrecipients and/or contractors are proposed, provide the entity name if known and identify if they are a subrecipient or contractor. Please see the [Subrecipient or Contractor/Vendor Determination Form](#) or [Uniform Guidance](#) for guidance. This form is not required at proposal stage if this section is completed.

If subawards total more than 50% of the amount requested from the sponsor, justification is required and must be reviewed and approved by the Office of Research prior to the proposal's approval for submission. Describe the reason for subawarding more than 50% (e.g., there is no one at FSU who can perform this work).

If subrecipients are named in the proposal, please provide a budget, budget justification, scope of work, and letter of commitment from each. If contractors are named, a quote or a letter on letterhead will suffice.

33) SBIR/STTR:

SBIR (Small Business Innovation Research): The largest federal agencies are required to reserve a percentage of their research and development budgets for the SBIR program to facilitate the commercialization of federally funded research and development. The PI must be primarily employed at the proposing small business, and awards are made to small business entities. As FSU is not a small business, FSU cannot apply as the prime. Phase I proposals are intended for feasibility studies and prototypes. Phase II proposals scale up research and development. Please indicate the phase. Refer to the [Facts Sheet](#) for F&A rates.

STTR (Small Business Technology Transfer): The largest federal agencies are required to reserve a percentage of their research and development budgets for the STTR program to facilitate the development and transfer of technology from the research institution to the small business and ultimately to the marketplace. In the STTR program, university participation is required. At least 40 percent of the STTR research project is to be conducted by the small business concern and at least 30 percent of the work is to be conducted by the research institution. Awards are made to small business entities. As FSU is not a small business, FSU cannot apply as the prime. Please indicate the phase. Refer to the [Facts Sheet](#) for F&A rates.

H. PERSONALLY IDENTIFIABLE INFORMATION

- 34) As defined in [OMB Memorandum M-07-16](#), PII refers to information that can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual (e.g., social security number, age, military rank, marital status, race, salary, home phone numbers, and other demographic, biometric, personal, medical, and financial information). If this project will use or operate a federal information system, or create, collect, use, process, store, mainline, disseminate, disclose, or dispose of PII, select yes. SRA will enter this in OMNI as an attribute for tracking purposes.

I. CONFLICT OF INTEREST

- 35) If the PI is aware that a participating faculty, staff, student, or partnering entity has an actual, potential, or perceived conflict of interest as described in [Policy 7A-21 Financial Conflict of Interest Disclosure](#), select Yes. The PI must follow the [applicable disclosure policy](#). Please note, some agencies require disclosure of significant financial interests prior to proposal submission. For PHS agencies, this disclosure is completed in FSU's [EDMS](#). If marked yes, upon award, SRA/FSURF staff will inform the FSU Compliance Director to manage or eliminate the conflict.

J. ATTACHMENTS

- 36) Attach proposal documents and any required FSU forms.

K. INTERNAL APPROVALS

- 37) By signing, each signer certifies that the information in the proposal is true, accurate, and complete to the best of his/her knowledge and approves the proposal in its entirety.

Role:

The **PI** will automatically have expenditure authority for all non-travel financial transactions. If the PI wishes to approve requisitions in OMNI, the PI w/ePRO role must be selected. If this role is selected, the PI must also have the FSU_PO_APPROVER and FSU_PS_APPROVER roles in OMNI or there will be errors in the procurement process.

Co-PI/Co-I(s) will not have the ability to approve requisitions in OMNI unless specifically authorized through the w/ePRO role. If this role is selected, the Co-PI/Co-I must also have the FSU_PO_APPROVER and FSU_PS_APPROVER roles in OMNI or there will be errors in the procurement process. Please note, FSU does not distinguish between the Co-PI and Co-I role internally.

Additional Faculty: If the proposal names FSU faculty who will contribute to this project but are not identified as the PI or a Co-PI, list their name and obtain their signature. These faculty members will not receive any internal reporting credit.

List the **Chair** and **Dean** for each investigator and named faculty and obtain their signatures.

Credit:

Provide Employee IDs and a percentage of credit for each investigator. Each investigator must receive a minimum of 1% credit. Allocate credit using **whole** numbers only. The sum of all allocations must equal 100%. Credit is not applied or tracked for roles other than investigators. These data are collected for department use.

L. EFFORT COMMITMENTS

- 38) If key personnel are committing a quantified portion of their time to the project, whether sponsor-paid or cost shared, select *does*. See [Policy 7A-9 Effort Commitment](#) and [Effort Commitment Data Entry in FACET](#) procedures.

M. POST-AWARD PROJECT TEAM

- 39) Enter names and Employee IDs of users who will need access to the project in OMNI or will be part of the post-award project team.

Each project needs at least one team member with **ePRO** (Sponsored Projects Manager, PI, or Co-PI) to have expenditure authority for all non-travel financial transactions, including the ability to approve requisitions in OMNI. When a role with ePRO is selected, the user will need to request the roles of FSU_PO_APPROVER and FSU_PS_APPROVER in OMNI in order to approve transactions.

Each project may have only one **Travel Approver (TA)**. The PI will be made the default travel approver unless an alternate TA is selected. Note that the Project Travel Approver cannot approve his/her own travel transactions.

ROLES:

- **SP Managers w/ ePRO** means the user will have expenditure authority for all non-travel financial transactions, including the ability to approve requisitions in OMNI.
- **SP Managers w/o ePRO** means the user will have expenditure authority for all non-travel financial transactions, except the ability to approve requisitions in OMNI.
- **SP Managers w/ ePRO (TA)** means the user will have expenditure authority for all non-travel financial transactions, including the ability to approve requisitions in OMNI, and authority to approve travel.
- **SP Managers w/o ePRO (TA)** means the user will have expenditure authority for all non-travel financial transactions, except the ability to approve requisitions in OMNI, and authority to approve travel.
- **DeptRep/Act** means the user will have no expenditure authority. Users with this role will only have access to view proposal and project information.
- **DeptRep/Act (TA)** (formerly "Project Manager (TA)") means the user will have expenditure authority to approve travel only.
- **Additional Faculty** means the user will have no expenditure authority. Users with this role will only have access to view proposal and project information.
- **Other** means the user will have no expenditure authority. Users with this role will only have access to view proposal and project information.

Notifications: Indicate if the person listed elects to be notified by email of post-award activities, milestones, or all. Please note, some awards will not have OMNI-generated milestones depending on the sponsor.

For questions concerning the completion of this form, please contact the responsible administering research office. When complete, submit the form to:

Sponsored Research Administration
874 Traditions Way; Third Floor
Tallahassee, FL 32306-4166
Mail Code 4166
SRA-PRE@fsu.edu
[Staff Assignments](#)
850-644-5230

FSU Research Foundation
2000 Levy Ave., Suite 351
P.O. Box 3062744
Tallahassee, FL 32310
FSURFgrants@fsu.edu
[Staff Assignments](#)
850-644-8650

When processing is complete, a copy of the proposal transmittal form signed on behalf of the Vice President for Research will be returned to the PI and/or the Proposal Contact listed on the form.