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| *For ORSP Use Only* | | |
| *Date received in ORSP:* | *Compliance ID:* | *Grant/Project ID:* |

**Grant/Contract Transmittal Form**

*Instructions:* This form must be completed prior to proposal submission for all extramural and UW System funding, including subawards. Refer to the [UWL submission timeline & checklist](https://www.uwlax.edu/globalassets/offices-services/grants/orsp-checklist.pdf) for the required documentation and routing timeline on campus. All application materials must be included with this form. Refer to the footnotes for further guidance. Submit the completed form to the Office of Research & Sponsored Programs (ORSP), 243 Graff Main Hall.

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| **Funding Agency** | | |
| Primary Funding Agency: | | Agency Type: Choose an item.  Agency Deadline: Click or tap to enter a date. |
| Is this a subaward to UWL? Yes No |  | |
| If yes, list institution disbursing funds to UWL: | | |

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| **Project Personnel** | | |
| UWL PI/PD[[1]](#footnote-2): | Department: |  |
| Co-PI/PD: | Department or Institution: |  |
| Co-PI/PD: | Department or Institution: |  |
| Co-PI/PD: | Department or Institution: |  |

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| **Proposal Information** | | | | |
| Project Title: | | | | |
| Proposal Type:  New  Supplement  Renewal/Continuation | Total Award Request[[2]](#footnote-3): | |  | Project Start Date: Click or tap to enter a date.  Project End Date: Click or tap to enter a date. |
| Direct Costs: | |  |
| Indirect Costs[[3]](#footnote-4): | |  |
| Cost Sharing[[4]](#footnote-5) | | | | |
| a. Cost sharing is: (Check one.)  N/A  Mandatory  Voluntary  If N/A, proceed to Budget Clearances. Otherwise, complete b. | | b. Type(s), Value(s), & Source(s)[[5]](#footnote-6): (Check and complete all that apply.) | | |
| Cash  Value:  Source(s): Enter unit/division/organization making commitment. | | |
| In-kind  Value:  Source(s): Enter unit/division/organization making commitment. | | |
| Waived indirect costs  Value:  Source(s): Enter unit/division/organization making commitment. | | |

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| **Budget Clearances** | |
| The budget includes: (Check all that apply.) | |
| Funds for hiring UWL graduate and/or undergraduate students | |
| Funds for course release and/or reassigned time | |
| Funds for current UWL employees (other than students) | |
| Funds for hiring new personnel (other than students) | |
| Funds for employees and/or students at other UW campuses | |
| Action involving space, remodeling, or construction (current or future) | |
| **Collaborators**[[6]](#footnote-7) | |
| a. Does the project involve any collaborator(s)?  Yes  No (proceed to Compliance) | If yes, complete the following:  b. Collaborator(s) are: (Check all that apply.)  UWL faculty/staff  External. Specify institution(s):  c. Does the budget include funds paid to collaborator(s)?  Yes  No |

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| **Compliance**[[7]](#footnote-8) | |
| Check all those that apply to the project: | |
| [IRB](https://www.uwlax.edu/grants/human-subjects-review-institutional-review-board-irb/) (human subjects/specimens) | [Chemical/Physical Safety](https://www.uwlax.edu/grants/chemical--physical-safety/) |
| [IACUC](https://www.uwlax.edu/iacuc/) (vertebrate animals) | [FCOI](https://www.uwlax.edu/grants/financial-conflict-of-interest-fcoi/) (all federal funding, including flow-through & subawards) |
| [IBC](https://www.uwlax.edu/grants/institutional-bio-safety-committee/) (recombinant DNA and/or biohazardous materials)  If checked, is the project subject to [DURC](http://www.phe.gov/s3/dualuse/Documents/durc-policy.pdf)?  Yes  No | [Subaward(s)](https://www.uwlax.edu/grants/uwl-subrecipient-risk-assessment--monitoring-policy/)  If checked, is UWL the: (Check one.)  Primary award recipient  Subrecipient |
| [Intellectual Property/Technology Transfer](https://www.uwlax.edu/grants/intellectual-property-inventions-and-patents/)  (actual or potential) | [RCR](https://www.uwlax.edu/grants/responsible-conduct-of-research-for-federal-agencies/) (applies to all NSF & USDA funding, including flow-through & subawards) |
| [Nepotism](https://www.uwlax.edu/grants/nepotism-policy/) | [International activity/collaboration](https://www.uwlax.edu/grants/international-programs/) |

