

Proposal Transmittal Form (PTF)

PROPOSAL INFORMATION

Principal Investigator/Project Director (PI/PD) _____ PI/PD email _____

College/Center and Department _____ Unit Budget Manager _____ Sponsor Proposal Deadline _____

I have included an [Addendum A](#) for each co-PI/PD(s) and/or other personnel from Seattle University named in this proposal, and in the below box.

Names of additional SU co-PIs/Other project personnel or staff on this project:

Project Title _____

Sponsor _____ Prime Institution _____

Sponsor's Program Name _____ CFDA Number (If Federal) _____

Select from list
Sponsor Type

Select from list
Application Type

Select from list
Project Type

Select from list
PI Status

Total Dollars Requested

Direct Costs: _____

Indirect Costs: _____

Total Sponsor Costs: _____

Cost Share*: _____

*Attach [Addendum B](#) for cost share approval

Total Project Cost: _____

PI Effort and Compensation
(please check all that apply)

I am requesting course release during the academic year.

I am on a 12-month appointment, requesting time release via salary subvention.

I am requesting summer pay during the grant period.

This project proposes hiring new staff or faculty.

Proposed Project Period

Start Date: _____

End Date: _____

Notes:

COMPLIANCE QUESTIONS

Yes	No	1. Will the project recover indirect costs at the University's federally negotiated rate? <i>(If no, attach sponsor's IDC policy)</i> Sponsor rate: _____
Yes	No	2. Will more than 50% of this project be conducted off-campus (not including telework)? <i>(If yes and publicly funded, please complete Addendum F – Off-Campus Certification Form)</i>
Yes	No	3. Are you or anyone listed in the proposal budget a member of the Society of Jesus (Jesuit)? <i>(If yes, the proposed budget must not include fringe benefits on their salary)</i>
Yes	No	4. Does the project involve issuing a subaward from SU to an external entity? <i>(If yes, please include the subawardee(s) completed Subrecipient Commitment form)</i>
Yes	No	5. Is there a probability that this project will result in a patent or copyright? <i>(If yes, please review the university's Patent Policy.)</i>
U.S.	Non-U.S.	6. What is your Nationality? <i>(If Non-U.S., please complete Addendum C - Export Control Checklist)</i>
Yes	No	7. Does this project involve sending materials outside of the United States? <i>(If yes, please complete Addendum C - Export Control Checklist)</i>
Yes	No	8. Does this project involve collaboration with personnel (internal and/or external to SU) who are nationals of a country other than the United States? <i>(If yes, please complete Addendum C - Export Control Checklist)</i>
Yes	No	9. Will this project involve foreign travel? <i>(If yes, please complete Addendum D - Foreign Travel Checklist)</i>
Yes	No	10. Will any of the following be used in this project: hazardous materials, recombinant DNA (rDNA), or vertebrate animals? <i>(If yes, OSP will notify the Academic Safety Officer)</i>
Yes	No	11. Will Human Subjects, living people or data about living people, be used or collected? <i>(If yes, OSP will notify the Institutional Review Board)</i>
Yes	No	12. Will your project require new space or remodeling of existing space? <i>(If yes, OSP will notify the Director of Facilities Planning and Real Estate)</i>
Yes	No	13. Is the sponsor of this project the NSF or NIH? <i>(If yes, please complete Addendum E, Notification Requirements Regarding Findings of Sexual Harassment, Other Forms of Harassment, or Sexual Assault)</i>
Yes	No	14. Is this a proposal to NSF that includes any off-site/off-campus research (defined as data/information/samples being collected off-campus or off-site, such as fieldwork and research activities on vessels and aircraft)? <i>(if yes, please complete and attached a Research Safety Plan)</i>

PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR REQUIRED CERTIFICATIONS

As PI/PD on this proposed project I, _____, attest that:

1. I am not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from current transactions by any Federal department or agency;
2. I have received, read, understand and will abide by [Seattle University's policies](#) regarding externally funded sponsored awards.
3. I agree to be bound by the terms and conditions of the externally funded sponsored award which supports this activity;
4. I understand I am responsible for the financial stewardship of any sponsored award resulting from this application and that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties; and
5. I agree to accept responsibility for the scientific and/or programmatic conduct of this project and to provide the required progress reports if the proposal is awarded.

Financial Conflict of Interest Certification

In accordance with our Financial Conflict of Interest policy, all named PI(s) must submit a financial conflict of interest disclosure at the time of submission. Responding to the below questions and certifying this form will satisfy this requirement.

