

PDF Transmittal Instructions

UMMC grants and contracts are legally constituted only when approved by the Office of Research and Sponsored Programs and signed by the Associate Vice Chancellor for Research or his designee. The Transmittal Form is used to document the approval of the various departments and personnel who are responsible for the implementation of compliance regulations.

When to Use

Transmittal forms must be signed by the PI(s), the Division Chair(s) (if applicable), the Department Chair(s), and the Dean(s) (if applicable), prior to the proposal being submitted to **any** outside funding agency.

The form is required for the following submissions:

- New, Resubmission and Competing Continuation/Renewal Grants and Subaward Proposals
- Material Transfer Agreements
- Clinical Trial Agreements
- Research Agreements
- Other types of agreements (MOUs, Master Agreements)

A transmittal form is not required for progress reports or CDAs.

Instructions

Principal Investigator: Enter the name of the Contact PI first. If Multi-PI, enter the name of the Co-PI afterwards separated by a semicolon. (e.g., Gloria Traxton; Sam Polles)

Department: Select the department of the Contact PI only.

Proposal Title: Enter the proposal title exactly as it will appear on the grant or contract

Proposal Type: Select the applicable type.

Sponsor: Enter the sponsor. If NIH, please enter the applicable Institute.

Activity Type: Select the applicable type.

Prime Sponsor: Enter the prime sponsor, if applicable. If NIH, please enter the applicable Institute.

Award Type: Select the applicable type

Due Date: Enter the sponsor's due date

Budget and Project Periods

Complete the table as follows:

BUDGET	Initial Period	Total Period
Start Date	Enter start date for initial budget period.	Enter start date for total project period.
End Date	Enter end date for initial budget period.	Enter end date for total project period.
Total Direct Costs	Enter total direct costs for initial budget period.	Enter total direct costs for total project period.
Total F&A Costs	Enter total F&A costs for initial budget period.	Enter total F&A costs for total project period.
Total Requested	This field will automatically calculate.	This field will automatically calculate.

Does this proposal include subcontracts? Check Yes or No.

Does this proposal require matching funds? Check Yes or No.

Is any voluntary cost-sharing proposed? Check Yes or No.

If you answered "yes" to questions 2 or 3, enter the amount that is proposed.

Assurances

For each assurance category, choose the applicable status. If Approved, Pending or Exempt, enter applicable protocol number.

Conflict of Interest Statement

Check Yes or No

If "yes," you will be prompted to email the completed form to the Office of Integrity and Compliance. Please follow all instructions as they appear.

Export Controls Statement

Check Yes or No

If "yes," please complete the checklist found in the Export Controls Policy, which can be provided by Office of Research and Sponsored Programs (ORSP) personnel and found on the ORSP website.

NIH Certificate of Confidentiality Policy Information

If the sponsor or prime sponsor is the National Institutes of Health (NIH), please complete page 2. If the answer to number 1 is "no," no further action is needed. However, if the answer to number 1 and any part of number 2 is "yes," the NIH Certificate of Confidentiality applies, and a Certificate is automatically issued as a term of the award.

Supplemental Information

Keywords: Choose up to three that are applicable to your project.

Core Facilities: Choose up to three that you will be using for your project.

NSF Research Type: Select the applicable research type

Basic: Experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view.

Applied: Original investigation undertaken in order to acquire new knowledge. It is directed primarily towards a specific, practical aim or objective.

Experimental Development: Systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes.

Flagship Constellations: If a proposal is primarily associated with or related to a Constellation, the investigator must complete a supplemental form, which will be routed to Constellation leadership for confirmation and used to track Constellation-affiliated proposals and awards.

In order for a proposal to be considered **primarily associated** with a constellation, the requirements are:

1. The proposal must be directly associated with the theme or societal grand challenge of the constellation.
2. The association must be flagged on the transmittal, and the association should be clearly described in the supplemental form.
3. The proposal must involve multiple (at least two) investigators on the UM Oxford and/or UMMC campuses.
4. The proposal must involve multiple (at least two) disciplines on the UM Oxford and/or UMMC campuses. (Some departments house multiple disciplines).
5. A proposal can be primarily associated with at most one constellation. Relationships with additional constellations should be flagged on the transmittal and described on the supplemental form.

In order for a proposal to be considered **related** to a constellation, the requirements are:

1. The proposal must be related to the theme or societal grand challenge of the constellation.
2. The relationship must be flagged on the transmittal, and the nature of the relationship should be clearly described in the supplemental form.
3. The proposal may (but need not) involve multiple investigators on the UM Oxford and/or UMMC campuses.
4. The proposal may (but need not) involve multiple disciplines on the UM Oxford and/or UMMC campuses.
5. The Related status is provided to:
 - count relatedness to constellations that are not the primarily associated one
 - count relatedness to constellations for single-investigator and single-discipline projects

Signatures

Signatures may be obtained in person or electronically via PDF. To sign electronically, click on the signature box and choose Sign As. If needed, create a New ID and choose the "A new digital ID I want to create now." Click Next. Select New PKCS#12 digital ID file. Click Next. Enter information. Click Next. Create password and Click Finish.