Guide to Completing the Sponsored Projects Transmittal Sheet

The **Sponsored Projects Transmittal Sheet** (spoo1 02/97) is the control sheet used for the routing of grant and contract documents, and recording of university approvals. Copies of the form, as well as a file on disk using FormFiller, are available in PreAward Services.

The form is a single sheet with information requested on both front and back. When submitting the initial proposal, complete all information requested. For additional submittal(s), e.g., revised proposals, or modifications, complete only new or revised information.

Administrative Information - Right Column

Due Date - Date submission due to sponsor.   State actual due date or postmark due date.

Department Contact - Give name and phone number of individual for PreAward Services to call if there are questions.

Type of Submission - Enter type of submission.   Type of submission is either **proposal, proposed award, award, or modification.**

> **Proposal** - An offer of exchange made to a prospective sponsor, e.g., application, quote, letter, memorandum of agreement, contract, or sponsor's standard format. Check one of the following:
>
> > **Initial** - First proposal for a particular project to a sponsor.
> >
> > **Competitive Renewal** - Project awarded but proposal required to continue project.   Renewal contingent upon strength of proposal and/or availability of funds (competitive)
> >
> > **Non-Competitive Continuation** - Project awarded but proposal (new budget and/or progress report, etc.) required to continue beyond a period of time. Continuation expected (non-competitive)
> >
> > **Revised** - A revision to an existing proposal to the same sponsor, e.g., budget revision, additional information requested by the sponsor. Check budget or other as appropriate.
>
> **Proposed Award** - Not Yet signed by sponsor.
>
> **Award** - A notification of award in response to a proposal signed by the sponsor.
>
> > **First Time** - Notification of award in response to the initial proposal.
> >
> > **Renewal /Continuation** - Authorization for continued support in response to a renewal or a continuation proposal.

Modification - A change to <u>current contractual parameters of a project</u> requiring documentation from or to sponsor. Note: Change is not in effect until notification of acceptance has been received from Sponsor, and accepted by University. Check the following as applicable (more than one may apply)

      Period - Change in current budget or project period.
      Budget - An increase or decrease in funding, or alteration of previously approved budget (l.e. budget revision)
      PI - Change in Principal Investigator/Project Director.
      Other - Any modification other than period, budget, or change in PI, e.g., scope of work.

After checking type of submission, enter **Proposal Number or FRS Number** according to the letter indicated. P = proposal and F = FRS. Note: PreAward will provide proposal number after initial submission. Enter in format as follows: F 5-#####.

Activity - Type of activity of the project. Select one of the following.

      Research - Systematic inquiry or investigation to discover or revise knowledge, theories, or applications.

            Basic - Attempt to create new knowledge, procedures or information.
            Applied - Using known knowledge and procedures to solve a practical problem.

      Indicate percent for basic and applied research if split.

      Indicate administrative unit

            University - Not one of the units below
            AES - Agricultural Experiment Station
            EES - Engineering Experiment Station

      Instruction/Training - Involving instructional course work or training classes/workshops.
      Equipment - Purchase of equipment
      Facilities/Construction - Buildlng, installing or renovating a structure.
      Public Service - Service rendered to the general public.

      Indicate type of public service.

            Continuing Education
            Cooperative Extension
            Other - Used only for Kansas Center for Rural Initiatives, Small Business Development Center, and Huck Boyd Institute for Rural Development.

Source of Funds - Type of funds used in sponsoring project. Note that source of funds may not be the same type of agency as the sponsor, e.g., a state agency sponsoring a project with federal flow-down monies, in which case,

source is federal. Also, note that project may be sponsored by more than one source. Select one or more of the sources listed.

> **Area/Local Government**
> **State Government**
> **Federal Government**
> **Private (for profit)**
> **Private (non-profit)**

Project Information - Left Column

1.

Principal Investigator - Last name, first name and middle initial of individual(s) directing project.