1. In the last 12 months did you or your family member (meaning spouse, domestic partner and/or dependent children), alone or in combination, have an outside interest in any asset of potential monetary value (e.g., intellectual property rights, patents, royalties, etc.) that is or may be related to my institutional responsibilities?
2. In the last 12 months, did you or your family member, alone or in combination, have significant financial interest in an entity that:
 - has products, services, technology or research interests that could reasonably appear to be affected by your research or sponsored program
 - has made or pledged a gift to the Seattle University that benefits your research or sponsored program,
 - sponsors your research or your program,
 - sells goods or services to the University that will be used in your research or sponsored program, or
 - has another involvement in your research or sponsored program (such as a consulting agreement)?
3. In the last 12 months was your travel reimbursed or sponsored other than by a government entity, institution of higher education, medical center or related entity related to your institutional responsibilities?

A significant financial interest involves:

- a) receiving compensation during the year over \$5,000 or
- b) having an equity interest valued at over \$5,000 in a publicly traded entity or
- c) having an equity interest of any value in a non-publicly traded entity.

(This does not include 'indirect' equity interest or ownership through mutual funds.)

NO TO ALL QUESTIONS. Your disclosure is complete.

YES TO ANY QUESTION. Sign this form and complete a [FCOI Disclosure Attachment](#) for each external entity in which there is a significant financial interest or for each asset in which you have an interest. Submit directly to OSP

My signature below certifies to the above statements and that to the best of my knowledge all information submitted within this proposal is true, complete and accurate.

Principal Investigator/Project Director

Date

REQUIRED INSTITUTIONAL CERTIFICATIONS AND APPROVALS

By signing below, I certify that I:

- reviewed the above referenced proposal;
- confirm that the proposed project is consistent with center, departmental, college and/or university mission, practices, policies, and priorities; and
- approve of all commitments described in the proposal including those involving personnel, release time, space, equipment, cost sharing, and conflict of interest.

REQUIRED DIVISIONAL APPROVALS *(PI/PD must obtain prior to submission to OSP)*

Department Chair (If applicable) Date

Dean/Center Director Date

REQUIRED INSTITUTIONAL APPROVALS *(OSP will obtain)*

University Advancement (Required for Private Foundations/Corporations Submissions) Date

Office of the Controller (Required when Cost Share/Match Commitment Made) Date

Office of Sponsored Projects Date

I authorize the Office of Sponsored Projects to submit the above-mentioned proposal as the Authorized Organizational Representative (AOR) on behalf of Seattle University.

Office of the Provost Date

Proposal Transmittal Form Instructions

The Proposal Transmittal Form (PTF) facilitates the internal reviews and approvals for the submission of a grant or contract proposal to an external entity. An SU staff or faculty member seeking to submit a letter of intent, pre-proposal, subaward commitment, or full proposal is required to notify the Office of Sponsored Projects (OSP). All fields of the PTF must be completed by the Principal Investigator/Project Director and must be signed by the department chair (if applicable) and college dean/center director before sending to the OSP with the complete proposal **five business days prior** to the deadline as outlined in the [OSP Proposal Review and Deadline Policy](#).

Page 1: Proposal Information – Definitions

- Unit Budget Manager:** The unit budget manager is typically the college/divisional budget manager. This role provides minimal financial support and oversight should the proposal result in an award. Additional information is available in the [Grant Accounting Roles & Responsibilities](#).
- Project Title:** Please include the full project title to be submitted to the funder including any required acronyms (e.g. NSF program names)
- Prime Institution:** If SU will be a subrecipient under a prime award, list the prime institution of the award. Otherwise, indicate Seattle University.
- CFDA Number:** Catalog of Federal Domestic Assistance as noted in the proposal solicitation under General Information (federal grants only)

Application Types

- LOI/Pre-Proposal: A document outlining the general plans of proposal. Contact OSP to determine if a PTF is required for your LOI/Pre-proposal.
- New Application: An application submitted for the first time
- Resubmission: A revised or amended application submitted for reconsideration of support
- Continuation: Mon-competing continuation of an active grant into the next budget period
- Competitive Renewal: Competitive extension to an active grant, including a supplemental request

Project Types

- Basic Research: 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.
- Applied Research: Systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met.
- Conference: Support for you to organize a conference.
- Workshop: Support for you to attend a workshop or conference.
- Student Scholarships: Funding exclusively for student scholarships and support

Page 2: Compliance Questions

All questions on page 2 must be completed by the PI/PD. Please consult with OSP if you have specific concerns. Contact OSP for the Required Addendums or find them on our website: <https://www.seattleu.edu/sponsored-projects/apply/proposal-development/>

Page 3: Approvals

PI/PD is responsible for obtaining college approvals; OSP will coordinate institutional review and approvals. Either electronic or hard copy signatures are accepted.