

THE COLLEGE OF WOOSTER

Guidelines: Proposal Transmittal Form

1. Due Date for the Form

The Principal Investigator/Project Director (PI/PD) should submit the Proposal Transmittal Form and all additional information to the Assistant Controller at least 5 working days before the grant proposal is due. It is recommended that the PI/PD request preliminary reviews of both the programmatic portion of the proposal and of the budget so there are no delays or unwelcome surprises with this final review.

2. Additional Required Information

In addition to the Proposal Transmittal Form, the PI/PD should send the Assistant Controller a pdf of the complete proposal, the budget, and the budget narrative. These should be final drafts, printed to pdf directly from the grantor's software or form. For NSF proposals, for example, the entire proposal and budget should be entered in FastLane, and then printed to pdf directly from FastLane.

3. Optional Attachments

The PI/PD may include attachments from other reviewers on campus as needed—for example to help explain installation or renovation costs.

4. Signatures

When this form is submitted it should include all information and all signatures except for those of the Dean, the Controller, the Vice Presidents, and the Provost. The Assistant Controller will send an e-mail with the pdf's to those individuals advising that they will soon have the form. If someone who needs to sign is unavailable, the PI/PD should get their approval via e-mail and attach the e-mail.

5. Submission

The Vice President or Provost who has overall responsibility for the grant will be the last to approve the proposal. That person will either submit the grant or notify the PI/PD that the proposal has been approved and may be sent. If the grantor requires a signature on a paper proposal, the PI/PD is responsible for obtaining the signature.

6. Conflict of Interest

At the time a proposal is submitted for a government grant, the College has to certify it has a written and enforced conflict of interest policy that meets government requirements and that all identified conflicts will be satisfactorily managed, reduced, eliminated, or disclosed to the grantor.

Before the proposal is submitted for a government grant, all investigators must submit an up-to-date Conflict of Interest Disclosure Form: Investigators for Government-Sponsored Activities and must sign the certification included in the transmittal form. (If an investigator is out of town and unable to sign, they

may send an e-mail that includes the entire certification and a statement that they would sign if they were present.)

(“Investigator” is defined as the principal investigator/project director, co-principal investigators/co-principal project directors, and any other person who is responsible for the design, conduct, or reporting of research or activities funded by an external grantor agency.)

7. Debarment and Suspension

“Debarment” means an individual or entity that has been prohibited from doing business with the Federal government. “Suspension” means an individual or entity that has been temporarily prohibited from doing business with the Federal government pending completion of an investigation.

At the time a proposal is submitted for a Federal grant, the College must certify that its “principals” are not debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency. The certification on the fourth page of the Form helps the College comply with this certification. (If an investigator is out of town and unable to sign, they may send an e-mail that includes the entire certification and a statement that they would sign if they were present.)

(“Principal” means -- an officer, director, owner, partner, principal investigators, or other person within a participant with management or supervisory responsibilities related to a covered transaction; or a consultant or other person, whether or not employed by the participant or paid with Federal funds, who—is in a position to handle Federal funds; is in a position to influence or control the use of those funds; or, occupies a technical or professional position capable of substantially influencing the development or outcome of an activity required to perform the covered transaction. (Reg. 180.995))

8. Excluded Parties List System (EPLS)

The Federal government maintains a list of people and organizations that have been debarred or suspended. Whenever a proposal is submitted for government funds, the Proposal Transmittal Form must include a printout from the Excluded Parties List System showing all vendors named in the proposal.

The Excluded Parties List System is at: <https://www.epls.gov/>

- Click “Multiple Names” on the left.
- Click the pop-up box away.
- Use the partial name search to search for up to 5 names at once.
 - Use all CAPS
 - Include AND between each term;
 - Include a middle initial if you know what it is (to limit the results).
 - Print the search results and attach to the Proposal Transmittal Form.
- If any name is a match, that person or vendor cannot receive Federal funds unless the grantor agrees to an exception.

9. Assistance with the Proposal

Faculty Grants: Dean for Faculty Development

Other Grants: Office of the Vice President or Provost with responsibility for the grant

General College Statistics and Information: Director of Stewardship

Budget & EPLS: Assistant Controller

Revised: May 19, 2010