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| **Export Controls[[8]](#footnote-9)** | | |
| *Section I*  Check all that apply. The project and/or related activities involve: | | |
| International travel | | Transfer, shipment, and/or storage of items, data/information, and/or electronic communication across international borders  None of the above (Proceed to Required Signatures) |
| International sponsor(s)  International collaborator(s) | |
| *Section II*  Complete only if any items are checked in Section I. | | |
| a. Is the project within a STEM field?  Yes  No | b. The project and/or related activities involve: (Check all that apply.) | |
| [Dual use](https://www.ecfr.gov/cgi-bin/text-idx?rgn=div5&node=15:2.1.3.4.20#se15.2.730_13) components, items, and/or data/information (i.e., has both civil and military applications) | |
| Chemical and/or biological materials/agents | |
| Publication restrictions or prior review requirements | |
| Non-disclosure agreements | |
| Corporate partners | |
| None of the above | |

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| **Required Signatures** | | |
| **PI/PD[[9]](#footnote-10)** | | |
| In signing, I certify that I have identified and received appropriate approval for all space, personnel, equipment, and budgetary needs associated with the proposal or award, and that the proposal or award and this form are accurate and complete in all regards, including technical matters, adherence to sponsor’s guidelines, related regulations and policies, budget, and required clearances. I certify (1) that the information submitted within the application is true, complete, and accurate to the best of the PI’s knowledge; (2) that any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil, or administrative penalties; and (3) that the PI agrees to accept responsibility for the conduct of the project and to provide the required progress reports if an award is issued as a result of the application. Should the award be issued, I certify that I will comply with all applicable university, sponsor, state, federal, and award requirements. | | |
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| *Printed Name* | *Signature* | *Date* |
| **Department Chair/Unit Director** | | |
| In signing, I certify that I have reviewed the proposal and found it to be complete, including required assurances, compliance, budget, and commitments involving space, faculty/staff time, and cost sharing (current or future). I certify that all department/unit resources, commitments, and other provisions of this award will be fulfilled as described in the proposal. | | |
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| *Printed Name* | *Signature* | *Date* |
| **College Dean/Division Director** | | |
| In signing, I certify that I have reviewed the proposal and found it to be complete, including required assurances, compliance, budget, and commitments involving space, faculty/staff time, and cost sharing (current or future). I certify that all college/division resources, commitments, and other provisions of this award will be fulfilled as described in the proposal. | | |
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| *Printed Name* | *Signature* | *Date* |
| **Chancellor or Representative** | | |
| In signing, I certify that this proposal has been thoroughly reviewed by the appropriate university officials and is consistent with the university’s goals and mission. | | |
| Melissa A. Nielsen |  |  |
| *Printed Name* | *Signature* | *Date* |
| **UWL Foundation President (ONLY for applications requiring 501(c)(3) status)** | | |
| In signing, I certify that I have reviewed the proposal and found it aligns with UWL Foundation policies. | | |
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| *Printed Name* | *Signature* | *Date* |

1. Principal Investigator/Project Director [↑](#footnote-ref-2)
2. For subawards directed to UWL, list only the funds to be administered by UWL. [↑](#footnote-ref-3)
3. If indirect costs differ from UWL’s [required rates](https://www.uwlax.edu/globalassets/offices-services/grants/fringe_indirect2.pdf), attach documentation from the sponsor with the alternate policy. [↑](#footnote-ref-4)
4. An itemized list of all cost sharing commitments noting source(s), value(s), and whether each is cash or in-kind is required. [↑](#footnote-ref-5)
5. If source(s) differ from the PI/PD’s department/division, separate written confirmation from authorized representative(s) is required prior to submission. [↑](#footnote-ref-6)
6. Written confirmation is required from each collaborator prior to submission. [↑](#footnote-ref-7)
7. Some compliance requirements must be completed prior to submission (e.g., RCR, FCOI), while others must be completed prior to project commencement (e.g., IRB, IACUC). Refer to applicable policies and allow sufficient time for completion and processing. [↑](#footnote-ref-8)
8. If any export controls items are checked, further screening, licensing, and/or project modifications may be required prior to project commencement. [↑](#footnote-ref-9)
9. CO-PI(s)/PD(s) from department(s)/unit(s) other than those of the lead PI/PD must also sign and route a grant/contract transmittal form to their respective chair(s)/unit director(s) and dean(s)/division director(s). [↑](#footnote-ref-10)