Department - Department in which PI holds appointment.   Indicate department responsible for accounting by placing an asterisk after department name.

College - College in which PI and department are associated.

Lined space is provided for four principal investigators. However, list all PI's and their respective department and college with primary PI listed first. Place an asterisk beside department(s) responsible for accounting. Note: Separate budgets are required when more than one department is maintaining an account.

2.

Project Title - Title of project.

3.

Source of Support - Name and address of Sponsor

4.

Term and Amount Requested/Funded - Refers to project period and associated budget by each source of funding support. Complete when submitting an initial proposal or revising the budget of an initial proposal, when submitting a proposal for the next project period, upon award of the proposal, and upon modification of the overall budget.

> Term - Consists of two sets of dates:

>> From_____To_____ **(Dates of initial, modified or next period)** - Date of the initial period, the modified term, or the next period of a proposal or award.   Next period is contingent upon an interim proposal, e.g., competitive renewal or non-competitive continuation.

>> From_____To_____ **(Date of entire period)** - Beginning and ending date of the proposal or award.

Dates are to be entered as follows: ##/##/##

Amount requested (proposed)/funded (awarded) is broken down by project periods and by sources of support. The columns - **initial, mod, or next and total** - are the amounts per period (as described under **Term** above) Source of support is the agency (entity) funding the project.   The project may be funded by: sponsor only, sponsor and KSU, sponsor and other external, or all three.

> **Sponsor Support** - Source to whom the proposal is submitted or by whom award is made.

> **KSU Share of Costs** - Costs in support of the project borne by KSU, e.g., faculty effort committed to project, hard dollar matches provided by university units, etc.

> **Other Funding Support (external)** - Source other than sponsor or KSU providing funds in support of the project.

> **Total Project Costs** - Total funding support by all sources.

Under each source is listed **direct, facilities & Administrative** (F&A), **waived** F&A (KSU share), and **total costs.**

> > **Direct** - Costs directly chargeable to the project. Allowable direct costs may vary by sponsor; refer to sponsor's guidelines.

> > **Facilities & Administrative** (F&A)   - Usually refers to overhead costs, e.g., administrative, electricity, building, depreciation, etc.

> > **Waived F&A Costs** - That portion of KSU's facilities and administrative expenses (negotiated F&A rate) not paid by the sponsor.   This exception must be published in sponsor guidelines, or a Request for Variation of F&A must have been previously approved prior to submission of proposal.

While some sponsors may not fund certain direct or F&A costs, they may allow them to be shown as matching or cost sharing by KSU. Again, refer to sponsor guidelines.

> > **Total** - sum of direct and F&A costs. If using the formfiller version, press tab, or enter, and totals will be calculated automatically in each total block of sections a, b, and c. By pressing tab or enter in section d, each line will be totalled automatically.

5.

Internal Matching Fund Sources - Costs (excluding state budgeted salaries and fringe benefits) funded by KSU. Signature of the individual authorizing and committing funds is required. The amount of funds committed by each individual

should be stated as well as the source of funds (S = State or F = Federal)
The use of this section satisfies the requirement for a letter of commitment.

6.

Department Allocation - (R) Used to obtain reporting credit for department(s)
involvement in the project.   (S) - Used for calculating return of facilities
and administrative costs to department(s).   Give percentages if more than one
department is involved.

7. - 10.

Special Approvals - Check "yes" or "no" for each statement. For those checked
"yes", signature of the official noted in parenthesis is required. Items 8-10
require a response <u>when submitting the initial proposal only</u>, unless the status
of the initial response changes with subsequent submissions. Respond to Item 7
when submitting an initial proposal and again upon award if the requirement
changes. Note: PreAward Services will assist in retrieving signatures.

Please pay close attention to the assurances that are located in the signature
area. These assurances contain some additional certifications as a result of
the newly implemented conflict of interest policy, and the requirements
regarding the disclosure of intellectual property contained in various federal
documents.